



## Daily Compliance Activity Report

Trade Date: 09/29/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DENVER INST. ADV	046	ADTN	S	50,700	34.76	n/a	n/a	2,028.00	4.0
MERRILL ASSET/BLACKROCK	266	AFG	B	8,100	30.47	n/a	n/a	324.00	4.0
HIGHBRIDGE CAP	041	AMD	B	500,000	7.30	n/a	n/a	15,000.00	3.0
SYSTEMATIC FINANCIAL MGT	035	ANN	B	34,600	20.44	n/a	n/a	1,038.00	3.0
BRANDWINE	028	ARO	S	29,730	23.41	n/a	2-Sep	1,189.20	4.0
PATTEN & PATTEN	067	BDX	S	11,400	74.31	n/a	n/a	570.00	5.0
MERRILL ASSET/BLACKROCK	266	BEC	B	5,900	47.99	n/a	n/a	236.00	4.0
BRANDWINE	028	BIIB	B	19,720	55.38	n/a	n/a	788.80	4.0
JANA CAPITAL	044	CBS	SS	196,294	15.81	n/a	n/a	7,851.76	4.0
IMPALA ASSET MMT	012	CCL	B	52,000	38.64	n/a	n/a	2,080.00	4.0
SONTERRA CAP	041	CHK	SS	50,000	22.48	n/a	n/a	2,000.00	4.0
MERRILL ASSET/BLACKROCK	266	CPT	S	2,600	47.56	n/a	n/a	104.00	4.0
PARTNER REINSURANCE	033	CRI	S	36,600	26.52	n/a	n/a	1,464.00	4.0
CAVU CAP ADV	028	CROX	S	30,000	12.86	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	CSX	B	28,500	55.66	n/a	n/a	855.00	3.0
GOLD SACHS SPECIAL SIT	030	DAN	S	100,000	12.51	n/a	2-Aug	5,000.00	5.0
TOCQUEVILLE	067	DBD	S	33,500	30.63	n/a	16-Sep	1,675.00	5.0
PARTNER REINSURANCE	033	DG	S	39,150	29.37	n/a	1-Sep	1,566.00	4.0
ENTRUST CAPITAL	040	DKS	B	80,900	28.20	n/a	19-Aug	4,045.00	5.0
GREEN ARROW DOUG	040	DKS	SS	20,000	28.16	n/a	19-Aug	1,000.00	5.0
HIGHBRIDGE CAP	041	DKS	B	17,899	28.09	n/a	19-Aug	536.97	3.0
CAVU CAP ADV	028	DOW	B	25,000	27.62	n/a	24-Aug	1,250.00	5.0
MERRILL ASSET/BLACKROCK	266	EQT	B	45,700	35.66	n/a	n/a	1,828.00	4.0
GRUSS CAPITAL	025	EWM	B	80,000	13.71	n/a	n/a	2,400.00	3.0
<b>Õ Nilsa Vazquez</b>		<b>FALC</b>	<b>B</b>	<b>3000</b>	<b>3.1300</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	041	FDO	B	20,000	44.47	n/a	29-Sep	800.00	4.0
THE JAY GOLDMAN	028	FDO	S	50,000	44.33	n/a	29-Sep	2,000.00	4.0
IMPALA ASSET MMT	012	FDX	B	23,300	85.78	n/a	n/a	1,165.00	5.0
PARTNER REINSURANCE	033	FL	S	74,465	14.83	n/a	20-Aug	2,978.60	4.0
MILLENIUM PARTNERS	028	F	SS	20,000	12.40	n/a	2-Sep	800.00	4.0
OZ MGMT	040	F	SS	125,000	12.41	n/a	2-Sep	3,750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	GIL	C	9,813	27.74	n/a	27-Sep	490.65	5.0
HIGHBRIDGE CAP	041	GLW	B	24,606	18.38	n/a	14-Sep	738.18	3.0
METROPOLITAN CAPITAL	044	GSM	S	12,600	14.19	n/a	n/a	630.00	5.0
KACELA CAPITAL	034	HD	S	75,000	31.72	n/a	17-Aug	3,000.00	4.0
IMPALA ASSET MMT	012	HK	S	237,100	15.69	n/a	n/a	9,484.00	4.0
CATAPULT	040	HUN	B	10,000	11.71	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	ITT	S	14,400	46.71	n/a	30-Apr	720.00	5.0
BROADARCH CAP/OLD NEWC	070	ITW	SS	3,200	46.78	n/a	30-Jul	128.00	4.0
IMPALA ASSET MMT	012	JCG	B	25,000	32.91	n/a	n/a	1,000.00	4.0
ROTHSCHILD ASSET	040	JDSU	S	29,700	12.70	n/a	n/a	1,188.00	4.0
