



Daily Compliance Activity Report

Trade Date: 12/03/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	150	317.82	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	ABT	B	850	47.22	n/a	n/a	25.50	3.0
SURSUM CAPITAL	215	AEO	SS	20,000	15.62	n/a	3-Dec	600.00	3.0
EPOCH INV MGMT	030	AET	B	1,350	30.25	n/a	n/a	40.50	3.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	55.84	3-Dec	3-Dec	400.00	4.0
f ANDREW SINCLAIR	FID	ATVI	S	1000	12.26	n/a	n/a	0.00	0.0
f ANTHONY NG	FID	ATVI	S	400	12.24	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BAL	B	100	67.47	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	BA	B	300	66.36	n/a	22-Nov	9.00	3.0
MILLRACE FUND LP	028	BIG	B	9,000	29.63	n/a	3-Dec	360.00	4.0
SURSUM CAPITAL	215	BIG	B	30,000	30.06	n/a	3-Dec	900.00	3.0
f KAREN F LEDDY	FID	BP	S	350	41.50	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CL	B	350	77.92	n/a	8-Nov	10.50	3.0
EPOCH INV MGMT	030	CMCSK	B	3,300	19.52	n/a	n/a	99.00	3.0
SURSUM CAPITAL	215	COH	B	10,000	56.17	n/a	27-Oct	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	COH	SS	10,000	56.61	n/a	27-Oct	500.00	5.0
EPOCH INV MGMT	030	COP	B	450	63.83	n/a	n/a	13.50	3.0
JMP ASSET MGMT	210	CRIC	B	898	9.05	n/a	n/a	35.92	4.0
f KAREN F LEDDY	FID	CRK	B	500	25.87	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CTBI	B	100	27.93	n/a	n/a	3.00	3.0
f EDWARD W WHEELER	FID	CVGI	S	9000	15.73	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	B	500	4.39	n/a	18-Nov	0.00	0.0
EPOCH INV MGMT	030	DD	B	1,150	49.16	n/a	26-Oct	34.50	3.0
EPOCH INV MGMT	030	DELL	B	2,700	13.66	n/a	n/a	81.00	3.0
SCOPUS FUND	041	DG	B	60,220	33.46	n/a	1-Oct	2,408.80	4.0
EPOCH INV MGMT	030	DHR	B	1,300	44.35	n/a	n/a	39.00	3.0
f ANTHONY SUTERA	FID	DPZ	B	1000	14.86	n/a	29-Nov	0.00	0.0
f ALEX JOSEPH DEFILIPP	FID	DRIOX	B	1070	9.35	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	DRIOX	B	1070	9.35	n/a	n/a	0.00	0.0
f VICTORIA JEAN DEFILI	FID	DRIOX	B	1070	9.35	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	DVA	B	900	73.85	n/a	n/a	27.00	3.0
AELTUS/ING IVESTMENT MGT	215	DVN	B	10,000	73.53	n/a	2-Dec	350.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DVN	B	550	73.72	n/a	2-Dec	16.50	3.0
f CHRISTOPHER ROBERT C	FID	FBR	S	400	16.73	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FEMKX	B	1925	25.97	n/a	n/a	0.00	0.0
f SARA J SCHWARZWALDER	FID	FEMKX	B	1001	25.97	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	FORR	B	50	35.72	n/a	n/a	1.50	3.0
BALYASNY ASSET MGMT	044	FWLT	B	20,000	30.96	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	30,000	39.18	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	48.48	n/a	24-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	29.01	n/a	3-Dec	800.00	4.0
SCHOTTENFELD ASSOC	041	GNTX	B	10,000	25.20	n/a	25-Oct	300.00	3.0
SURSUM CAPITAL	215	GPS	B	10,000	21.26	n/a	n/a	300.00	3.0
