



Daily Compliance Activity Report

Trade Date: 11/08/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	AEO	S	25,000	16.57	n/a	5-Nov	1,000.00	4.0
STATE TEACHERS RET SYS	047	AHT	B	10,000	10.20	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	ANR	S	50,000	48.33	n/a	n/a	1,500.00	3.0
DSG CAPITAL	225	APC	B	2,000	64.39	n/a	2-Nov	60.00	3.0
MILLENIUM PARTNERS	028	AXL	SS	25,000	10.44	n/a	1-Nov	1,000.00	4.0
SCOPUS FUND	041	AXL	B	100,000	10.37	n/a	1-Nov	5,000.00	5.0
BUCK CAPITAL MGMT	001	BID	B	20,000	45.12	n/a	n/a	800.00	4.0
FIRST NEW YORK LEDDY	035	BSX	B	30,000	6.82	n/a	n/a	1,200.00	4.0
MTB INV ADV	034	BWLD	S	10,375	48.61	n/a	n/a	518.75	5.0
BUCK CAPITAL MGMT	001	CAB	B	20,805	23.19	n/a	n/a	832.20	4.0
JETSTREAM GLOBAL FUND LP	065	CAR	B	50,000	13.68	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	CLB	B	4,750	82.00	n/a	22-Oct	237.50	5.0
STATE TEACHERS RET SYS	047	CLI	S	5,000	33.81	n/a	n/a	250.00	5.0
CROWN CAP MGMT	084	CVGI	B	5,000	15.97	n/a	n/a	250.00	5.0
ACK ASSET	028	DAN	B	34,600	15.10	n/a	29-Oct	1,038.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	DAN	B	20,000	14.87	n/a	29-Oct	800.00	4.0
HARBORWATCH/DIAMBACK	232	DD	S	50,000	48.29	n/a	26-Oct	2,500.00	5.0
GRUSS CAPITAL	025	DEL	SS	2,500	50.43	n/a	n/a	75.00	3.0
O CAPITAL MGMT	029	FFNW	B	5,000	3.78	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	FO	B	5,000	54.23	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	FSIN	B	30,000	10.39	n/a	n/a	1,200.00	4.0
SCOPUS FUND	041	F	B	50,000	16.17	n/a	4-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	50,000	27.85	n/a	18-Oct	2,000.00	4.0
LATEFF MGMT	035	GLW	B	2,500	19.05	n/a	1-Nov	300.00	12.0
STATE TEACHERS RET SYS	047	GRT	B	10,000	8.25	n/a	n/a	500.00	5.0
METROPOLITAN CAPITAL	044	GSM	S	10,300	17.07	n/a	n/a	515.00	5.0
GRUSS CAPITAL	025	HAIN	S	5,000	26.84	n/a	n/a	150.00	3.0
OZ MGMT	040	HD	C	20,508	31.46	n/a	7-Oct	615.24	3.0
SAC TRADING TOM LEDDY	035	HGG	B	20,000	24.60	n/a	n/a	700.00	3.5
GRUSS CAPITAL	025	HOGS	S	5,000	23.24	n/a	n/a	150.00	3.0
CAMBIAR CAP	046	HON	S	119,170	49.09	n/a	18-Aug	4,766.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	HOT	B	40,000	58.39	n/a	2-Nov	1,600.00	4.0
STRONG/MARK GRONET	030	ICO	S	40,000	6.25	n/a	n/a	1,200.00	3.0
SIGMA CAPITAL ASSOCIATES	041	JCG	SS	25,000	33.47	n/a	n/a	875.00	3.5
SUN AMERICA ASSET MGMT	030	JPM	B	50,000	40.68	n/a	4-Nov	2,000.00	4.0
SOROS	036	KH	B	177,448	17.91	n/a	n/a	7,097.92	4.0
ASCEND PARTNERS	033	KSS	S	62,900	53.13	n/a	5-Nov	3,145.00	5.0
UNITED STATES PENSION	085	LEG	S	123,500	20.41	n/a	n/a	6,175.00	5.0
SAC COHEN	044	MCD	SS	50,000	79.27	n/a	8-Nov	1,750.00	3.5
MERRILL ASSET/BLACKROCK	266	MMSI	S	23,000	15.50	n/a	n/a	920.00	4.0
NEUBERGER BERMAN	036	MMYT	S	45,000	31.23	n/a	n/a	1,800.00	4.0
