



Daily Compliance Activity Report

Trade Date: 11/19/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
HIGHBRIDGE CAP	041	BBBY	B	3,515	42.65	n/a	n/a	105.45 3.0
RBC CAPITAL MARKETS	040	BHP	SS	40,000	86.41	n/a	n/a	1,600.00 4.0
TRELLUS PARTNERS LP	028	BZ	SS	35,000	7.24	n/a	n/a	1,050.00 3.0
BALYASNY ASSET MGMT	044	CHS	B	50,000	11.24	n/a	5-Feb	2,500.00 5.0
EPOCH INV MGMT	030	CMS	B	300	17.91	n/a	n/a	9.00 3.0
EPOCH INV MGMT	030	CNW	B	150	32.89	n/a	n/a	4.50 3.0
EPOCH INV MGMT	030	CPO	B	150	44.93	n/a	n/a	4.50 3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,200	93.10	n/a	16-Nov	48.00 4.0
EPOCH INV MGMT	030	CTBI	B	100	28.42	n/a	n/a	3.00 3.0
HARVEST MGMT	029	DBRN	S	7,500	24.01	n/a	n/a	375.00 5.0
EPOCH INV MGMT	030	DRIV	B	100	36.55	n/a	n/a	3.00 3.0
EPOCH INV MGMT	030	DRQ	B	50	77.55	n/a	n/a	1.50 3.0
EPOCH INV MGMT	030	FDML	B	150	18.86	n/a	n/a	4.50 3.0
EPOCH INV MGMT	030	FORR	B	50	35.17	n/a	n/a	1.50 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON INV ADV	035	F	S	75,485	16.29	n/a	18-Nov	3,019.40	4.0
DIAMONDBACK CAP MGMT	232	GE	B	31,000	16.20	n/a	n/a	1,550.00	5.0
WEINTRAUB CAPITAL MGT.	040	GIII	B	25,000	27.41	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	GM	B	10,000	33.88	n/a	1-Feb	500.00	5.0
EPOCH INV MGMT	030	HAYN	B	100	37.30	n/a	n/a	3.00	3.0
KLEINHEINZ CAP PART	031	IBN	B	50,000	51.07	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	ICON	B	200	17.75	n/a	n/a	6.00	3.0
ARMATURE CAPITAL	041	IP	B	15,000	24.82	n/a	27-Oct	600.00	4.0
BMO NESBITT BURNS	041	IP	SS	58,000	24.81	n/a	27-Oct	2,820.00	4.5
M&I FUNDS	047	IP	S	51,098	24.91	n/a	27-Oct	2,043.92	4.0
SCOPUS FUND	041	IP	SS	40,000	24.71	n/a	27-Oct	2,000.00	5.0
SURVEYOR CAPITAL	041	IP	SS	100,000	24.68	n/a	27-Oct	3,000.00	3.0
TRELLUS PARTNERS LP	028	IP	SS	15,000	24.84	n/a	27-Oct	750.00	5.0
EPOCH INV MGMT	030	ISBC	B	300	12.21	n/a	n/a	9.00	3.0
MERRILL ASSET/BLACKROCK	266	JLL	S	6,400	80.06	n/a	n/a	256.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	200,000	13.94	n/a	28-Oct	8,000.00	4.0
EPOCH INV MGMT	030	JOSB	B	100	42.81	n/a	n/a	3.00	3.0
LATEFF MGMT	035	JPM	B	4,000	39.44	n/a	18-Nov	520.00	13.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	LTD	B	50,000	32.34	n/a	n/a	2,000.00	4.0
KLEINHEINZ CAP PART	031	MF	B	300,000	8.24	n/a	n/a	15,000.00	5.0
EPOCH INV MGMT	030	MLI	B	150	30.30	n/a	19-Oct	4.50	3.0
THE JAY GOLDMAN	028	M	S	55,000	24.85	n/a	11-Nov	2,200.00	4.0
HIGHBRIDGE CAP	041	NKE	B	1,190	84.06	n/a	n/a	35.70	3.0
COLUMBIA PARTNERS	028	NOG	S	42,000	20.46	n/a	n/a	1,680.00	4.0
CHART WELL ADV	028	PAY	B	40,275	33.58	n/a	n/a	1,611.00	4.0
EPOCH INV MGMT	030	PLow	B	250	14.45	n/a	n/a	7.50	3.0
STRONG/MARK GRONET	030	PWER	B	150,000	9.07	n/a	n/a	4,500.00	3.0
EPOCH INV MGMT	030	RAIL	B	150	24.47	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	ROCK	B	200	10.11	n/a	n/a	6.00	3.0
EPOCH INV MGMT	030	RYL	B	250	14.92	n/a	n/a	7.50	3.0
GALT INVESTMENT	041	SAH	S	20,000	12.65	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	SFNC	B	100	28.05	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	SSI	B	350	14.27	n/a	n/a	10.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	TCBI	B	300	18.68	n/a	n/a	9.00	3.0
RBC CAPITAL MARKETS	040	TCK	S	30,000	49.40	n/a	n/a	1,200.00	4.0
MERRILL ASSET/BLACKROCK	266	TES	S	11,000	34.39	n/a	n/a	440.00	4.0
RBC CAPITAL MARKETS	040	URS	SS	25,000	40.59	n/a	n/a	1,000.00	4.0
EPOCH INV MGMT	030	VPFG	B	300	10.40	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	VR	B	150	29.32	n/a	n/a	4.50	3.0
MELLON/BANK OF NEW YORK	046	VSI	S	14,000	30.22	n/a	n/a	700.00	5.0
EPOCH INV MGMT	030	WAB	B	50	47.09	n/a	n/a	1.50	3.0
KLEINHEINZ CAP PART	031	X	B	75,000	47.76	n/a	n/a	3,750.00	5.0
TOTAL (Trade Date) :								69,274.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/18	NICOLAS APPEGATE (APPL1709)	084	NOV	S	27,700	62.75	n/a	n/a	554.00 2.0
AO,CXL	11/18	NICOLAS APPEGATE (APPL1714)	084	NOV	S	27,700	62.75	n/a	n/a	554.00 2.0
AO,CXL	11/16	FARALLON CAP MGMT (FARABULK F)	040	NVS	B	251,400	55.78	n/a	n/a	7542.00 3.0
AO,CRT	11/16	FARALLON CAP MGMT (FARABULK F)	040	NVS	B	251,400	55.78	n/a	n/a	10056.00 4.0
AO,	11/15	COLUMBUS CIRCLE (COLCBKON8)	036	PCS	B	33	11.77	n/a	n/a	1.32 4.0
AO,CXL	11/15	COLUMBUS CIRCLE (COLCBKON8)	036	PCS	B	33	11.77	n/a	n/a	1.32 4.0
AO,CXL	11/18	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	10,000	6.88	n/a	n/a	400.00 4.0
AO,CRT	11/18	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	10,000	6.88	n/a	n/a	500.00 5.0
AO,	11/18	NOMURA CAPITAL (NOMUAYCB)	029	QLTY	S	938	6.67	n/a	n/a	28.14 3.0

TOTAL (AO, CXL, CRT) :**2,642.14**

TOTAL (Trade Date) :**69,274.47****TOTAL (AO, CXL, CRT) :****2,642.14**

TOTAL (RUN DATE) / NFS :**71,916.61**

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