f LEE F BACKUS	FID	HAL	S	1000	41.27	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	HAL	S	500	41.27	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	HAYN	B	100	40.31	n/a	n/a	3.00	3.0
f SNEJANA P GARFUNKEL	FID	HCBK	S	1000	11.98	n/a	30-Nov	0.00	0.0
SURSUM CAPITAL	215	HGG	B	10,000	25.36	n/a	n/a	300.00	3.0
ELM RIDGE ADVISORS	044	IP	S	196,286	26.04	n/a	27-Oct	7,851.44	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	JADE	B	2000	4.06	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	JCG	B	1200	43.89	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	JNY	B	15,000	14.81	n/a	28-Oct	600.00	4.0
DELTEC ASSET MGMT.	040	JNY	B	20,000	14.67	n/a	28-Oct	1,000.00	5.0
GLOBAL 56 LLC	060	JNY	S	2,500	14.93	n/a	28-Oct	125.00	5.0
SURSUM CAPITAL	215	JNY	B	21,700	14.60	n/a	28-Oct	651.00	3.0
SURSUM CAPITAL	215	JWN	SS	10,000	41.71	n/a	30-Nov	300.00	3.0
M&I FUNDS	047	LEA	B	13,490	94.07	n/a	29-Oct	539.60	4.0
f SNEJANA P GARFUNKEL	FID	LEA	S	300	93.82	n/a	29-Oct	0.00	0.0
f KAREN F LEDDY	FID	LIZ	B	1000	7.58	n/a	7-Oct	0.00	0.0
SCOPUS FUND	041	LSTR	SS	25,000	39.33	n/a	n/a	1,000.00	4.0
NOMURA CAPITAL	029	LYBB	S	25,000	30.00	n/a	n/a	750.00	3.0
BRANDWINE	028	MO	S	89,800	23.75	n/a	n/a	3,592.00	4.0
PEAK INV LLC	084	MPG	S	100,000	2.42	n/a	n/a	4,000.00	4.0
MERRILL ASSET/BLACKROCK	266	MVC	B	25,000	13.99	n/a	n/a	1,000.00	4.0
SURSUM CAPITAL	215	M	B	20,000	24.97	n/a	30-Nov	600.00	3.0
f BRIAN FRANCIS KEALOH	FID	NWY	S	1288	3.38	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	NYX	B	5,000	28.76	n/a	n/a	200.00	4.0
LEVIN CAPITAL STRATEGIES	012	OMX	B	25,000	18.64	n/a	n/a	750.00	3.0
UNITED STATES PENSION	085	PCH	S	55,458	32.61	n/a	29-Oct	2,218.32	4.0
f CHRISTOPHER ROBERT C	FID	PFCB	B	100	51.25	n/a	2-Dec	0.00	0.0
AELTUS/ING INVESTMENT MGT	215	PFE	S	84,070	16.66	n/a	n/a	2,942.48	3.5
EPOCH INV MGMT	030	PLOW	B	200	14.70	n/a	n/a	6.00	3.0
BRANDWINE	028	PM	S	39,220	57.58	n/a	n/a	1,568.80	4.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	70.87	3-Dec	3-Dec	400.00	4.0
SURSUM CAPITAL	215	PVH	SS	30,000	69.16	3-Dec	3-Dec	900.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	19,500	68.99	3-Dec	3-Dec	585.00	3.0
SURSUM CAPITAL	215	RSH	S	30,000	19.61	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	SKX	S	120,000	22.48	n/a	n/a	4,800.00	4.0
f ANDREW SINCLAIR	FID	SPY	B	25	0.66	n/a	n/a	0.00	0.0
TROUBH PART	067	SPY	SS	25,000	122.30	n/a	n/a	1,250.00	5.0
EPOCH INV MGMT	030	SUPX	B	100	25.16	n/a	n/a	3.00	3.0
f KAREN F LEDDY	FID	TBT	S	950	36.00	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	TCBI	B	200	19.96	n/a	n/a	6.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	TEX	B	127,500	26.80	n/a	22-Oct	4,462.52	3.5
ASCEND PARTNERS	033	TGT	B	111,077	58.75	n/a	2-Dec	5,553.85	5.0
TROUBH PART	067	TIF	SS	10,000	62.70	n/a	n/a	500.00	5.0
IRIDIAN ASSET MGMT.	036	TK	S	37,450	32.75	n/a	n/a	1,872.50	5.0
BUCK CAPITAL MGMT	001	TLB	S	50,000	11.45	n/a	n/a	2,000.00	4.0
