



Daily Compliance Activity Report

Trade Date: 10/15/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ADSK	B	14,800	33.35	n/a	n/a	444.00	3.0
DIAMONDBACK CAP MGMT	232	AEO	B	25,000	16.61	n/a	11-Oct	1,250.00	5.0
EPOCH INV MGMT	030	AMTD	B	9,000	16.35	n/a	n/a	270.00	3.0
WINSLOW CAPITAL	030	AMTD	B	6,300	16.54	n/a	n/a	189.00	3.0
WINSLOW CAPITAL	030	AMZN	B	1,600	162.66	n/a	n/a	48.00	3.0
BRANDWINE	028	ANF	S	22,800	45.09	n/a	11-Oct	912.00	4.0
LAGRANGE CAP ADV	048	AN	SS	20,000	23.60	n/a	12-Oct	1,000.00	5.0
ADAGE CAPITAL MGMT	030	ARO	B	100,000	27.24	n/a	11-Oct	3,000.00	3.0
KACELA CAPITAL	034	ARO	B	20,000	27.27	n/a	11-Oct	800.00	4.0
PZENA INV ADV	044	AVT	B	1,850	27.80	n/a	n/a	64.75	3.5
BRANDWINE	028	BA	S	132,460	70.36	n/a	13-Oct	5,298.40	4.0
ACK ASSET	028	BEAV	SS	25,000	32.23	n/a	12-Oct	750.00	3.0
COOPER CREEK PART	028	BEAV	SS	10,000	32.06	n/a	12-Oct	500.00	5.0
NEWLAND CAPITAL MGT	067	BEAV	SS	50,000	32.18	n/a	12-Oct	2,000.00	4.0
SF SENTRY	085	BEAV	SS	10,000	32.18	n/a	12-Oct	500.00	5.0
WINSLOW CAPITAL	030	BIDU	B	2,300	99.50	n/a	n/a	69.00	3.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.17	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	CA	B	1,650	22.08	n/a	n/a	57.75	3.5
WINSLOW CAPITAL	030	CELG	B	1,900	57.76	n/a	n/a	57.00	3.0
WINSLOW CAPITAL	030	CERN	B	1,300	86.36	n/a	n/a	39.00	3.0
CATAPULT	040	CE	B	20,000	34.24	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	CHRW	B	1,900	72.65	n/a	n/a	57.00	3.0
TPG-AXON	040	CL	C	6,000	75.70	n/a	14-Oct	300.00	5.0
WINSLOW CAPITAL	030	COST	B	1,700	63.75	n/a	n/a	51.00	3.0
TPG-AXON	040	CPB	C	43,000	36.68	n/a	n/a	2,150.00	5.0
PERRY PARTNERS	085	CREE	B	100,000	56.50	n/a	n/a	5,000.00	5.0
WINSLOW CAPITAL	030	CSCO	B	10,400	23.36	n/a	n/a	312.00	3.0
WINSLOW CAPITAL	030	CTRP	B	2,600	49.85	n/a	n/a	78.00	3.0
WINSLOW CAPITAL	030	CTSH	B	11,700	66.73	n/a	n/a	351.00	3.0
WINSLOW CAPITAL	030	CTXS	B	3,000	59.43	n/a	n/a	90.00	3.0
GRUSS CAPITAL	025	DBA	B	10,000	28.88	n/a	n/a	300.00	3.0
GRUSS CAPITAL	025	DEI	S	5,000	18.11	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TPG-AXON	040	DPS	C	35,000	35.07	n/a	n/a	1,750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	EL	B	25,000	67.31	n/a	13-Aug	875.00	3.5
WINSLOW CAPITAL	030	ESRX	B	6,300	48.13	n/a	n/a	189.00	3.0
PATTEN & PATTEN	067	EWC	S	2,000	29.03	n/a	n/a	100.00	5.0
PATTEN & PATTEN	067	EWL	B	1,500	23.94	n/a	n/a	75.00	5.0
BASIX	033	FL	S	30,200	15.95	n/a	14-Oct	906.00	3.0
LEVIN CAPITAL STRATEGIES	012	FL	S	50,000	15.92	n/a	14-Oct	1,500.00	3.0
CAVU CAP ADV	028	F	SS	50,000	13.84	n/a	4-Oct	2,500.00	5.0
SCOPUS FUND	041	F	SS	50,000	13.76	n/a	4-Oct	2,500.00	5.0
CATAPULT	040	GGC	B	10,000	19.51	n/a	n/a	400.00	4.0
TPG-AXON	040	GIS	C	39,000	37.23	n/a	n/a	1,950.00	5.0
EPOCH INV MGMT	030	GLW	B	25,400	18.63	n/a	14-Sep	762.00	3.0
WINSLOW CAPITAL	030	GMCR	B	3,200	29.87	n/a	n/a	96.00	3.0
EPOCH INV MGMT	030	GME	B	23,200	18.34	n/a	n/a	696.00	3.0
EPOCH INV MGMT	030	HCBK	B	19,250	11.73	n/a	15-Oct	577.50	3.0
OZ MGMT	040	HD	SS	50,000	30.53	n/a	7-Oct	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ADV	242	HD	SS	1,000	30.48	n/a	7-Oct	40.00	4.0
IRIDIAN ASSET MGMT.	036	HNZ	SS	50,000	49.08	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	IGT	B	20,900	14.61	n/a	14-Oct	627.00	3.0
WINSLOW CAPITAL	030	INTU	B	1,500	46.54	n/a	n/a	45.00	3.0
SACC-SCHWARTZ	044	IP	B	100,000	23.54	n/a	7-Oct	3,500.00	3.5
