



Daily Compliance Activity Report

Trade Date: 11/04/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	AAPL	S	1,000	320.14	n/a	n/a	150.00	15.0
SIGMA CAPITAL ASSOCIATES	041	AAP	S	60,000	65.54	n/a	n/a	2,100.00	3.5
BNP PARIBAS SEC	040	ADM	B	15,000	31.25	n/a	2-Nov	600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	AEO	B	200,000	16.08	n/a	29-Oct	7,000.00	3.5
STATE TEACHERS RET SYS	047	AIV	S	20,000	24.34	n/a	n/a	1,000.00	5.0
LAGRANGE CAP ADV	048	ALV	SS	7,000	75.00	n/a	27-Oct	350.00	5.0
BMO NESBITT BURNS	041	AMAG	S	7,000	16.45	n/a	n/a	280.00	4.0
RBC CAPITAL MARKETS	040	ANF	B	12,000	45.22	n/a	29-Oct	480.00	4.0
BUCK CAPITAL MGMT	001	ANN	S	45,000	23.39	n/a	n/a	1,800.00	4.0
THE JAY GOLDMAN	028	ARO	S	15,000	23.82	n/a	29-Oct	600.00	4.0
DELTEC ASSET MGMT.	040	BDC	S	6,000	30.51	n/a	n/a	300.00	5.0
NEUBERGER BERMAN	036	BEAV	S	123,400	37.05	n/a	27-Oct	4,936.00	4.0
LISTED ERR	099	BEAV	B	38,600	37.00	n/a	27-Oct	0.00	0.0
LISTED ERR	099	BEAV	S	38,600	36.73	n/a	27-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	B	50,000	29.51	n/a	4-Nov	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	BIG	SS	5,000	29.92	n/a	4-Nov	250.00	5.0
SAC CHICAGO ANDREW	031	BIG	SS	50,000	29.28	n/a	4-Nov	1,750.00	3.5
ADAGE CAPITAL MGMT	030	BK	B	100,000	26.09	n/a	19-Oct	3,000.00	3.0
KACELA CAPITAL	034	BRCM	B	35,000	42.27	n/a	n/a	1,400.00	4.0
NEUBERGER BERMAN	036	BWC	S	15,300	23.35	n/a	n/a	612.00	4.0
NEUBERGER BERMAN	036	BXP	S	600	88.10	n/a	n/a	24.00	4.0
STATE TEACHERS RET SYS	047	BXP	B	5,000	88.04	n/a	n/a	250.00	5.0
STATE TEACHERS RET SYS	047	CBL	S	15,000	17.80	n/a	n/a	750.00	5.0
MTB INV ADV	034	CGI	S	32,150	14.04	n/a	n/a	1,286.00	4.0
NEUBERGER BERMAN	036	CMA	S	1,300	37.49	n/a	n/a	52.00	4.0
DSG CAPITAL	225	COG	S	5,000	31.70	n/a	27-Oct	250.00	5.0
NEUBERGER BERMAN	036	COG	S	1,600	31.66	n/a	27-Oct	64.00	4.0
CAPITAL GROWTH MGMT.	241	COH	B	280,000	51.94	n/a	27-Oct	14,000.00	5.0
RBC CAPITAL MARKETS	040	CSX	SS	5,000	62.74	n/a	n/a	200.00	4.0
CROWN ADVISORS	045	CVGI	B	40,000	14.92	n/a	n/a	2,000.00	5.0
THIRD COAST CAPITAL	035	CVGI	B	2,600	14.06	n/a	n/a	130.00	5.0
REINHART & MAHONEY	047	CVS	B	21,550	31.24	n/a	n/a	1,077.50	5.0
CAPITAL GROWTH MGMT.	241	DAL	S	200,000	14.10	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAVU CAP ADV	028	DAL	SS	20,000	14.10	n/a	n/a	1,000.00	5.0
STATE TEACHERS RET SYS	047	DRH	S	10,000	10.85	n/a	n/a	500.00	5.0
DSG CAPITAL	225	DVN	S	2,500	69.78	n/a	4-Nov	125.00	5.0
SCHOTTENFELD ASSOC	041	EXAS	B	10,000	6.21	n/a	n/a	400.00	4.0
O CAPITAL MGMT	029	FFNW	B	4,000	3.74	n/a	n/a	200.00	5.0
NEUBERGER BERMAN	036	FNF	S	10,900	13.70	n/a	n/a	436.00	4.0
STATE TEACHERS RET SYS	047	FRT	B	15,000	81.20	n/a	n/a	750.00	5.0
LATEFF MGMT	035	F	S	1,500	15.84	n/a	4-Nov	210.00	14.0
BUCK CAPITAL MGMT	001	GIL	B	70,000	28.13	n/a	18-Oct	2,800.00	4.0
GREENWICH PB/HILLTOP	086	GIL	S	57,500	27.72	n/a	18-Oct	1,725.00	3.0