LAGRANGE CAP ADV	048	JEF	B	5,000	22.40	n/a	n/a	250.00	5.0
PZENA INV ADV	044	JPM	B	6,900	38.65	n/a	22-Sep	241.50	3.5
BALYASNY ASSET MGMT	044	JWN	B	25,000	38.12	n/a	2-Sep	1,250.00	5.0
OZ MGMT	040	KMT	S	89,432	31.12	n/a	30-Jul	2,682.96	3.0
BALYASNY ASSET MGMT	044	LEA	B	10,000	76.87	n/a	4-Aug	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASCOM HILL PARTNERS LLC	033	LEA	B	7,500	76.39	n/a	4-Aug	225.00	3.0
COLONIAL FUND LLC	036	LEA	S	7,500	77.61	n/a	4-Aug	300.00	4.0
TRELLUS PARTNERS LP	028	LEA	B	200	75.50	n/a	4-Aug	10.00	5.0
TROUBH PART	067	LEA	B	10,000	75.57	n/a	4-Aug	500.00	5.0
HIGHBRIDGE CAP	041	LPL	B	75,000	17.78	n/a	n/a	2,250.00	3.0
AAD CAPITAL	084	LPX	S	100,000	7.79	n/a	23-Sep	2,000.00	2.0
HIGHBRIDGE CAP	041	LRCX	SS	50,000	42.57	n/a	n/a	1,500.00	3.0
LAGRANGE CAP ADV	048	LULU	SS	5,000	46.30	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>S</b>	<b>10,000</b>	<b>29.98</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
IMPALA ASSET MMT	012	MON	B	75,000	48.64	n/a	28-Sep	3,750.00	5.0
AVESTA CAP	229	MSFT	SS	300,000	24.43	n/a	n/a	9,000.00	3.0
SAC CHICAGO ANDREW	031	M	B	15,000	23.09	n/a	2-Sep	525.00	3.5
THE JAY GOLDMAN	028	M	B	10,000	22.90	n/a	2-Sep	400.00	4.0
GLENHILL CAPITAL	212	NAV	S	124,600	45.21	n/a	n/a	6,230.00	5.0
COBALT	041	NE	S	100,000	34.35	n/a	n/a	5,000.00	5.0
SAXON WOODS ADVISORS	242	NOK	S	15,000	9.79	n/a	n/a	600.00	4.0
DENVER INST. ADV	046	NTCT	B	10,000	20.42	n/a	n/a	400.00	4.0
STELLIAM INV ADV	034	OC	S	20,000	25.61	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>Õ Ravi Sadarangani</b>		<b>PAL</b>	<b>S</b>	<b>1000</b>	<b>3.9900</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	PCAR	C	40,000	47.48	n/a	28-Jul	1,600.00	4.0
IMPALA ASSET MMT	012	PCL	S	150,000	35.16	n/a	26-Aug	7,500.00	5.0
TYEE/TYGH	035	PDCO	S	96,172	28.44	n/a	n/a	3,846.88	4.0
PARTNER REINSURANCE	033	PLCE	S	37,150	49.48	n/a	19-Aug	1,486.00	4.0
PARTNER REINSURANCE	033	PNK	S	138,950	11.07	n/a	n/a	5,558.00	4.0
ROTHSCHILD ASSET	040	PTEN	B	11,230	17.11	n/a	n/a	449.20	4.0
HIGHBRIDGE CAP	041	QCOM	B	20,000	44.31	n/a	n/a	600.00	3.0
<b>Õ Michael Ehrlich</b>		<b>SD</b>	<b>S</b>	<b>600</b>	<b>5.4910</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DENVER INST. ADV	046	SGEN	B	55,700	15.08	n/a	n/a	2,228.00	4.0
ROYAL CAPITAL MGMT	070	SHW	SS	80,000	75.86	n/a	1-Sep	4,000.00	5.0
GRUSS CAPITAL	025	SNY	S	15,000	33.76	n/a	n/a	450.00	3.0
HIGHBRIDGE CAP	041	STX	B	18,800	12.01	n/a	n/a	564.00	3.0
HIGHBRIDGE CAP	041	SWY	SS	60,000	21.05	n/a	n/a	1,800.00	3.0
JANA CAPITAL	044	S	S	200,000	4.65	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	TC	S	80,049	10.81	n/a	n/a	3,201.96	4.0
PIONEER PATH	226	TGT	B	30,000	53.48	n/a	2-Sep	900.00	3.0
