



Daily Compliance Activity Report

Trade Date: 10/29/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASCOM HILL PARTNERS LLC	033	AEO	B	20,000	16.16	n/a	29-Oct	600.00	3.0
BMO NESBITT BURNS	041	AMAG	B	9,000	15.91	n/a	n/a	630.00	7.0
PARAMETER CAPITAL MGMT LLC	044	AMTD	SS	150,000	16.99	n/a	n/a	6,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	42.89	n/a	29-Oct	1,200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ANN	B	35,900	23.61	n/a	n/a	1,077.00	3.0
TRELLUS PARTNERS LP	028	AN	SS	20,000	23.21	n/a	29-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	24.35	n/a	29-Oct	1,600.00	4.0
KADE CAPITAL LLC	028	AXL	B	17,500	9.50	n/a	19-Oct	875.00	5.0
SLS CAPITAL LLC	224	AXL	B	118,300	9.52	n/a	19-Oct	3,549.00	3.0
PARAMETER CAPITAL MGMT LLC	044	AXS	SS	25,000	33.60	n/a	n/a	1,000.00	4.0
NCM CAPITAL MGMT	035	BAC	B	91,783	11.41	n/a	20-Oct	3,671.32	4.0
WAGONHOUND/NIC	289	CMI	B	1,285	89.02	n/a	29-Oct	51.40	4.0
BUCK CAPITAL MGMT	001	COH	B	20,000	49.90	n/a	27-Oct	800.00	4.0
HIGHBRIDGE CAP	041	CSX	B	20,000	61.45	n/a	n/a	600.00	3.0
JMP ASSET MGMT	210	DBRN	S	10,000	22.96	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	DVN	B	20,000	64.71	n/a	22-Oct	1,000.00	5.0
HIGHBRIDGE CAP	041	EOG	SS	7,500	95.72	n/a	n/a	225.00	3.0
JP MORGAN VENTURES	046	FCH	B	20,000	6.10	n/a	n/a	600.00	3.0
WHALE ROCK CAP	030	FINL	S	33,845	15.43	n/a	n/a	1,353.80	4.0
BUCK CAPITAL MGMT	001	GPS	B	100,000	19.05	n/a	n/a	4,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	HD	SS	25,000	30.94	n/a	7-Oct	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	HOT	B	150,000	54.30	n/a	29-Oct	5,250.00	3.5
HIGHBRIDGE CAP	041	HTZ	B	18,750	11.32	n/a	n/a	562.50	3.0
UNITED STATES PENSION	085	IBM	S	27,615	141.32	n/a	n/a	1,380.75	5.0
PLATTE RIVER CAPITAL	240	IGT	B	26,500	15.54	n/a	20-Oct	1,060.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	IWM	B	150,000	69.98	n/a	n/a	5,250.00	3.5
BUCK CAPITAL MGMT	001	JCG	SS	50,000	31.82	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	JCP	C	25,000	31.57	n/a	29-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	20,000	31.40	n/a	29-Oct	800.00	4.0
TRUSTCO/SUNTRUST	040	KMB	B	9,748	63.00	n/a	27-Oct	341.20	3.5
S.A.C. CAP/ORENSTEIN	044	KNX	S	25,000	17.93	n/a	n/a	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
WEDBUSH/PACIFIC GROWTH EQTY LLC084		KSWs	SS	15,000	12.27		n/a	n/a	750.00	5.0
ASCEND PARTNERS	033	LOW	S	118,601	21.29	n/a	16-Aug	5,930.05	5.0	
LOCUS WOOD CAPITAL MGMT	044	LOW	SS	25,000	21.26	n/a	16-Aug	1,000.00	4.0	
HIGHBRIDGE CAP	041	MAR	SS	9,375	37.05	n/a	27-Oct	281.25	3.0	
ASCEND PARTNERS	033	MMM	B	6,171	84.45	n/a	28-Oct	308.55	5.0	
KLEINHEINZ CAP PART	031	MMM	B	55,000	84.84	n/a	28-Oct	2,750.00	5.0	
HIGHBRIDGE CAP	041	MSFT	SS	100,000	26.64	n/a	n/a	3,000.00	3.0	
SAC CHICAGO ANDREW	031	M	B	20,000	23.62	n/a	29-Oct	700.00	3.5	
SACC-SCHWARTZ	044	M	B	100,000	23.59	n/a	29-Oct	3,500.00	3.5	
ROTHSCHILD ASSET	040	NBL	B	2,867	80.61	n/a	n/a	114.68	4.0	
FARALLON CAP MGMT	040	NOK	B	175,000	10.86	n/a	n/a	5,250.00	3.0	
NOMURA CAPITAL	029	NOR	B	1,741	9.90	n/a	n/a	34.82	2.0	
MATRIX ASSET ADV.	091	NVLS	S	3,000	29.15	n/a	n/a	120.00	4.0	
RWC PARTNERS LTD	067	OMX	B	112,600	17.23	n/a	n/a	3,378.00	3.0	
TRUSTCO/SUNTRUST	040	PG	S	64,528	63.50	n/a	27-Oct	2,258.50	3.5	
BENNETT LAWRENCE	028	PII	B	4,725	71.46	n/a	n/a	189.00	4.0	
CR INTRINIC INVESTMENT	044	QCOR	S	25,000	12.36	n/a	n/a	875.00	3.5	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK NICK	029	Q	S	10,000	6.56	n/a	n/a	500.00	5.0
SUFFOLK CAPITAL MGMT	040	RCL	B	137,000	39.91	n/a	n/a	5,480.00	4.0