BROADARCH CAP/OLD NEWC	070	JPM	S	25,500	37.51	n/a	15-Oct	1,020.00	4.0
WADDELL AND REED	047	JPM	S	223,010	37.20	n/a	15-Oct	8,920.40	4.0
EPOCH INV MGMT	030	KBH	B	24,500	11.22	n/a	n/a	735.00	3.0
PIIONEER MICHAEL NOLAN	067	KEY	S	87,700	8.02	n/a	n/a	2,631.00	3.0
TPG-AXON	040	K	C	19,000	50.05	n/a	n/a	950.00	5.0
EPOCH INV MGMT	030	LH	B	5,650	79.09	n/a	n/a	169.50	3.0
BUCK CAPITAL MGMT	001	LIZ	B	30,000	6.84	n/a	7-Oct	900.00	3.0
KACELA CAPITAL	034	LOW	B	76,065	21.46	n/a	16-Aug	3,042.60	4.0
PILOT ADV	242	LOW	SS	1,600	21.48	n/a	16-Aug	64.00	4.0
SAC TRADIN/BINDER	044	LVS	B	25,000	39.11	n/a	8-Oct	875.00	3.5
CHARTER OAK	033	MET	S	50,000	39.01	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	MET	B	17,150	38.99	n/a	n/a	514.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	NDN	B	20,000	15.97	n/a	8-Oct	1,000.00	5.0
WINSLOW CAPITAL	030	NFLX	B	400	155.45	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	NTAP	B	2,600	50.32	n/a	n/a	78.00	3.0
WINSLOW CAPITAL	030	ORCL	B	13,700	28.85	n/a	n/a	411.00	3.0
WINSLOW CAPITAL	030	ORLY	B	2,600	53.50	n/a	n/a	78.00	3.0
GRUSS CAPITAL	025	PCH	B	10,000	36.12	n/a	26-Aug	300.00	3.0
WINSLOW CAPITAL	030	PCLN	B	1,100	353.87	n/a	n/a	33.00	3.0
PROSPECTOR PARTNERS LLC	036	PEG	B	22,000	33.24	n/a	n/a	880.00	4.0
OHIO PERS	047	PG	S	10,000	62.71	n/a	7-Sep	300.00	3.0
TPG-AXON	040	PG	C	23,000	62.72	n/a	7-Sep	1,150.00	5.0
MERRILL ASSET/BLACKROCK	266	PJC	B	21,300	30.27	n/a	n/a	852.00	4.0
WINSLOW CAPITAL	030	QCOM	B	6,900	44.78	n/a	n/a	207.00	3.0
SENATOR INVESTMENT GROUP	036	RKT	B	53,400	52.65	n/a	n/a	1,602.00	3.0
NOMURA CAPITAL	029	RRR	B	30,000	8.21	n/a	23-Jul	900.00	3.0
WINSLOW CAPITAL	030	SHPGY	B	2,400	72.28	n/a	13-Oct	72.00	3.0
NEW JERSEY DIV OF INV.	030	SKX	S	40,000	24.61	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALKOT CAPITAL LLC	084	SSCC	S	7,500	22.18	n/a	7-Oct	300.00	4.0
BMO NESBITT BURNS	041	STX	B	7,000	15.29	n/a	n/a	280.00	4.0
NEW JERSEY DIV OF INV.	030	S	S	100,000	4.52	n/a	n/a	4,000.00	4.0
WINSLOW CAPITAL	030	TEVA	B	2,900	54.52	n/a	13-Oct	87.00	3.0
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	30.97	n/a	n/a	875.00	3.5
WINSLOW CAPITAL	030	URBN	B	4,100	30.98	n/a	n/a	123.00	3.0
COBALT	041	USG	SS	1,000	12.50	n/a	26-Aug	50.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	SS	20,000	15.47	n/a	26-Aug	1,000.00	5.0
T. ROWE PRICE	033	WY	S	240,000	15.47	n/a	26-Aug	9,600.00	4.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	48.73	n/a	15-Oct	2,500.00	5.0
TOTAL (Trade Date) :								100,388.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/15	LAGRANGE CAP ADV (LAGRJJEFF)	048	AN	SS	20,000	23.60	n/a	12-Oct	1000.00 5.0
AO,CXL	10/14	MATRIX ASSET ADV. (MATXVALLMH)	091	GENZ	S	2,000	72.51	n/a	n/a	0.00 0.0
AO,CRT	10/14	MATRIX ASSET ADV. (MATXVALLMH)	091	GENZ	S	2,000	72.51	n/a	n/a	80.00 4.0
AO,CXL	10/14	CONIFER/ISF (CONIISFJPM)	025	HAS	S	2,500	45.90	n/a	n/a	125.00 5.0
AO,CRT	10/14	CONIFER/ISF (CONIISFRIP)	025	HAS	S	2,500	45.90	n/a	n/a	125.00 5.0
CRT	10/15	TALKOT CAPITAL LLC (TALKJEFF)	084	SSCC	S	7,500	22.18	n/a	7-Oct	300.00 4.0
TOTAL (AO, CXL, CRT) :										1,380.00

TOTAL (Trade Date) :	100,388.40
TOTAL (AO, CXL, CRT) :	1,380.00

TOTAL (RUN DATE) / NFS :	101,768.40
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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