DELTEC ASSET MGMT.	040	TLB	B	50,000	11.35	n/a	n/a	2,500.00	5.0
THE JAY GOLDMAN	028	TLB	S	25,000	11.35	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	TOL	B	20,000	18.56	n/a	n/a	1,000.00	5.0
KLEINHEINZ CAP PART	031	TWC	B	50,000	64.96	n/a	n/a	2,500.00	5.0
AELTUS/ING INVESTMENT MGT	215	UNM	S	273,439	22.40	n/a	n/a	9,570.49	3.5
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	75,000	37.86	n/a	n/a	2,625.00	3.5
SURSUM CAPITAL	215	URBN	B	20,000	37.96	n/a	n/a	600.00	3.0
f JOSEPH CIRO AMATURO	FID	URZ	B	5000	3.43	n/a	n/a	0.00	0.0
AELTUS/ING INVESTMENT MGT	215	VLO	B	307,540	21.06	n/a	n/a	10,763.97	3.5
EPOCH INV MGMT	030	VPFG	B	200	10.53	n/a	n/a	6.00	3.0
WADDELL AND REED	047	VRTX	S	700,000	33.55	n/a	n/a	21,000.00	3.0
EPOCH INV MGMT	030	VR	B	100	29.19	n/a	n/a	3.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	WAB	B	50	49.93	n/a	n/a	1.50	3.0
f JOSEPH CIRO AMATURO	FID	WNC	B	5000	11.14	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	56.32	n/a	9-Nov	400.00	4.0
EPOCH INV MGMT	030	WRC	B	50	55.43	n/a	9-Nov	1.50	3.0
SURSUM CAPITAL	215	WSM	S	10,000	34.70	n/a	n/a	300.00	3.0
AELTUS/ING INVESTMENT MGT	215	XOM	B	10,000	71.17	n/a	n/a	350.00	3.5
TOTAL (Trade Date):							116,111.69		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/02	SIGMA CAP BOBBY	044	AVY	SS	20,000	39.66	n/a	27-Oct	700.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES	044	AVY	SS	20,000	39.66	n/a	27-Oct	700.00 3.5
AO,	12/02	BRANDWINE	028	BBY	B	101,000	43.51	n/a	n/a	4040.00 4.0
AO,CXL	12/02	SIGMA CAP BOBBY	044	GM	B	20,000	34.67	n/a	1-Feb	700.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES	044	GM	B	20,000	34.67	n/a	1-Feb	700.00 3.5
AO,CXL	12/02	SIGMA CAP BOBBY	044	GPS	B	30,000	21.71	n/a	n/a	1050.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES	044	GPS	B	30,000	21.71	n/a	n/a	1050.00 3.5
AO,CXL	12/02	SIGMA CAP BOBBY	044	HTZ	B	25,000	12.94	n/a	n/a	875.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES	044	HTZ	B	25,000	12.94	n/a	n/a	875.00 3.5
AO,	12/02	NOMURA CAPITAL	029	LYBB	S	50,000	30.06	n/a	n/a	1500.00 3.0
AO,CXL	12/02	SIGMA CAP BOBBY	044	MMM	SS	20,000	86.84	n/a	28-Oct	700.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES	044	MMM	SS	20,000	86.84	n/a	28-Oct	700.00 3.5
AO,CXL	12/02	S.A.C. CAP/ORENSTEIN	044	WY	SS	90,000	17.41	n/a	29-Oct	3150.00 3.5
AO,CRT	12/02	S.A.C. CAP/ORENSTEIN	044	WY	SS	90,000	17.41	n/a	29-Oct	3150.00 3.5
TOTAL (AO, CXL, CRT) :										5,540.00

TOTAL (Trade Date):

116,111.69

TOTAL (AO, CXL, CRT):

5,540.00

TOTAL (RUN DATE) / NFS:

121,651.69

MRI Securities with Trade Activity on 3-Dec.

ANF, PVH

MRI Securities without Trade Activity on 3-Dec.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 11%

<u>Legend:</u>
Õ: Employee Trades in Outside Accounts
ß: Non-BRG BCM Trades
[i]: Initiation of Coverage
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
Watch List Trades
f: Employee Trades (Fidelity)