



Daily Compliance Activity Report

Trade Date: 11/02/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	AEO	B	75,000	15.87	n/a	29-Oct	2,625.00	3.5
CR INTRINIC INVESTMENT	044	AGN	SS	40,000	74.71	n/a	1-Nov	1,400.00	3.5
COLUMBUS CIRCLE	036	ALGT	B	1,532	47.50	n/a	n/a	52.10	3.0
TRELLUS PARTNERS LP	028	AN	SS	10,000	23.91	n/a	29-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	100,000	23.98	n/a	29-Oct	4,000.00	4.0
OZ MGMT	040	AXL	SS	150,000	8.95	n/a	1-Nov	4,500.00	3.0
ADAGE CAPITAL MGMT	030	BBBY	B	200,000	44.29	n/a	n/a	6,000.00	3.0
HIGHBRIDGE CAP	041	BG	SS	20,000	59.93	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	BID	B	40,000	44.72	n/a	n/a	1,600.00	4.0
HARBORWATCH/DIAMBACK	232	CAT	S	30,000	79.64	n/a	22-Oct	1,500.00	5.0
FARALLON CAP MGMT	040	CHKP	S	65,000	42.94	n/a	n/a	1,950.00	3.0
CATAPULT	040	CLB	SS	25,000	78.25	n/a	22-Oct	1,000.00	4.0
COUGAR TRADING	044	CMI	B	10,000	91.40	n/a	29-Oct	500.00	5.0
COUGAR TRADING	044	CMI	S	10,000	91.48	n/a	29-Oct	500.00	5.0
NWQ INVESTMENT MGMT CO	084	CPKI	B	38,175	16.92	n/a	15-Oct	1,527.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC TRADIN/BINDER	044	CSE	B	60,200	6.09	n/a	n/a	2,107.00	3.5
DIAMONDBACK CAP MGMT	232	DHI	SS	23,000	11.04	n/a	n/a	1,150.00	5.0
HARBORWATCH/DIAMBACK	232	DHI	C	50,000	10.88	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	EAT	S	25,000	18.78	n/a	n/a	1,000.00	4.0
NCM CAPITAL MGMT	035	ENDP	B	78,400	35.61	n/a	2-Nov	3,136.00	4.0
HARBORWATCH/DIAMBACK	232	FCX	S	20,000	97.90	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	FCX	B	173,017	97.59	n/a	n/a	6,920.68	4.0
BUCK CAPITAL MGMT	001	GES	B	50,000	39.57	n/a	18-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	GIL	B	50,000	27.64	n/a	18-Oct	2,000.00	4.0
ASCEND PARTNERS	033	GRMN	C	40,000	33.17	n/a	n/a	2,000.00	5.0
LISTED ERR	099	GYMB	S	15,000	65.09	n/a	29-Oct	0.00	0.0
ADAGE CAPITAL MGMT	030	HGG	B	25,000	22.07	n/a	n/a	750.00	3.0
ADAGE CAPITAL MGMT	030	HSC	SS	24,500	23.25	n/a	3-Aug	735.00	3.0
NCM CAPITAL MGMT	035	HSP	S	18,800	60.09	n/a	1-Nov	752.00	4.0
SCOPUS FUND	041	IGT	B	30,000	15.99	n/a	20-Oct	1,500.00	5.0
RBC CAPITAL MARKETS	040	IP	SS	35,000	25.06	n/a	27-Oct	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC TRADING TOM LEDDY	035	JCG	B	4,500	30.97	n/a	n/a	157.50	3.5
ASCEND PARTNERS	033	JCP	C	12,839	31.31	n/a	29-Oct	641.95	5.0
CAXTON PART	040	JPM	B	74,908	37.30	n/a	19-Oct	2,621.82	3.5
ADAGE CAPITAL MGMT	030	KMX	B	125,000	30.87	n/a	n/a	3,750.00	3.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	100,000	51.35	n/a	29-Oct	3,500.00	3.5
MERRILL ASSET/BLACKROCK	266	LF	S	100,000	6.32	n/a	n/a	4,000.00	4.0
JP MORGAN VENTURES	046	LOW	S	15,000	21.82	n/a	16-Aug	750.00	5.0
FRONTPOINT	266	LPX	S	35,143	7.90	n/a	18-Oct	1,054.29	3.0