JP MORGAN VENTURES	046	GPS	B	25,000	20.71	n/a	n/a	1,250.00	5.0
Õ Michael Ehrlich		GSL	S	1134	5.0200	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GSL	S	66	5.0130	n/a	n/a	0.00	0.0
NUMERIC	060	GT	S	77,900	10.42	n/a	n/a	2,337.00	3.0
CENTURION PARTNERS	041	HIG	S	50,000	25.83	n/a	n/a	2,000.00	4.0
NEUBERGER BERMAN	036	HOG	S	1,700	33.20	n/a	n/a	68.00	4.0
GRUSS CAPITAL	025	HOS	B	20,000	21.01	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OMEGA ADVISORS	041	HPQ	B	250,000	44.34	n/a	n/a	10,000.00	4.0
JET CAPITAL/CHRIS	041	HTZ	B	100,000	11.94	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	IP	SS	25,000	25.82	n/a	27-Oct	1,250.00	5.0
ARCHON CAPITAL	035	JCG	S	35,000	32.62	n/a	n/a	1,050.00	3.0
NEUBERGER BERMAN	036	JCG	B	25,000	32.48	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	20,000	32.55	n/a	29-Oct	800.00	4.0
SAC CAPITAL/M GRONET	030	JCP	SS	25,000	32.45	n/a	29-Oct	875.00	3.5
SAC COHEN	044	JCP	SS	50,000	32.31	n/a	29-Oct	1,750.00	3.5
BERMAN CAPITAL MGMT	046	JNY	B	3,000	14.80	n/a	28-Oct	90.00	3.0
BUCK CAPITAL MGMT	001	JNY	B	34,100	14.80	n/a	28-Oct	1,364.00	4.0
EGS ASSOCIATES LP	091	JNY	B	3,000	14.78	n/a	28-Oct	180.00	6.0
GRUSS CAPITAL	025	JOE	B	5,000	19.98	n/a	n/a	150.00	3.0
ASCEND PARTNERS	033	JWN	S	65,000	41.69	n/a	29-Oct	3,250.00	5.0
THOMAS WEISEL ASSET MGMT	035	KEG	B	19,496	10.32	n/a	28-Oct	584.88	3.0
NEUBERGER BERMAN	036	KEY	S	6,400	8.52	n/a	n/a	256.00	4.0
RBC CAPITAL MARKETS	040	KFT	SS	50,000	31.93	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	KRA	B	10,000	28.26	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	KRA	S	10,000	29.63	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	KSS	S	155,200	51.52	n/a	29-Oct	6,208.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	110,000	49.95	n/a	29-Oct	4,400.00	4.0
CAERUS GLOBAL	041	KSS	S	7,500	51.82	n/a	29-Oct	300.00	4.0
SYSTEMATIC FINANCIAL MGT	035	KSS	S	277,209	49.99	n/a	29-Oct	8,316.27	3.0
MTB INV ADV	034	KSU	S	3,100	45.39	n/a	n/a	155.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		KSWS	B	15,000	11.90		n/a	n/a	600.00 4.0
NEUBERGER BERMAN	036	LEA	S	700	89.94	n/a	29-Oct	28.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.52	n/a	7-Oct	1,500.00	3.0
JMP ASSET MGMT	210	LIZ	SS	25,000	6.89	n/a	7-Oct	1,000.00	4.0
KENNEDY CAPITAL	046	LIZ	S	100,000	6.92	n/a	7-Oct	3,000.00	3.0
ARMATURE CAPITAL	041	LYB	SS	40,000	27.03	n/a	n/a	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MAR	B	25,000	38.71	n/a	2-Nov	875.00	3.5
BUCK CAPITAL MGMT	001	MFB	S	38,711	28.61	n/a	n/a	1,548.44	4.0
BNP PARIBAS SEC	040	MON	S	20,000	62.87	n/a	25-Oct	800.00	4.0
ROSEDALE CAPITAL	046	MRK	B	15,000	36.54	n/a	n/a	750.00	5.0
EGS ASSOCIATES LP	091	M	B	2,200	25.19	n/a	29-Oct	132.00	6.0
SAC CAPITAL/M GRONET	030	M	B	12,500	25.30	n/a	29-Oct	437.50	3.5
COOPER CREEK PART	028	NDN	B	15,000	14.91	n/a	4-Nov	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOOVER INV. MGMT	033	NDN	S	11,900	15.44	n/a	4-Nov	476.00	4.0
