



## Daily Compliance Activity Report

Trade Date: 12/14/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>Ñ Nilsa Vazquez</b>		<b>ABVT</b>	<b>S</b>	<b>100</b>	<b>55.5820</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	AEO	B	85,400	15.19	n/a	3-Dec	2,562.00	3.0
<b>Ñ Nilsa Vazquez</b>		<b>AWI</b>	<b>S</b>	<b>100</b>	<b>40.8740</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	AXP	B	18,140	46.71	n/a	14-Dec	634.92	3.5
SURVEYOR CAPITAL	041	AXP	S	11,848	46.41	n/a	14-Dec	355.44	3.0
JMP ASSET MGMT	210	BGFV	B	17,541	14.57	n/a	n/a	360.65	2.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>50,000</b>	<b>27.89</b>	<b>n/a</b>	<b>7-Dec</b>	<b>2,000.00</b>	<b>4.0</b>
SURSUM CAPITAL	215	BIG	S	65,000	28.03	n/a	7-Dec	1,950.00	3.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	7.00	n/a	n/a	800.00	4.0
VISIUM/BALY BOBBY	044	CAKE	B	25,000	30.99	n/a	2-Dec	1,250.00	5.0
BRANDWINE	028	CI	S	41,500	37.21	n/a	n/a	1,660.00	4.0
JET CAPITAL/CHRIS	041	CML	B	50,000	28.01	n/a	n/a	1,500.00	3.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>CSCO</b>	<b>B</b>	<b>3,900</b>	<b>19.65</b>	<b>n/a</b>	<b>n/a</b>	<b>117.00</b>	<b>3.0</b>
MTB INV ADV	034	CSTR	B	3,150	61.88	n/a	n/a	157.50	5.0
MTB INV ADV	034	DIN	S	1,025	52.98	n/a	n/a	51.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		DPZ	B	3,000	15.03	n/a	10-Dec	150.00	5.0
MA CAPITAL MGMT/MELLON ADV041		DRI	SS	1,500	48.07	n/a	14-Dec	75.00	5.0
VISIUM/BALY BOBBY	044	DRI	SS	15,000	48.27	n/a	14-Dec	750.00	5.0
SURVEYOR CAPITAL	041	FITB	SS	37,251	14.62	n/a	n/a	1,117.53	3.0
IRIDIAN ASSET MGMT.	036	GLW	C	43,180	18.98	n/a	1-Nov	1,295.40	3.0
STANDARD PACIFIC CAPITAL	040	GME	B	130,000	21.61	n/a	n/a	6,500.00	5.0
JET CAPITAL/CHRIS	041	HNR	B	15,000	12.26	n/a	n/a	450.00	3.0
CAXTON PART	040	HPQ	S	36,240	41.66	n/a	n/a	1,268.44	3.5
MERRILL ASSET/BLACKROCK	266	IPCC	S	522	62.35	n/a	n/a	10.44	2.0
CASTLE ARK	031	ISRG	B	29,900	259.82	n/a	n/a	1,495.00	5.0
SURSUM CAPITAL	215	JNY	B	23,468	15.65	n/a	28-Oct	704.04	3.0
WEISS PECK	040	JNY	S	34,200	15.74	n/a	28-Oct	1,710.00	5.0
AVENUE CAPITAL MGMT	070	LEA	S	50,000	95.17	n/a	29-Oct	2,000.00	4.0
THE JAY GOLDMAN	028	MGM	S	50,000	13.11	n/a	9-Dec	2,000.00	4.0
MTB INV ADV	034	MNRO	S	18,175	51.47	n/a	n/a	908.75	5.0
OHIO PERS	047	MTW	S	64,014	13.12	n/a	1-Nov	1,920.42	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLG PARTNERS	034	M	S	50,000	24.97	n/a	30-Nov	1,500.00	3.0
ROTHSCHILD ASSET	040	NJR	S	10,580	43.56	n/a	n/a	423.20	4.0
TRUST CO OF THE WEST/NY	040	NYB	S	25,600	17.77	n/a	30-Nov	1,024.00	4.0
TRUST CO/COWEN/CALF.	040	NYB	S	16,400	17.77	n/a	30-Nov	656.00	4.0
AVESTA CAP	229	PEP	SS	100,000	65.44	n/a	n/a	3,000.00	3.0
JP MORGAN VENTURES	046	PLCE	SS	5,000	51.18	n/a	18-Nov	250.00	5.0
GEORGE WEISS	034	PNRA	SS	10,000	103.60	n/a	2-Dec	300.00	3.0
SURVEYOR CAPITAL	041	PRU	S	11,616	56.81	n/a	n/a	348.48	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>67.03</b>	<b>n/a</b>	<b>3-Dec</b>	<b>800.00</b>	<b>4.0</b>
OHIO PERS	047	TEX	B	30,000	27.66	n/a	22-Oct	900.00	3.0
JET CAPITAL/CHRIS	041	TLCR	B	25,000	22.42	n/a	n/a	750.00	3.0
TRUST CO OF THE WEST/NY	040	TMO	S	11,600	55.28	n/a	n/a	580.00	5.0
LATEFF MGMT	035	UAL	B	7,500	24.81	n/a	n/a	525.00	7.0
MTB INV ADV	034	ULTA	S	2,075	33.90	n/a	n/a	103.75	5.0
JP MORGAN VENTURES	046	URBN	SS	10,000	36.49	n/a	n/a	500.00	5.0
RAINIER INV MGMT	035	VAL	S	59,550	34.42	n/a	n/a	2,382.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	VAR	B	46,350	68.80	n/a	n/a	1,854.00	4.0
TRUST CO/COWEN/CALF.	040	WM	S	90,930	36.35	n/a	n/a	4,546.50	5.0
Õ Nilsa Vazquez		WYNN	S	100	100.4625	n/a	9-Dec	0.00	0.0
FORWARD MGMT	033	WY	S	200,000	17.94	n/a	29-Oct	8,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>64,196.71</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/13	NOMURA CAPITAL (NOMUBSMAIN)	029	ACUZD	S	3,550	13.27	n/a	n/a	71.00 2.0
AO,CRT	12/13	JMP ASSET MGMT (JMPAGS)	210	BGFV	B	129	14.57	n/a	n/a	6.45 5.0
AO,CXL	12/13	JMP ASSET MGMT (JMPABOABA)	210	BGFV	B	206	14.57	n/a	n/a	10.30 5.0
AO,CRT	12/13	JMP ASSET MGMT (JMPABOABA)	210	BGFV	B	177	14.57	n/a	n/a	8.85 5.0
AO,CXL	12/13	JMP ASSET MGMT (JMPAGS)	210	BGFV	B	100	14.57	n/a	n/a	5.00 5.0
AO,CXL	12/10	JMP ASSET MGMT (JMPABOABA)	210	GES	SS	5,180	48.06	n/a	24-Nov	0.00 0.0
AO,CRT	12/10	JMP ASSET MGMT (JMPABOABA)	210	GES	SS	5,180	48.06	n/a	24-Nov	259.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>330.00</b>

TOTAL (Trade Date) :	64,196.71
TOTAL (AO, CXL, CRT) :	330.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>64,526.71</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