



Daily Compliance Activity Report

Trade Date: 10/27/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	60,000	16.57	n/a	11-Oct	2,400.00	4.0
PATTEN & PATTEN	067	AGG	S	250	108.05	n/a	n/a	12.50	5.0
MILLENNIUM PARTNERS ICSUS	041	AKS	B	25,000	12.40	n/a	n/a	1,250.00	5.0
ENTRUST CAPITAL	040	ALGT	B	10,000	42.91	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	20,000	21.55	n/a	n/a	800.00	4.0
M&I FUNDS	047	ANN	B	6,450	21.43	n/a	n/a	258.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	25.34	n/a	11-Oct	1,600.00	4.0
OSS CAPITAL	067	AUXL	B	50,000	25.37	n/a	n/a	1,500.00	3.0
PATTEN & PATTEN	067	BAB	S	1,000	26.01	n/a	n/a	50.00	5.0
MERRILL ASSET/BLACKROCK	266	BAC	B	282,800	11.54	n/a	20-Oct	11,312.00	4.0
FOVEA CAPITAL MGMT	040	BKE	S	28,700	28.75	n/a	n/a	1,435.00	5.0
KADE CAPITAL LLC	028	BWA	S	7,500	54.89	n/a	27-Oct	375.00	5.0
COOPER CREEK PART	028	BZ	B	20,000	7.15	n/a	n/a	600.00	3.0
REINHART & MAHONEY	047	CAVM	B	22,240	30.39	n/a	n/a	1,112.00	5.0
ASCEND PARTNERS	033	CCE	S	72,898	23.54	n/a	n/a	3,644.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOCQUEVILLE	067	CRDN	S	11,500	23.57	n/a	n/a	575.00	5.0
GRUSS CAPITAL	025	CRESY	B	5,000	19.67	n/a	n/a	150.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	6,500	85.84	n/a	22-Oct	260.00	4.0
Õ Nilsa Vazquez		C	B	1000	4.1890	n/a	19-Oct	0.00	0.0
WHALE ROCK CAP	030	DDS	S	39,339	26.34	n/a	n/a	1,573.56	4.0
GRUSS CAPITAL	025	DEI	S	10,000	17.93	n/a	n/a	300.00	3.0
REINHART & MAHONEY	047	EAT	S	74,140	19.21	n/a	n/a	3,707.00	5.0
FOVEA CAPITAL MGMT	040	EL	SS	20,000	64.74	n/a	26-Oct	800.00	4.0
BROADARCH CAP/OLD NEWC	070	EMC	B	4,400	21.10	n/a	n/a	176.00	4.0
WHALE ROCK CAP	030	FINL	S	66,019	15.70	n/a	n/a	2,640.76	4.0
OZ MGMT	040	F	SS	150,000	14.17	n/a	27-Oct	4,500.00	3.0
MILLENIUM PARTNERS	028	GE	B	70,000	16.02	n/a	n/a	2,800.00	4.0
SCOPUS FUND	041	GNTX	SS	100,000	19.75	n/a	25-Oct	5,000.00	5.0
DIAMONDBACK CAP MGMT	232	GPS	B	20,000	19.20	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	GVI	S	400	110.19	n/a	n/a	20.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	HAL	S	6,070	34.08	n/a	n/a	242.80	4.0
REINHART & MAHONEY	047	HMSY	S	13,040	59.47	n/a	n/a	652.00	5.0
PATTEN & PATTEN	067	HYG	B	150	90.71	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	IEF	S	3,668	97.79	n/a	n/a	183.40	5.0
ARMATURE CAPITAL	041	IP	B	50,000	24.80	n/a	27-Oct	2,000.00	4.0
BMO NESBITT BURNS	041	IP	B	25,000	24.85	n/a	27-Oct	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	65,750	24.86	n/a	27-Oct	3,287.50	5.0
GRUSS CAPITAL	025	IYR	SS	5,000	55.25	n/a	n/a	150.00	3.0
SAC CRIB	044	JBHT	B	25,000	36.10	n/a	n/a	875.00	3.5
PATTEN & PATTEN	067	JNK	B	50	40.75	n/a	n/a	2.50	5.0
BUCK CAPITAL MGMT	001	JNY	B	33,200	15.09	n/a	18-Oct	1,328.00	4.0
