



Daily Compliance Activity Report

Trade Date: 11/26/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	46.89	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	BID	B	10,000	42.84	n/a	n/a	400.00	4.0
M&I FUNDS	047	BIG	B	15,939	30.85	n/a	23-Nov	637.56	4.0
NEUBERGER BERMAN	036	BRKL	B	7,976	10.04	n/a	n/a	319.04	4.0
NEUBERGER BERMAN	036	FFIN	B	900	48.77	n/a	n/a	36.00	4.0
BUCK CAPITAL MGMT	001	GES	S	11,800	50.90	n/a	24-Nov	472.00	4.0
PROSPECTOR PARTNERS LLC	036	PEG	B	10,000	30.74	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	RDN	B	10,000	7.16	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	UNM	S	20,000	21.80	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date) :								4,164.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/24	CAVU CAP ADV (CAVUCREDIS)	028	PH	S	5,000	82.01	n/a	20-Oct	250.00 5.0
AO,CRT	11/24	CAVU CAP ADV (CAVUJPM)	028	PH	S	5,000	82.01	n/a	20-Oct	250.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	4,164.60
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	4,164.60
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Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

Blue: Employee, Affiliate(BCM) and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.

POTENTIAL ANALYST TRADE VIOLATION