



Daily Compliance Activity Report

Trade Date: 10/05/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	AET	S	2,575	30.93	n/a	n/a	90.13	3.5
APEX CAPITAL MGMT.	261	ANF	B	100,000	38.78	n/a	1-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	38.85	n/a	1-Oct	1,600.00	4.0
CADIAN CAPITAL	067	ANF	B	50,000	38.64	n/a	1-Oct	2,000.00	4.0
ISLE RIDGE PARTNERS	041	AN	B	22,100	23.83	n/a	4-Aug	884.00	4.0
CAXTON PART	040	AXP	C	50,000	38.00	n/a	5-Oct	1,750.00	3.5
CAVU CAP ADV	028	BA	S	30,000	67.35	n/a	17-Sep	1,500.00	5.0
FARALLON CAP MGMT	040	BMC	S	13,400	40.43	n/a	n/a	536.00	4.0
GLOBAL 56 LLC	060	BONT	S	2,500	10.50	n/a	n/a	125.00	5.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.12	n/a	n/a	800.00	4.0
CONIFER/ISF	025	CA	S	1,800	21.62	n/a	n/a	90.00	5.0
IMPALA ASSET MMT	012	CENX	B	100,000	13.27	n/a	n/a	3,000.00	3.0
IMPALA ASSET MMT	012	CHRW	B	27,700	71.44	n/a	n/a	1,385.00	5.0
BIXBY LLC	070	COG	B	1,000	31.02	n/a	5-Oct	40.00	4.0
MATRIX ASSET ADV.	091	COP	S	1,300	58.30	n/a	n/a	52.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Ravi Sadarangani		CVGI	B	2000	9.9700	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	CXO	B	85,580	68.19	n/a	n/a	3,423.20	4.0
BALYASNY ASSET MGMT	044	DAN	S	20,000	12.75	n/a	2-Aug	1,000.00	5.0
RWC PARTNERS LTD	067	DAN	B	68,754	12.90	n/a	2-Aug	2,062.62	3.0
FARALLON CAP MGMT	040	EFA	B	40,000	56.20	n/a	n/a	1,600.00	4.0
FRIESS MGMT	033	EMC	S	485,500	20.36	n/a	n/a	19,420.00	4.0
TALPION LLC	040	EMC	S	30,000	20.37	n/a	n/a	900.00	3.0
DIAMONDBACK CAP MGMT	232	EV	B	10,000	29.61	n/a	n/a	500.00	5.0
EVERCORE WEALTH MGMT	012	FOR	B	20,500	17.11	n/a	26-Aug	820.00	4.0
GRYPHON CAPITAL MGMT	084	F	SS	100,000	12.99	n/a	4-Oct	3,000.00	3.0
ISLE RIDGE PARTNERS	041	GES	S	32,600	39.98	n/a	26-Aug	1,304.00	4.0
JET CAPITAL/CHRIS	041	GGP	S	100,000	16.17	n/a	n/a	3,000.00	3.0
ROTHSCHILD ASSET	040	GPI	S	14,260	31.16	n/a	4-Aug	570.40	4.0
TROUBH PART	067	GT	B	10,000	10.82	n/a	n/a	500.00	5.0
CONIFER/ISF	025	HAS	S	1,500	45.89	n/a	n/a	75.00	5.0
SAC CHICAGO ANDREW	031	HD	B	161,000	31.76	n/a	17-Aug	5,635.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ISLE RIDGE PARTNERS	041	JCP	B	24,500	28.90	n/a	1-Oct	980.00	4.0
THE JAY GOLDMAN	028	JCP	SS	70,000	28.83	n/a	1-Oct	2,800.00	4.0
WAGONHOUND/NIC	289	KKR	B	4,359	10.80	n/a	n/a	174.36	4.0
IMPALA ASSET MMT	012	KNX	B	52,332	19.07	n/a	n/a	2,093.28	4.0
ISLE RIDGE PARTNERS	041	KNX	B	14,996	19.08	n/a	n/a	599.84	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	50,000	52.43	n/a	1-Oct	1,750.00	3.5
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	80.00	n/a	4-Aug	300.00	3.0
LISTED ERR	099	LEA	B	300	80.00	n/a	4-Aug	0.00	0.0
LISTED ERR	099	LEA	SS	300	80.00	n/a	4-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.55	n/a	7-Oct	1,500.00	3.0
Ñ Nilsa Vazquez		MON	B	200	48.1480	n/a	28-Sep	0.00	0.0
Ñ Nilsa Vazquez		MU	B	1000	6.9900	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	NC	S	8,093	88.30	n/a	n/a	323.72	4.0
CASTLE ARK	031	ORCL	B	165,900	27.23	n/a	n/a	8,295.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		PCAR	B	2,000	48.55		n/a 28-Jul	100.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		PCAR	S	100	49.62		n/a 28-Jul	5.00	5.0
TYEE/TYGH	035	PDCO	S	95,839	28.48	n/a	n/a	3,833.56	4.0