NEUBERGER BERMAN	036	NRG	S	2,600	19.86	n/a	n/a	104.00	4.0
ADAGE CAPITAL MGMT	030	NTRS	S	50,000	50.94	n/a	21-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	NWY	B	50,000	3.69	n/a	n/a	1,500.00	3.0
NEUBERGER BERMAN	036	OII	S	1,500	67.31	n/a	n/a	60.00	4.0
ADALY INV MGMT	031	PAG	S	17,800	14.75	n/a	25-Oct	623.00	3.5
NICOLAS APPLGATE	084	PCS	S	36,500	11.25	n/a	n/a	1,095.00	3.0
SOROS	036	PFE	S	100,000	17.33	n/a	n/a	4,000.00	4.0
STATE TEACHERS RET SYS	047	RGA	S	10,000	51.22	n/a	n/a	500.00	5.0
OWL CREEK INV	085	RKT	B	100,000	57.98	n/a	n/a	3,000.00	3.0
NOKOMIS PARTNERS	031	SATS	B	10,000	21.43	n/a	n/a	500.00	5.0
STATE TEACHERS RET SYS	047	SHO	S	15,000	10.60	n/a	n/a	750.00	5.0
CAMBIAR CAP	046	SPR	B	13,000	18.81	n/a	12-Oct	520.00	4.0
GRUSS CAPITAL	025	SPR	B	10,000	18.89	n/a	12-Oct	300.00	3.0
BERMAN CAPITAL MGMT	046	SPY	S	10,000	121.39	n/a	n/a	300.00	3.0
RBC CAPITAL MARKETS	040	TCK	B	40,000	47.38	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	TGT	B	550,000	55.59	n/a	4-Nov	16,500.00	3.0
SAC CHICAGO ANDREW	031	TGT	B	125,000	54.95	n/a	4-Nov	4,375.00	3.5
OWL CREEK INV	085	TIN	B	300,000	21.47	n/a	20-Oct	9,000.00	3.0
STATE TEACHERS RET SYS	047	TMO	S	20,000	52.54	n/a	n/a	1,000.00	5.0
DAVIDSON KEMPNER ADVISOR	040	TYC	B	50,000	39.23	n/a	18-Aug	2,500.00	5.0
ELM RIDGE ADVISORS	044	UFS	S	38,500	80.04	n/a	n/a	1,540.00	4.0
ADAGE CAPITAL MGMT	030	USB	S	100,000	24.53	n/a	n/a	3,000.00	3.0
SCHOTTENFELD ASSOC	041	VMW	S	2,200	79.70	n/a	n/a	110.00	5.0
NEUBERGER BERMAN	036	VNO	S	600	88.82	n/a	n/a	24.00	4.0
NEUBERGER BERMAN	036	WBC	S	2,100	49.50	n/a	29-Oct	84.00	4.0
DAVIDSON KEMPNER ADVISOR	040	WCG	B	50,000	29.15	n/a	n/a	2,500.00	5.0
ADAGE CAPITAL MGMT	030	WFC	B	50,000	26.91	n/a	4-Nov	1,500.00	3.0
NEUBERGER BERMAN	036	WLL	S	1,000	107.21	n/a	n/a	40.00	4.0
STERLING JOHNSTON	035	WRC	B	26,400	53.38	n/a	18-Oct	1,056.00	4.0
TYEE/TYGH	035	WRC	S	22,000	53.64	n/a	18-Oct	880.00	4.0
ADAGE CAPITAL MGMT	030	WSM	SS	75,000	35.00	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	WY	S	8,350	16.92	n/a	29-Oct	417.50	5.0
ASCEND PARTNERS	033	XRT	C	88,119	44.80	n/a	n/a	4,405.95	5.0
SENVEST PART	085	ZQK	B	75,000	4.30	n/a	10-May	2,250.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	ZQK	B	26,400	4.32	n/a	10-May	1,056.00	4.0
TOTAL (Trade Date) :								203,059.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/03	FULLER & THALER ASSET (FULLROBUS2)	033	AXL	S	10,100	9.03	n/a	1-Nov	303.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLHERSTF)	033	AXL	S	4,900	9.03	n/a	1-Nov	147.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLHERSTC)	033	AXL	S	6,200	9.03	n/a	1-Nov	186.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLRAMOS)	033	AXL	S	1,100	9.03	n/a	1-Nov	33.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLOSTRSC)	033	AXL	S	12,200	9.03	n/a	1-Nov	366.