PARAMETER CAPITAL MGMT LLC044		SCHW	B	200,000	15.38	n/a	n/a	8,000.00	4.0
REINHART & MAHONEY	047	SHPGY	B	11,950	70.63	n/a	29-Oct	597.50	5.0
SUN AMERICA ASSET MGMT	030	SKX	B	15,000	19.45	n/a	n/a	600.00	4.0
BERMAN CAPITAL MGMT	046	SPY	B	30,000	118.20	n/a	n/a	900.00	3.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.17	n/a	n/a	800.00	4.0
PARAMETER CAPITAL MGMT LLC044		TROW	SS	35,000	55.25	n/a	n/a	1,400.00	4.0
PARAMETER CAPITAL MGMT LLC044		TYC	SS	40,000	38.23	n/a	18-Aug	1,600.00	4.0
SEVEN LOCKS CAPITAL	067	VRSN	S	10,000	34.72	n/a	n/a	300.00	3.0
COUGAR TRADING	044	WBC	B	10,000	45.12	n/a	29-Oct	500.00	5.0
COUGAR TRADING	044	WBC	S	5,000	46.20	n/a	29-Oct	250.00	5.0
TROUBH PART	067	WFC	B	25,000	26.03	n/a	21-Oct	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	53.82	n/a	14-Oct	1,750.00	3.5
BMO NESBITT BURNS	041	WPI	S	5,000	46.62	n/a	25-Oct	350.00	7.0
TYEE/TYGH	035	WRC	S	30,000	53.02	n/a	18-Oct	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	WY	S	40,000	16.15	n/a	29-Oct	2,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	WY	S	50,000	16.20	n/a	29-Oct	2,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	X	B	64,700	41.26	n/a	n/a	3,235.00	5.0
TOTAL (Trade Date) :								113,254.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	BKI	B	1,200	16.34	n/a	n/a	60.00 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	BKI	B	1,200	16.34	n/a	n/a	60.00 5.0
AO,CXL	10/28	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	C	B	20,000	4.18	n/a	19-Oct	600.00 3.0
AO,CRT	10/28	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	C	B	20,000	4.18	n/a	19-Oct	1000.00 5.0
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	CMCO	B	850	16.71	n/a	n/a	42.50 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	CMCO	B	850	16.71	n/a	n/a	42.50 5.0
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	DCOM	B	1,200	14.59	n/a	n/a	60.00 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	DCOM	B	1,200	14.59	n/a	n/a	60.00 5.0
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	GB	B	600	23.70	n/a	n/a	30.00 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	GB	B	600	23.70	n/a	n/a	30.00 5.0
AO,	10/28	EMERSON CAPITAL MGMT (EMEREMERSO)	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68 3.0
AO,CXL	10/28	EMERSON CAPITAL MGMT (&EMERGSPB)	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68 3.0
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	NWE	B	900	29.87	n/a	n/a	45.00 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	NWE	B	900	29.87	n/a	n/a	45.00 5.0
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	PLXS	B	500	32.41	n/a	n/a	25.00 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	PLXS	B	500	32.41	n/a	n/a	25.00 5.0
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	QSFT	B	600	26.55	n/a	n/a	30.00 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	QSFT	B	600	26.55	n/a	n/a	30.00 5.0
AO,CXL	10/28	REINHART & MAHONEY (REINCST64)	047	SNX	B	800	29.46	n/a	n/a	40.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	SNX	B	800	29.46	n/a	n/a	40.00	5.0
AO,CRT	10/28	REINHART & MAHONEY (REINKNTJSM)	047	VITA	B	4,900	2.21	n/a	n/a	245.00	5.0
AO,CXL	10/28	REINHART & MAHONEY (REINKANTJM)	047	VITA	B	4,900	2.21	n/a	n/a	245.00	5.0

TOTAL (AO, CXL, CRT) :	400.00
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TOTAL (Trade Date):	113,254.32
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TOTAL (RUN DATE) / NFS:	113,654.32
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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