



## Daily Compliance Activity Report

Trade Date: 11/03/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	ALGT	B	1,528	48.30	n/a	n/a	61.12	4.0
AAD CAPITAL	084	ALV	B	20,000	72.80	n/a	27-Oct	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>42,000</b>	<b>42.98</b>	<b>n/a</b>	<b>29-Oct</b>	<b>1,680.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	041	ANF	SS	46,695	42.42	n/a	29-Oct	1,634.33	3.5
SENATOR INVESTMENT GROUP	036	ANR	B	30,000	43.13	n/a	n/a	900.00	3.0
ADAGE CAPITAL MGMT	030	AN	SS	25,000	24.07	n/a	29-Oct	750.00	3.0
TRELLUS PARTNERS LP	028	AN	SS	20,000	24.21	n/a	29-Oct	1,000.00	5.0
NOKOMIS PARTNERS	031	ARO	B	44,500	23.83	n/a	29-Oct	1,335.00	3.0
BALYASNY ASSET MGMT	044	AXL	S	75,000	9.62	n/a	1-Nov	3,000.00	4.0
OZ MGMT	040	AXL	C	150,418	9.60	n/a	1-Nov	4,512.54	3.0
SLS CAPITAL LLC	224	AXL	B	68,500	9.23	n/a	1-Nov	2,055.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>10,000</b>	<b>43.41</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
KENNEDY CAPITAL	046	BZ	B	100,000	7.62	n/a	n/a	3,000.00	3.0
TRAFELET & COMP.	028	BZ	SS	50,000	7.65	n/a	n/a	1,500.00	3.0
HARBORWATCH/DIAMBACK	232	CBI	B	10,000	26.13	n/a	n/a	500.00	5.0
BACKBAY	041	CIM	B	100,000	3.90	n/a	n/a	5,000.00	5.0
COUGAR TRADING	044	COG	B	25,000	31.02	n/a	27-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	COG	S	25,000	30.58	n/a	27-Oct	1,250.00	5.0
DSG CAPITAL	225	COG	B	5,000	30.56	n/a	27-Oct	250.00	5.0
HOTCHKIS & WILEY	035	COP	B	15,300	58.56	n/a	n/a	765.00	5.0
Õ Ravi Sadarangani		CVGI	B	100	13.8400	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	300	13.8800	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	350	13.9500	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	500	13.9400	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	600	13.9400	n/a	n/a	0.00	0.0
OHIO PERS	047	DD	S	313,274	46.89	n/a	26-Oct	9,398.22	3.0
OHIO PERS	047	DOW	B	467,000	31.29	n/a	3-Nov	14,010.00	3.0
SAC CRIB	044	DOW	B	25,000	31.52	n/a	3-Nov	875.00	3.5
DSG CAPITAL	225	DVN	B	2,500	68.07	n/a	22-Oct	125.00	5.0
CATAPULT	040	EV	B	5,000	30.11	n/a	n/a	200.00	4.0
O CAPITAL MGMT	029	FFNW	B	5,000	3.78	n/a	n/a	250.00	5.0
VISIUM/BALY BOBBY	044	FL	B	10,000	15.95	n/a	14-Oct	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	FXI	B	25,000	46.76	n/a	n/a	1,000.00	4.0
CAVU CAP ADV	028	F	B	25,000	14.76	n/a	2-Nov	1,250.00	5.0
MORTAR ROCK	033	F	B	25,000	14.73	n/a	2-Nov	1,000.00	4.0
BUCK CAPITAL MGMT	001	GES	B	12,700	39.48	n/a	18-Oct	508.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARCHON CAPITAL	035	GIL	B	20,000	27.30	n/a	18-Oct	600.00	3.0
COUGAR TRADING	044	GIL	SS	10,000	27.34	n/a	18-Oct	500.00	5.0
O CAPITAL MGMT	029	GLPW	S	1,000	17.00	n/a	n/a	50.00	5.0
ADAGE CAPITAL MGMT	030	GME	B	50,000	19.50	n/a	n/a	1,500.00	3.0
SHEFFIELD ASSET MGMT	031	HAR	B	73,600	36.97	n/a	3-Nov	3,680.00	5.0
CAVU CAP ADV	028	JCI	B	17,690	35.80	n/a	27-Oct	884.50	5.0
RBC CAPITAL MARKETS	040	KSS	SS	10,000	50.72	n/a	29-Oct	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	50,000	50.60	n/a	29-Oct	1,750.00	3.5
SAGE ASSET MGMT	012	KS	B	25,000	13.23	n/a	n/a	1,250.00	5.0
ENTRUST CAPITAL	040	LMT	S	44,200	71.64	n/a	20-Oct	2,210.00	5.0
REINHART & MAHONEY	047	LTM	B	24,340	37.65	n/a	n/a	1,217.00	5.0
ADAGE CAPITAL MGMT	030	M	B	369,700	23.88	n/a	29-Oct	11,091.00	3.0
HOOVER INV. MGMT	033	NDN	S	53,300	15.50	n/a	1-Nov	2,132.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	OI	S	61,009	27.80	n/a	n/a	2,440.36	4.0
ADAGE CAPITAL MGMT	030	OMX	B	275,000	17.20	n/a	n/a	8,250.00	3.0
CATAPULT	040	PIR	B	50,000	8.79	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	PSS	B	3,000	15.22	n/a	n/a	180.00	6.0
CLOVIS CAPITAL	012	PVH	S	75,000	61.17	n/a	18-Oct	2,250.00	3.0
HOTCHKIS & WILEY	035	RDSB	S	16,700	65.21	n/a	n/a	835.00	5.0
CAVU CAP ADV	028	ROST	B	15,000	60.50	n/a	n/a	750.00	5.0
REINHART & MAHONEY	047	RSG	B	21,420	29.95	n/a	n/a	1,071.00	5.0
NOKOMIS PARTNERS	031	SATS	B	12,000	21.23	n/a	n/a	360.00	3.0
THIRD COAST CAPITAL	035	SRI	B	15,000	11.74	n/a	n/a	750.00	5.0
OWL CREEK INV	085	STI	S	689,900	25.08	n/a	n/a	20,697.00	3.0
DSG CAPITAL	225	TEX	B	5,000	23.24	n/a	22-Oct	150.00	3.0
CAERUS GLOBAL	041	WAG	B	25,000	35.04	n/a	n/a	1,000.00	4.0
MOORE CAPITAL	028	WFMI	S	20,000	41.02	n/a	n/a	800.00	4.0
SAC CHICAGO ANDREW	031	WMT	SS	75,000	54.60	n/a	14-Oct	2,625.00	3.5
TYEE/TYGH	035	WRC	S	8,947	52.70	n/a	18-Oct	357.88	4.0
THOMPSON SIEGAL&WALMSLEY	029	ZQK	B	39,000	4.20	n/a	10-May	1,560.00	4.0