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLNESTLE)	033	AXL	S	8,200	9.03	n/a	1-Nov	246.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLIUOE)	033	AXL	S	5,300	9.03	n/a	1-Nov	159.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLUFCW2)	033	AXL	S	300	9.03	n/a	1-Nov	9.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLOMAHAP)	033	AXL	S	6,700	9.03	n/a	1-Nov	201.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLOMAHA)	033	AXL	S	3,200	9.03	n/a	1-Nov	96.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLALASKA)	033	AXL	S	1,800	9.03	n/a	1-Nov	54.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLIOWA)	033	AXL	S	900	9.03	n/a	1-Nov	27.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLBGF)	033	AXL	S	12,800	9.03	n/a	1-Nov	384.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLDEERE)	033	AXL	S	17,100	9.03	n/a	1-Nov	513.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLNY TIM)	033	AXL	S	5,300	9.03	n/a	1-Nov	159.00 3.0
AO,	11/03	FULLER & THALER ASSET (FULLUFCWGR)	033	AXL	S	3,900	9.03	n/a	1-Nov	117.00 3.0
AO,	11/03	BMO NESBITT BURNS (BMONFLIP)	041	BZ	S	9,000	7.65	n/a	n/a	450.00 5.0
AO,CXL	11/03	ADAGE CAPITAL MGMT (ADAGCSFB)	030	M	B	200,000	23.88	n/a	29-Oct	6000.00 3.0
AO,CXL	11/03	ADAGE CAPITAL MGMT (ADAGCSFB)	030	M	B	169,700	23.75	n/a	29-Oct	5091.00 3.0
AO,CRT	11/03	ADAGE CAPITAL MGMT (ADAGCSFB)	030	M	B	369,700	23.82	n/a	29-Oct	11091.00 3.0
AO,	11/03	NOMURA CAPITAL (NOMUSAG)	029	QLTY	S	194	7.30	n/a	n/a	3.88 2.0
AO,	11/03	NOMURA CAPITAL (NOMUCOSMOS)	029	QLTY	S	87	7.30	n/a	n/a	1.74 2.0
AO,	11/03	NOMURA CAPITAL (NOMUL3)	029	QLTY	S	351	7.30	n/a	n/a	7.02 2.0
AO,	11/03	NOMURA CAPITAL (NOMULASERS)	029	QLTY	S	1,149	7.30	n/a	n/a	22.98 2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/03	NOMURA CAPITAL (NOMUAYCB)	029	QLTY	S	3,601	7.30	n/a	n/a	72.02 2.0
AO,	11/03	NOMURA CAPITAL (NOMUSPH)	029	QLTY	S	399	7.30	n/a	n/a	7.98 2.0
AO,	11/03	NOMURA CAPITAL (NOMUMCERS)	029	QLTY	S	521	7.30	n/a	n/a	10.42 2.0
AO,	11/03	NOMURA CAPITAL (NOMU7MS7)	029	QLTY	S	3,698	7.30	n/a	n/a	73.96 2.0
AO,	11/03	REINHART & MAHONEY (REINDORT76)	047	RSG	B	270	29.95	n/a	n/a	13.50 5.0
AO,	11/03	REINHART & MAHONEY (REINDOERT7)	047	RSG	B	80	29.95	n/a	n/a	4.00 5.0
AO,CXL	11/03	REINHART & MAHONEY (REINDOER76)	047	RSG	B	270	29.95	n/a	n/a	13.50 5.0
AO,CXL	11/03	REINHART & MAHONEY (REINDOER73)	047	RSG	B	80	29.95	n/a	n/a	4.00 5.0
AO,CXL	11/03	SAC CHICAGO ANDREW (SCASCSPB)	031	WMT	SS	75,000	54.60	n/a	14-Oct	2625.00 3.5
AO,CRT	11/03	SAC CHICAGO ANDREW (SCASJPMPB)	031	WMT	SS	75,000	54.60	n/a	14-Oct	2625.00 3.5

TOTAL (AO, CXL, CRT) :	3,650.00
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TOTAL (Trade Date) :	203,059.04
TOTAL (AO, CXL, CRT) :	3,650.00

TOTAL (RUN DATE) / NFS :	206,709.04
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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