ENTRUST CAPITAL	040	MWW	SS	112,600	19.14	n/a	n/a	5,630.00	5.0
GLG PARTNERS	034	M	B	100,000	25.57	n/a	5-Nov	3,000.00	3.0
M&I FUNDS	047	M	B	11,565	25.19	n/a	5-Nov	462.60	4.0
BAIRD INVESTMENT	047	NDN	B	21,825	15.20	n/a	8-Nov	1,091.25	5.0
CADIAN CAPITAL	067	NDN	B	100,000	15.18	n/a	8-Nov	3,000.00	3.0
CHARTER OAK	033	NDN	B	20,000	15.17	n/a	8-Nov	1,000.00	5.0
COLONIAL FUND LLC	036	NDN	S	10,000	15.14	n/a	8-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	NOK	B	25,000	10.60	n/a	n/a	875.00	3.5
COHE & STEERS	041	PCL	S	54,626	38.89	n/a	26-Oct	2,185.04	4.0
MERRILL ASSET/BLACKROCK	266	PJC	B	14,893	34.22	n/a	n/a	595.72	4.0
STATE TEACHERS RET SYS	047	PLD	S	15,000	14.80	n/a	n/a	750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	16,500	64.75	n/a	18-Oct	495.00	3.0
APEX CAPITAL MGMT.	261	RIMM	C	73,400	56.36	n/a	n/a	2,936.00	4.0
HARVEST MGMT	029	SAPE	S	30,000	12.53	n/a	n/a	1,500.00	5.0
AMBER CAPITAL	046	SLE	B	100,000	14.69	n/a	n/a	4,000.00	4.0
PZENA INV ADV	044	TEL	S	200	33.55	n/a	n/a	7.00	3.5
JP MORGAN VENTURES	046	TGT	B	10,000	55.08	n/a	5-Nov	400.00	4.0
SAC TRADING TOM LEDDY	035	TJX	SS	50,000	46.05	n/a	5-Nov	1,750.00	3.5
SAC TRADING TOM LEDDY	035	TLB	SS	25,000	10.54	n/a	n/a	875.00	3.5
SENATOR INVESTMENT GROUP	036	WMB	S	65,000	22.52	n/a	n/a	1,950.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	55.04	n/a	18-Oct	400.00	4.0
TYEE/TYGH	035	WRC	S	29,388	54.92	n/a	18-Oct	1,175.52	4.0
CLOVIS CAPITAL	012	WY	B	175,000	17.45	n/a	29-Oct	5,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	WY	B	19,493	17.67	n/a	29-Oct	974.65	5.0
SAC COHEN	044	YUM	SS	100,000	51.62	n/a	15-Oct	3,500.00	3.5
TOTAL (Trade Date) :							104,774.19		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/05	STATE TEACHERS RET SYS (STRSMAIN)	047	CBL	S	30,000	18.73	n/a	n/a	1500.00 5.0
AO,	11/05	STATE TEACHERS RET SYS (STRSMAIN)	047	CBL	S	15,000	18.95	n/a	n/a	750.00 5.0
AO,CRT	11/05	STATE TEACHERS RET SYS (STRSMAIN)	047	CBL	S	15,000	18.51	n/a	n/a	750.00 5.0
AO,CXL	11/03	DSG CAPITAL (DSGCJEFF)	225	COG	B	5,000	30.56	n/a	27-Oct	250.00 5.0
AO,CRT	11/03	DSG CAPITAL (DSGCJEFF)	225	COG	B	5,000	30.56	n/a	27-Oct	150.00 3.0
AO,CXL	11/04	DSG CAPITAL (DSGCJEFF)	225	COG	S	5,000	31.70	n/a	27-Oct	150.00 3.0
AO,CRT	11/04	DSG CAPITAL (DSGCJEFF)	225	COG	S	5,000	31.70	n/a	27-Oct	250.00 5.0
AO,CXL	10/28	EMERSON CAPITAL MGMT (EMEREMERSO)	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68 3.0
AO,CRT	10/28	EMERSON CAPITAL MGMT (EMEREMERSO)	048	HBI	B	18,256	25.44	n/a	28-Oct	730.24 4.0
CRT	11/08	JP MORGAN VENTURES (JPMVJPM)	046	TGT	B	10,000	55.08	n/a	5-Nov	400.00 4.0

TOTAL (AO, CXL, CRT) :**582.56**

TOTAL (Trade Date) :

104,774.19

TOTAL (AO, CXL, CRT) :

582.56

TOTAL (RUN DATE) / NFS :**105,356.75**

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