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**TOTAL (Trade Date):**

**134,099.95**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/03	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	AN	SS	25,000	24.07	n/a	29-Oct	750.00 3.0
CRT	11/03	LOCUS WOOD CAPITAL MGMT (LOCOMSLOCU)	044	FXI	B	25,000	46.76	n/a	n/a	1000.00 4.0
AO,CXL	11/02	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	B	50,000	39.57	n/a	18-Oct	1500.00 3.0
AO,CRT	11/02	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	B	50,000	39.57	n/a	18-Oct	2000.00 4.0
AO,	11/02	WALL STREET CAPITAL (WALL470)	084	NWY	S	12,000	3.17	n/a	n/a	240.00 2.0
AO,	11/02	WALL STREET CAPITAL (WALL472)	084	NWY	S	18,000	3.17	n/a	n/a	360.00 2.0
AO,	11/02	WALL STREET CAPITAL (WALL460)	084	NWY	S	14,000	3.17	n/a	n/a	280.00 2.0
AO,	11/02	WALL STREET CAPITAL (WALL430)	084	NWY	S	76,600	3.17	n/a	n/a	1532.00 2.0
AO,CXL	11/02	CLOVIS CAPITAL (CLOVGOLDMA)	012	PFE	S	200,000	17.33	n/a	n/a	10000.00 5.0
AO,CRT	11/02	CLOVIS CAPITAL (CLOVGOLDMA)	012	PFE	S	200,000	17.33	n/a	n/a	6000.00 3.0
CRT	11/03	DSG CAPITAL (DSGCJEFF)	225	TEX	B	5,000	23.24	n/a	22-Oct	150.00 3.0
AO,CXL	11/02	SCOPUS FUND (SCOPGS)	041	TIN	B	2,167	20.86	n/a	20-Oct	108.35 5.0
AO,CRT	11/02	SCOPUS FUND (SCOPGS)	041	TIN	B	4,445	20.86	n/a	20-Oct	222.25 5.0
AO,CXL	11/02	SCOPUS FUND (SCOPUBS)	041	TIN	B	25,616	20.86	n/a	20-Oct	1280.80 5.0
AO,CRT	11/02	SCOPUS FUND (SCOPUBS)	041	TIN	B	23,338	20.86	n/a	20-Oct	1166.90 5.0
CRT	11/03	MOORE CAPITAL (MOORMS)	028	WFMI	S	20,000	41.02	n/a	n/a	800.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,612.00</b>

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TOTAL (Trade Date):	134,099.95
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>135,711.95</b>
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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