MERRILL ASSET/BLACKROCK	266	THG	B	4,800	46.55	n/a	n/a	192.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	178,300	18.84	n/a	20-Sep	7,132.00	4.0
FRONTIER	048	TJX	S	200,000	45.02	n/a	2-Sep	8,000.00	4.0
CENTURION PARTNERS	041	TLB	B	20,000	12.76	n/a	n/a	800.00	4.0
DAWSON CAPITAL MGMT.	085	TLB	B	100,000	12.78	n/a	n/a	5,000.00	5.0
HIGHBRIDGE CAP	041	TRW	B	23,800	41.72	n/a	n/a	714.00	3.0
DENVER INST. ADV	046	UIL	B	67,947	28.16	n/a	n/a	2,717.88	4.0
MERRILL ASSET/BLACKROCK	266	URBN	S	39,300	33.00	n/a	n/a	1,572.00	4.0
ROTHSCHILD ASSET	040	VQ	S	25,829	19.83	n/a	n/a	1,033.16	4.0
DENVER INST. ADV	046	VRX	S	98,425	25.47	n/a	n/a	3,937.00	4.0
HIGHBRIDGE CAP	041	WDC	B	23,370	28.73	n/a	n/a	701.10	3.0
IMPALA ASSET MMT	012	WLT	B	20,000	83.20	n/a	n/a	1,000.00	5.0
Õ Ravi Sadarangani		WNC	S	1500	8.0400	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		WNC	S	500	8.0500	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	WR	B	19,200	24.27	n/a	n/a	768.00	4.0
BALYASNY ASSET MGMT	044	WSM	C	50,000	32.30	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	WY	B	54,038	16.19	n/a	26-Aug	2,701.90	5.0
DIAMONDBACK CAP MGMT	232	XME	C	45,000	53.75	n/a	n/a	1,350.00	3.0
<b>TOTAL (Trade Date):</b>							<b>207,169.70</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	AMD	B	500,000	7.30	n/a	n/a	15000.00 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	CSX	B	28,500	55.66	n/a	n/a	855.00 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	DKS	B	17,899	28.09	n/a	19-Aug	536.97 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	GLW	B	24,606	18.38	n/a	14-Sep	738.18 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	LPL	B	75,000	17.78	n/a	n/a	2250.00 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	LRCX	SS	50,000	42.57	n/a	n/a	1500.00 3.0
AO,CRT	09/28	ADALY INV MGMT (ADALSTRUS)	031	PAG	B	1,800	12.66	n/a	4-Aug	72.00 4.0
AO,CXL	09/28	ADALY INV MGMT (ADALSOMF)	031	PAG	B	1,800	12.66	n/a	4-Aug	72.00 4.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	QCOM	B	20,000	44.31	n/a	n/a	600.00 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	STX	B	18,800	12.01	n/a	n/a	564.00 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	SWY	SS	60,000	21.05	n/a	n/a	1800.00 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	TRW	B	23,800	41.72	n/a	n/a	714.00 3.0
CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	WDC	B	23,370	28.73	n/a	n/a	701.10 3.0
AO,	09/28	COLUMBUS CIRCLE (COLC3050)	036	WLK	B	6,685	30.06	n/a	n/a	267.40 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>25,526.65</b>



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TOTAL (Trade Date):	207,169.70
TOTAL (AO, CXL, CRT):	25,526.65

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>232,696.35</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