DALTON GREINER	012	JNY	S	65,050	15.26	n/a	18-Oct	3,252.50	5.0
PZENA INV ADV	044	JNY	B	7,425	15.12	n/a	18-Oct	259.88	3.5
NEUBERGER BERMAN	036	KO	B	46,600	60.44	n/a	26-Oct	1,864.00	4.0
FOVEA CAPITAL MGMT	040	KR	B	10,000	22.04	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	50,000	51.33	n/a	11-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.38	n/a	7-Oct	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	LPX	SS	5,000	7.88	n/a	18-Oct	350.00	7.0
PATTEN & PATTEN	067	LQD	S	150	111.76	n/a	n/a	7.50	5.0
COLONIAL FUND LLC	036	MON	S	10,000	59.98	n/a	25-Oct	500.00	5.0
PARAMETER CAPITAL MGMT LLC	044	NDAQ	B	20,000	20.89	n/a	n/a	800.00	4.0
MILLENNIUM PARTNERS ICSUS	041	NXY	B	35,000	20.93	n/a	n/a	1,750.00	5.0
ST OF MICHIAN	047	ORCL	B	140,000	28.66	n/a	n/a	4,200.00	3.0
SAC TRADING TOM LEDDY	035	ORLY	B	20,000	54.24	n/a	n/a	700.00	3.5
OSS CAPITAL	067	OTEX	SS	50,000	45.60	n/a	n/a	1,500.00	3.0
CATAPULT	040	PFCB	B	35,000	45.89	n/a	27-Oct	1,400.00	4.0
ROTHSCHILD ASSET	040	PG	B	45,717	63.02	n/a	27-Oct	1,828.68	4.0
BMO NESBITT BURNS	041	PKG	B	5,000	24.23	n/a	19-Oct	350.00	7.0
TRELLUS PARTNERS LP	028	PKG	S	15,000	24.32	n/a	19-Oct	750.00	5.0
COOPER CREEK PART	028	PNRA	B	6,000	90.87	n/a	27-Oct	180.00	3.0
FIRST NEW YORK NICK	029	Q	S	10,000	6.54	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	20,000	94.31	n/a	18-Oct	800.00	4.0
Õ Ravi Sadarangani		SDS	B	1000	27.8600	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	S	50,000	23.45	n/a	n/a	2,000.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	B	30,000	20.50	n/a	20-Oct	900.00	3.0
PATTEN & PATTEN	067	TIP	S	300	110.82	n/a	n/a	15.00	5.0
TRUST CO/COWEN/CALF.	040	TXT	B	150,455	20.69	n/a	n/a	6,018.20	4.0
CATAPULT	040	USG	B	10,000	12.71	n/a	22-Oct	400.00	4.0
BALYASNY ASSET MGMT	044	VXX	S	50,000	13.60	n/a	n/a	2,500.00	5.0
NWQ INVESTMENT MGMT CO	084	WPP	S	12,900	8.45	n/a	n/a	387.00	3.0
MILLENIUM PARTNERS	028	WY	SS	20,000	15.75	n/a	18-Oct	800.00	4.0
TOTAL (Trade Date) :								98,343.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/26	NOMURA CAPITAL (NOMUBATT2)	029	AWI	S	567	42.45	n/a	n/a	11.34 2.0
AO,	10/26	NOMURA CAPITAL (NOMUBSMAIN)	029	AWI	S	700	42.45	n/a	n/a	14.00 2.0
CRT	10/27	SAC CRIB (SCRIMSPB)	044	JBHT	B	25,000	36.10	n/a	n/a	875.00 3.5
AO,CRT	10/26	CARLSON CAPITAL (CARLUBS)	290	WFC	B	75,000	25.55	n/a	21-Oct	3000.00 4.0
AO,CXL	10/26	CARLSON CAPITAL (CARLJPM)	290	WFC	B	75,000	25.55	n/a	21-Oct	3000.00 4.0

TOTAL (AO, CXL, CRT) :	900.34
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TOTAL (Trade Date) :	98,343.18
TOTAL (AO, CXL, CRT) :	900.34

TOTAL (RUN DATE) / NFS :	99,243.52
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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