



Daily Compliance Activity Report

Trade Date: 11/22/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OHIO PERS	047	AGN	B	48,000	68.32	n/a	22-Nov	1,440.00	3.0
LAGRANGE CAP ADV	048	ALV	SS	1,719	76.00	n/a	27-Oct	85.95	5.0
REINHART & MAHONEY	047	AMAT	B	2,700	12.58	n/a	n/a	135.00	5.0
PZENA INV ADV	044	APA	S	575	107.69	n/a	16-Nov	20.13	3.5
SURSUM CAPITAL	215	BBY	B	20,000	44.04	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	BID	B	20,000	42.18	n/a	n/a	800.00	4.0
WATERFRONT CAP	028	BYI	B	41,798	39.38	n/a	n/a	1,671.92	4.0
PZENA INV ADV	044	CA	S	2,950	23.22	n/a	n/a	103.25	3.5
BUCK CAPITAL MGMT	001	CRI	B	50,000	30.11	n/a	n/a	2,000.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,100	93.34	n/a	16-Nov	44.00	4.0
OMEGA ADVISORS	041	C	B	100,000	4.20	n/a	18-Nov	3,000.00	3.0
ADALY INV MGMT	031	DELL	B	40,000	13.95	n/a	n/a	1,400.00	3.5
RBC CAPITAL MARKETS	040	DOW	B	25,000	31.15	n/a	15-Nov	1,000.00	4.0
CATAPULT	040	ECA	B	69,000	28.31	n/a	n/a	27.60	0.0

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BALYASNY ASSET MGMT	044	EMR	C	35,000	55.47	n/a	n/a	1,750.00	5.0
ROYAL CAPITAL MGMT	070	ERTS	S	424,902	15.40	n/a	n/a	21,245.10	5.0
STRONG/MARK GRONET	030	EXXI	S	10,930	25.77	n/a	n/a	437.20	4.0
MERRILL ASSET/BLACKROCK	266	FTO	B	9,300	15.24	n/a	n/a	372.00	4.0
HOOVER INV. MGMT	033	GCO	B	15,700	36.00	n/a	n/a	628.00	4.0
SURSUM CAPITAL	215	GPS	B	20,000	20.72	n/a	n/a	1,000.00	5.0
BERMAN CAPITAL MGMT	046	GYMB	B	5,000	65.37	n/a	5-Nov	150.00	3.0
KLEINHEINZ CAP PART	031	HBI	B	25,000	26.82	n/a	28-Oct	1,250.00	5.0
EPOCH INV MGMT	030	HCBK	B	500	11.48	n/a	9-Nov	15.00	3.0
SURSUM CAPITAL	215	HGG	B	25,000	23.31	n/a	n/a	1,250.00	5.0
GRUSS CAPITAL	025	HOGS	S	17,000	18.75	n/a	n/a	510.00	3.0
EPOCH INV MGMT	030	IGT	B	550	15.91	n/a	17-Nov	16.50	3.0
US BANCORP	030	IGT	B	6,369	15.94	n/a	17-Nov	318.45	5.0
WATERFRONT CAP	028	IGT	S	91,500	15.89	n/a	17-Nov	3,660.00	4.0
REINHART & MAHONEY	047	INTC	S	1,600	21.17	n/a	n/a	80.00	5.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	9,000	57.71	n/a	n/a	360.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	IP	B	25,000	25.36	n/a	27-Oct	1,250.00	5.0
ROTHSCHILD ASSET	040	IWN	S	8,570	65.87	n/a	n/a	342.80	4.0
CAERUS GLOBAL	041	JNY	B	50,000	13.95	n/a	28-Oct	2,000.00	4.0
SURSUM CAPITAL	215	JNY	B	9,530	13.80	n/a	28-Oct	476.50	5.0
TRELLUS PARTNERS LP	028	JNY	B	50,000	13.86	n/a	28-Oct	2,500.00	5.0
EPOCH INV MGMT	030	KBH	B	650	11.10	n/a	n/a	19.50	3.0
EPOCH INV MGMT	030	LH	B	250	82.64	n/a	n/a	7.50	3.0
FRIESS MGMT	033	LTD	S	581,900	33.17	n/a	n/a	23,276.00	4.0
REINHART & MAHONEY	047	MCD	S	150	79.40	n/a	8-Nov	7.50	5.0
SUFFOLK CAPITAL MGMT	040	MCD	S	95,000	79.33	n/a	8-Nov	3,800.00	4.0
EPOCH INV MGMT	030	MET	B	450	38.49	n/a	n/a	13.50	3.0
US BANCORP	030	MRVL	B	3,745	19.98	n/a	n/a	187.25	5.0
REINHART & MAHONEY	047	NTRS	S	700	50.84	n/a	18-Nov	35.00	5.0
SANDLER CAPITAL	226	NXTM	S	65,000	21.05	n/a	n/a	3,250.00	5.0
PZENA INV ADV	044	OMC	S	2,650	45.62	n/a	n/a	92.75	3.5
ROTHSCHILD ASSET	040	OMG	B	20,198	37.99	n/a	n/a	807.92	4.0
PZENA INV ADV	044	PNC	S	450	55.69	n/a	n/a	15.75	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	PVH	B	8,500	65.25	n/a	18-Oct	255.00	3.0
US BANCORP	030	ROC	B	1,699	37.21	n/a	n/a	84.95	5.0
BERMAN CAPITAL MGMT	046	SPY	S	10,000	119.60	n/a	n/a	300.00	3.0
PORTER-ORLIN	044	STD	SS	150,000	11.08	n/a	n/a	0.00	0.0
PZENA INV ADV	044	TEL	S	4,700	31.60	n/a	n/a	164.50	3.5
US BANCORP	030	THOR	S	12,853	25.83	n/a	n/a	642.65	5.0
NICOLAS APPLGATE	084	THQI	B	50,900	5.11	n/a	n/a	1,527.00	3.0
SURSUM CAPITAL	215	TLB	B	20,000	11.25	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	266	TTES	S	5,000	34.14	n/a	n/a	200.00	4.0
TRUST CO/COWEN/CALF.	040	TWX	S	103,300	30.53	n/a	n/a	5,165.00	5.0
LEVIN CAPITAL STRATEGIES	012	UAL	S	25,000	28.65	n/a	n/a	750.00	3.0
US BANCORP	030	UAL	B	3,191	28.54	n/a	n/a	159.55	5.0
COOPER CREEK PART	028	UFS	SS	15,000	78.85	n/a	n/a	600.00	4.0
REINHART & MAHONEY	047	WFC	B	1,200	27.12	n/a	18-Nov	60.00	5.0
PZENA INV ADV	044	WSH	S	950	32.62	n/a	n/a	33.25	3.5
REINHART & MAHONEY	047	WY	B	918	17.33	n/a	29-Oct	45.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	XOM	SS	575,000	69.35	n/a	n/a	28,750.00	5.0
PZENA INV ADV	044	ZMH	S	600	50.15	n/a	n/a	21.00	3.5
TOTAL (Trade Date):								123,610.87	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/19	NOMURA CAPITAL (NOMUAYCB)	029	QLTY	S	20,000	6.66	n/a	n/a	600.00 3.0
TOTAL (AO, CXL, CRT) :										600.00

TOTAL (Trade Date):	123,610.87
TOTAL (AO, CXL, CRT):	600.00

TOTAL (RUN DATE) / NFS:	124,210.87
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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