



Daily Compliance Activity Report

Trade Date: 11/09/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ALTR	S	383,755	33.70	n/a	n/a	15,350.20	4.0
BALYASNY ASSET MGMT	044	ALV	SS	10,000	76.65	n/a	27-Oct	500.00	5.0
MERRILL ASSET/BLACKROCK	266	ASH	B	50,110	54.70	n/a	8-Nov	2,004.40	4.0
RBC CAPITAL MARKETS	040	ATI	B	10,000	53.52	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	BA	SS	5,000	69.26	n/a	28-Oct	200.00	4.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.76	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	CHD	B	11,800	65.15	n/a	9-Nov	472.00	4.0
KLEINHEINZ CAP PART	031	CHL	S	40,000	52.52	n/a	n/a	2,000.00	5.0
FEDERATED INV/KAUFMAN	029	CIM	S	300,000	4.00	n/a	n/a	12,000.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,500	88.89	n/a	22-Oct	60.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CSL	SS	10,600	36.12	n/a	n/a	424.00	4.0
CROWN CAP MGMT	084	CVGI	B	10,000	16.01	n/a	n/a	500.00	5.0
KARSCH CAPITAL	034	EP	B	350,000	13.86	n/a	n/a	10,500.00	3.0
MERRILL ASSET/BLACKROCK	266	FCX	S	7,600	106.96	n/a	n/a	304.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	FVE	B	40,000	6.34	n/a	n/a	2,000.00	5.0
DIAMONDBACK CAP MGMT	232	F	S	250,000	16.25	n/a	4-Nov	12,500.00	5.0
OZ MGMT	040	F	C	59,520	16.45	n/a	4-Nov	1,785.60	3.0
SCOPUS FUND	041	GNTX	SS	50,000	22.01	n/a	25-Oct	2,500.00	5.0
SURVEYOR CAPITAL	041	GPS	S	25,000	20.36	n/a	n/a	750.00	3.0
EGS ASSOCIATES LP	091	HBI	B	3,487	25.24	n/a	28-Oct	209.22	6.0
NOKOMIS PARTNERS	031	IKAN	S	101,760	1.21	n/a	n/a	2,035.20	2.0
BALYASNY ASSET MGMT	044	IP	B	25,000	25.71	n/a	27-Oct	1,250.00	5.0
BRASADA	031	IP	B	5,000	26.10	n/a	27-Oct	150.00	3.0
THE JAY GOLDMAN	028	IYR	SS	7,500	55.20	n/a	n/a	300.00	4.0
WEISS PECK	040	JNY	B	40,000	14.45	n/a	28-Oct	2,000.00	5.0
SOROS	036	KH	B	12,500	17.84	n/a	n/a	500.00	4.0
HARVEST MGMT	029	KSS	SS	10,000	52.23	n/a	5-Nov	500.00	5.0
UNITED STATES PENSION	085	LEG	S	3,800	20.42	n/a	n/a	190.00	5.0
THE JAY GOLDMAN	028	LHO	B	10,000	23.24	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	LMT	SS	5,000	72.40	n/a	20-Oct	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	034	LOW	SS	50,000	21.70	n/a	16-Aug	1,500.00	3.0
RBC CAPITAL MARKETS	040	LPX	S	25,000	8.28	n/a	8-Nov	1,000.00	4.0
LATEFF MGMT	035	LUV	S	2,500	13.96	n/a	n/a	225.00	9.0
Õ Michael Ehrlich		LVL	B	100	1.1000	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		LVL	B	1700	1.1000	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		LVL	B	3200	1.0990	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	067	MDR	S	10,000	17.22	n/a	n/a	400.00	4.0
HOTCHKIS & WILEY	035	MRK	B	484,700	35.32	n/a	n/a	24,235.00	5.0
GALT INVESTMENT	041	MW	B	20,000	25.99	n/a	n/a	1,000.00	5.0
SONTERRA CAP	041	NBR	SS	50,000	22.06	n/a	n/a	2,000.00	4.0
EGS ASSOCIATES LP	091	NDN	B	4,500	15.09	n/a	8-Nov	270.00	6.0
TRELLUS PARTNERS LP	028	NDN	B	42,500	15.07	n/a	8-Nov	2,125.00	5.0
COHE & STEERS	041	PCL	S	74,402	38.75	n/a	26-Oct	2,976.08	4.0
LEVIN CAPITAL STRATEGIES	012	PDE	B	20,000	33.23	n/a	n/a	600.00	3.0
ROTHSCHILD ASSET	040	PPO	B	12,610	34.28	n/a	n/a	504.40	4.0
RBC CAPITAL MARKETS	040	RYN	S	11,545	54.29	n/a	27-Oct	461.80	4.0
DIAMONDBACK CAP MGMT	232	SLG	B	25,000	68.35	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	SPR	B	20,000	19.11	n/a	5-Nov	800.00	4.0
SAXON WOODS ADVISORS	242	TNA	S	12,000	58.99	n/a	n/a	480.00	4.0
MERRILL ASSET/BLACKROCK	266	TW	B	18,810	49.02	n/a	n/a	752.40	4.0
RBC CAPITAL MARKETS	040	TXT	S	15,000	22.48	n/a	n/a	600.00	4.0
SAXON WOODS ADVISORS	242	TYH	S	20,000	44.30	n/a	n/a	800.00	4.0
CHARTER OAK	033	UPL	S	50,000	47.91	n/a	22-Oct	2,500.00	5.0
DELTEC ASSET MGMT.	040	WCRX	B	20,000	20.57	n/a	9-Nov	1,000.00	5.0
RBC CAPITAL MARKETS	040	WHR	S	5,000	76.29	n/a	n/a	200.00	4.0
SAC CHICAGO ANDREW	031	WMT	SS	20,000	54.99	n/a	14-Oct	700.00	3.5
WEINTRAUB CAPITAL MGT.	040	WY	S	50,000	17.63	n/a	29-Oct	2,000.00	4.0
CHILTON CAPITAL MGMT.	036	XLE	SS	1,367,000	62.20	n/a	n/a	41,010.00	3.0
RBC CAPITAL MARKETS	040	X	S	10,000	47.10	n/a	n/a	400.00	4.0
TOTAL (Trade Date) :								162,574.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/02	NEUBERGER BERMAN (NBER777491)	036	FCX	B	600	97.59	n/a	n/a	24.00 4.0
AO,	11/02	NEUBERGER BERMAN (NBER777491)	036	FCX	B	600	97.59	n/a	n/a	24.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	162,574.30
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	162,574.30
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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