BMO NESBITT BURNS	041	PKG	B	5,500	23.65	n/a	20-Sep	275.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	PLCE	B	15,000	52.20	n/a	19-Aug	750.00	5.0
CAPITAL GROWTH MGMT.	241	RJET	B	70,000	8.62	n/a	n/a	2,100.00	3.0
BMO NESBITT BURNS	041	RKT	SS	4,000	50.83	n/a	n/a	200.00	5.0
TROUBH PART	067	RTN	B	20,000	45.21	n/a	17-Aug	1,000.00	5.0
ROYAL CAPITAL MGMT	070	SHW	SS	80,000	74.96	n/a	1-Sep	4,000.00	5.0
WAGONHOUND/NIC	289	SKS	B	2,231	8.78	n/a	n/a	66.93	3.0
WAGONHOUND/NIC	289	SLM	S	55,069	11.39	n/a	1-Oct	2,202.76	4.0
BUCK CAPITAL MGMT	001	SNE	SS	10,000	31.41	n/a	n/a	400.00	4.0
BIXBY LLC	070	SSCC	B	1,000	18.87	n/a	20-Sep	30.00	3.0
ROSEDALE CAPITAL	046	SWN	B	9,000	32.93	n/a	30-Sep	450.00	5.0
MATRIX ASSET ADV.	091	TEL	S	1,500	29.66	n/a	n/a	60.00	4.0
ISLE RIDGE PARTNERS	041	TSCO	B	19,800	39.25	n/a	n/a	792.00	4.0
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	31.34	n/a	n/a	875.00	3.5
BMO NESBITT BURNS	041	USG	B	7,000	12.91	n/a	26-Aug	350.00	5.0
SANDLER CAPITAL	226	WDC	SS	100,000	28.13	n/a	n/a	6,000.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	WPI	S	43,715	44.30	n/a	4-Oct	2,185.75	5.0
AAD CAPITAL	084	WRC	SS	20,000	53.83	n/a	6-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	53.73	n/a	6-Aug	800.00	4.0
LISTED ERR	099	WRC	S	2,000	53.61	n/a	6-Aug	0.00	0.0
BIXBY LLC	070	YHOO	B	1,500	14.63	n/a	n/a	45.00	3.0
SF SENTRY	085	YUM	SS	5,000	46.89	n/a	5-Oct	250.00	5.0
TOTAL (Trade Date):								108,049.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/30	SCOUT/UMB (SUMBRAYTHE)	047	AGCO	S	11,475	38.95	n/a	28-Jul	573.75 5.0
AO,CRT	09/30	SCOUT/UMB (SUMBRAYTHE)	047	AGCO	S	11,475	38.95	n/a	28-Jul	344.25 3.0
AO,CXL	09/30	SCOUT/UMB (SUMBMIDCAP)	047	AGCO	S	59,550	38.95	n/a	28-Jul	2977.50 5.0
AO,CRT	09/30	SCOUT/UMB (SUMBMIDCAP)	047	AGCO	S	59,550	38.95	n/a	28-Jul	1786.50 3.0
AO,CXL	09/30	SCOUT/UMB (SUMBMAIN)	047	AGCO	S	2,400	38.95	n/a	28-Jul	120.00 5.0
AO,CRT	09/30	SCOUT/UMB (SUMBMAIN)	047	AGCO	S	2,400	38.95	n/a	28-Jul	72.00 3.0
AO,CXL	09/29	JANA CAPITAL (JANAGOLDMA)	044	CBS	SS	89,709	15.81	n/a	n/a	3588.36 4.0
AO,CRT	09/29	JANA CAPITAL (JANAUBS)	044	CBS	SS	89,709	15.81	n/a	n/a	3588.36 4.0
AO,CXL	10/04	EVERCORE WEALTH MGMT (EVERMAIN)	012	FOR	B	18,500	16.74	n/a	26-Aug	925.00 5.0
AO,CRT	10/04	EVERCORE WEALTH MGMT (EVERMAIN)	012	FOR	B	18,500	16.74	n/a	26-Aug	740.00 4.0
AO,CXL	10/01	RWC PARTNERS LTD (RWCPLUMX)	067	MRO	B	137,891	33.70	n/a	n/a	4136.73 3.0
AO,CRT	10/01	RWC PARTNERS LTD (RWCPLUMX)	067	MRO	B	10,967	33.70	n/a	n/a	329.01 3.0
AO,CRT	10/01	RWC PARTNERS LTD (RWCPBILUBS)	067	MRO	B	137,891	33.70	n/a	n/a	4136.73 3.0
AO,CXL	10/01	RWC PARTNERS LTD (RWCPBILTDB)	067	MRO	B	10,967	33.70	n/a	n/a	329.01 3.0
AO,	10/04	PIIONEER PATH (PIOPCDRPPD)	226	PVH	SS	20,100	60.48	n/a	9-Sep	603.00 3.0
AO,CXL	09/29	JANA CAPITAL (JANAGOLDMA)	044	S	S	9,368	4.65	n/a	n/a	374.72 4.0
AO,CRT	09/29	JANA CAPITAL (JANAUBS)	044	S	S	9,368	4.65	n/a	n/a	374.72 4.0
AO,CXL	10/01	JANA CAPITAL (JANAGOLDMA)	044	SSCC	B	36,983	18.76	n/a	20-Sep	1479.32 4.0
AO,	10/01	JANA CAPITAL (JANAUBS)	044	SSCC	B	36,983	18.76	n/a	20-Sep	1479.32 4.0
TOTAL (AO, CXL, CRT) :										-1,050.50

TOTAL (Trade Date):	108,049.55
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TOTAL (RUN DATE) / NFS:	106,999.05
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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