



## Daily Compliance Activity Report

Trade Date: 12/10/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANN	S	40,000	26.82	n/a	n/a	1,600.00	4.0
MORTAR ROCK	033	ARG	S	5,000	62.71	n/a	5-Feb	200.00	4.0
JMP ASSET MGMT	210	BGFV	B	12,153	14.53	n/a	n/a	607.65	5.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	29,100	15.05	n/a	n/a	1,455.00	5.0
PIONEER PATH	226	CB	S	59,900	58.98	n/a	n/a	1,797.00	3.0
ADALY INV MGMT	031	CCE	B	25,000	25.84	n/a	n/a	1,250.00	5.0
TRAFELET & COMP.	028	COCO	SS	211,700	4.36	n/a	n/a	6,351.00	3.0
JMP ASSET MGMT	210	COLM	B	6,000	60.37	n/a	n/a	300.00	5.0
KLEINHEINZ CAP PART	031	COLM	B	25,000	60.38	n/a	n/a	1,250.00	5.0
IVORY CAPITAL	034	CSCO	S	200,000	19.56	n/a	n/a	4,000.00	2.0
SURVEYOR CAPITAL	041	DEI	S	30,618	16.33	n/a	n/a	918.54	3.0
COOPER CREEK PART	028	DPZ	SS	15,000	15.40	n/a	10-Dec	600.00	4.0
COLUMBUS CAP MGMT LLC	084	DRWI	S	50,000	8.97	n/a	n/a	1,500.00	3.0
MFP INVESTORS	085	ELN	B	162,600	5.76	n/a	n/a	8,130.00	5.0
MAIRS AND POWER INV	030	EMR	S	10,000	57.58	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOCQUEVILLE	067	FSS	B	10,000	6.40	n/a	n/a	500.00	5.0
RAINIER INV MGMT	035	GEF	S	18,240	60.59	n/a	n/a	729.60	4.0
JMP ASSET MGMT	210	GES	SS	8,800	48.06	n/a	24-Nov	181.30	2.5
BNP PARIBAS SEC	040	GE	S	30,000	17.77	n/a	n/a	1,500.00	5.0
SURVEYOR CAPITAL	041	GGP	S	32,787	15.16	n/a	n/a	983.61	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>GIL</b>	<b>S</b>	<b>500</b>	<b>29.18</b>	<b>n/a</b>	<b>3-Dec</b>	<b>0.00</b>	<b>0.0</b>
SURSUM CAPITAL	215	HGG	S	20,000	25.50	n/a	n/a	600.00	3.0
SURVEYOR CAPITAL	041	HIG	B	25,619	25.09	n/a	n/a	768.57	3.0
SENATOR INVESTMENT GROUP	036	HTZ	S	100,000	13.98	n/a	n/a	3,000.00	3.0
RAINIER INV MGMT	035	ICE	S	14,770	117.57	n/a	n/a	590.80	4.0
THE JAY GOLDMAN	028	IGT	B	35,000	16.74	n/a	7-Dec	1,400.00	4.0
SURVEYOR CAPITAL	041	IVZ	B	10,719	23.38	n/a	2-Mar	321.57	3.0
ADALY INV MGMT	031	JNY	B	25,000	15.23	n/a	28-Oct	1,250.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	JNY	B	15,000	15.46		n/a 28-Oct	600.00	4.0
TOCQUEVILLE	067	LEG	B	10,000	22.19	n/a	n/a	500.00	5.0
KACELA CAPITAL	034	LOW	S	90,000	25.24	n/a	1-Dec	3,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	LOW	S	50,000	25.35	n/a	1-Dec	1,750.00	3.5
BNP PARIBAS SEC	040	LPX	SS	20,000	9.32	n/a	8-Nov	1,000.00	5.0
SAC CRIB	044	LSTR	B	24,002	40.12	n/a	n/a	840.07	3.5
SUFFOLK CAPITAL MGMT	040	MRK	B	213,000	35.83	n/a	n/a	8,520.00	4.0
STANDARD PACIFIC CAPITAL	040	MW	B	110,000	24.28	n/a	n/a	5,500.00	5.0
ROSEDALE CAPITAL	046	MYL	B	25,000	20.15	n/a	10-Dec	1,250.00	5.0
MORTAR ROCK	033	NFLX	S	4,000	194.99	n/a	n/a	160.00	4.0
TRUST CO/COWEN/CALF.	040	NYB	B	65,100	17.71	n/a	30-Nov	2,604.00	4.0
SURVEYOR CAPITAL	041	NYX	S	15,000	29.97	n/a	n/a	450.00	3.0
SAC CHICAGO ANDREW	031	PG	B	35,000	63.62	n/a	10-Dec	1,225.00	3.5
SYSTEMATIC FINANCIAL MGT	035	PG	B	292,100	63.54	n/a	10-Dec	8,763.00	3.0
PIONEER PATH	226	PRU	B	50,000	56.67	n/a	n/a	1,500.00	3.0
SURSUM CAPITAL	215	RSH	S	20,000	19.05	n/a	n/a	600.00	3.0
SANDLER CAPITAL	226	SCOR	B	75,000	23.68	n/a	n/a	3,750.00	5.0
BNP PARIBAS SEC	040	SEE	SS	10,000	24.18	n/a	n/a	500.00	5.0
SURVEYOR CAPITAL	041	SLG	S	7,812	64.04	n/a	n/a	234.36	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ANDEW	031	SNH	S	10,000	20.89	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	SOA	S	80,000	23.05	n/a	n/a	2,400.00	3.0
COBALT	041	TEVA	B	50,000	53.42	n/a	10-Dec	2,500.00	5.0
THE JAY GOLDMAN	028	TGT	S	100,000	58.96	n/a	2-Dec	4,000.00	4.0
SURSUM CAPITAL	215	URBN	S	20,000	37.01	n/a	n/a	600.00	3.0
THE JAY GOLDMAN	028	WMS	SS	12,500	47.82	n/a	n/a	500.00	4.0
JMP ASSET MGMT	210	XRTX	B	10,000	16.42	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>96,631.07</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/09	NOMURA CAPITAL (NOMUBSMAIN)	029	ACUZD	S	1,700	13.37	n/a	n/a	51.00	3.0
AO,	12/09	COLUMBUS CIRCLE (COLC3040)	036	KOG	B	15,803	6.36	n/a	n/a	632.12	4.0
AO,	12/09	COLUMBUS CIRCLE (COLC3040)	036	KOG	B	9,483	6.28	n/a	n/a	189.66	2.0
AO,	12/09	COLUMBUS CIRCLE (COLC3040)	036	KOG	B	31,414	6.11	n/a	n/a	1256.56	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,129.34</b>	

TOTAL (Trade Date) :	96,631.07
TOTAL (AO, CXL, CRT) :	2,129.34

<b>TOTAL (RUN DATE) / NFS :</b>	<b>98,760.41</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