LATEFF MGMT	035	LUV	S	2,500	14.08	n/a	n/a	225.00	9.0
CHILTON CAPITAL MGMT.	036	MS	S	120,000	24.61	n/a	21-Oct	3,600.00	3.0
JP MORGAN VENTURES	046	MT	SS	10,000	33.79	n/a	n/a	500.00	5.0
SAC CAPITAL/M GRONET	030	M	B	12,500	24.01	n/a	29-Oct	437.50	3.5
COUGAR TRADING	044	NAV	B	10,000	51.05	n/a	n/a	500.00	5.0
COUGAR TRADING	044	NAV	S	10,000	50.50	n/a	n/a	500.00	5.0
NCM CAPITAL MGMT	035	NUAN	B	18,604	15.73	n/a	n/a	744.16	4.0
ADAGE CAPITAL MGMT	030	NWL	B	70,000	17.84	n/a	n/a	2,100.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	NWL	B	15,000	17.78	n/a	n/a	750.00	5.0
CATAPULT	040	PCAR	B	10,000	53.10	n/a	29-Oct	400.00	4.0
COUGAR TRADING	044	PCAR	B	10,000	53.07	n/a	29-Oct	500.00	5.0
COUGAR TRADING	044	PCAR	S	10,000	52.86	n/a	29-Oct	500.00	5.0
CAXTON PART	040	PFCB	S	32,814	46.15	n/a	27-Oct	1,148.51	3.5
CLOVIS CAPITAL	012	PFE	S	200,000	17.33	n/a	n/a	10,000.00	5.0
JMP ASSET MGMT	210	PLOW	S	15,000	13.50	n/a	n/a	750.00	5.0
WAGONHOUND/NIC	289	PVH	B	3,831	61.85	n/a	18-Oct	153.24	4.0
NOMURA CAPITAL	029	QLTY	S	6,402	7.10	n/a	n/a	192.06	3.0
EMERSON CAPITAL MGMT	048	RDEN	SS	13,664	21.24	n/a	26-Oct	409.92	3.0
JP MORGAN VENTURES	046	SAI	B	15,000	15.79	n/a	n/a	750.00	5.0
CR INTRINIC INVESTMENT	044	SPY	SS	25,000	119.71	n/a	n/a	875.00	3.5
CATAPULT	040	SSCC	B	10,000	23.41	n/a	2-Nov	400.00	4.0
DSG CAPITAL	225	TEX	B	10,000	23.42	n/a	22-Oct	300.00	3.0
SCOPUS FUND	041	TIN	B	27,783	20.86	n/a	20-Oct	1,389.15	5.0
CIRCLE T/SES PART	035	TJX	B	10,000	46.28	n/a	29-Oct	400.00	4.0
ADAGE CAPITAL MGMT	030	TLB	S	300,000	9.77	n/a	n/a	9,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARCHON CAPITAL	035	TLEO	SS	5,000	29.73	n/a	n/a	150.00	3.0
CRAMER ROSENTHAL/SCOTT	012	TTWO	B	3,000	10.96	n/a	n/a	120.00	4.0
SAC TRADING TOM LEDDY	035	URBN	SS	20,000	30.47	n/a	n/a	700.00	3.5
SONTERRA CAP	041	URS	SS	7,683	40.67	n/a	n/a	307.32	4.0
CAXTON PART	040	UTX	B	42,100	75.20	n/a	n/a	1,473.52	3.5
RBC CAPITAL MARKETS	040	VALE	B	70,000	32.95	n/a	n/a	2,800.00	4.0
CAERUS GLOBAL	041	WAG	S	19,506	34.52	n/a	n/a	780.24	4.0
COUGAR TRADING	044	WBC	B	10,000	48.52	n/a	29-Oct	500.00	5.0
COUGAR TRADING	044	WBC	S	10,000	48.85	n/a	29-Oct	500.00	5.0
SF SENTRY	085	WEN	B	20,000	4.72	n/a	15-Oct	800.00	4.0
CASTLEROCK	040	WMT	SS	100,490	54.86	n/a	14-Oct	4,019.60	4.0
TYEE/TYGH	035	WRC	S	7,900	52.71	n/a	18-Oct	316.00	4.0
SCOPUS FUND	041	WYNN	SS	2,000	110.49	n/a	1-Nov	100.00	5.0
TOTAL (Trade Date) :								122,271.56	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/01	LISTED ERR (LISTED ERR)	099	GYMB	B	15,000	65.10	n/a 29-Oct	0.00 0.0
TOTAL (AO, CXL, CRT) :									0.00

TOTAL (Trade Date) :	122,271.56
TOTAL (AO, CXL, CRT) :	0.00
TOTAL (RUN DATE) / NFS :	122,271.56

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