



## Daily Compliance Activity Report

Trade Date: 12/03/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	150	317.82	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	ABT	B	850	47.22	n/a	n/a	25.50	3.0
SURSUM CAPITAL	215	AEO	SS	20,000	15.62	n/a	3-Dec	600.00	3.0
EPOCH INV MGMT	030	AET	B	1,350	30.25	n/a	n/a	40.50	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>55.84</b>	<b>n/a</b>	<b>3-Dec</b>	<b>400.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	BA	B	300	66.36	n/a	22-Nov	9.00	3.0
MILLRACE FUND LP	028	BIG	B	9,000	29.63	n/a	3-Dec	360.00	4.0
SURSUM CAPITAL	215	BIG	B	30,000	30.06	n/a	3-Dec	900.00	3.0
EPOCH INV MGMT	030	CL	B	350	77.92	n/a	8-Nov	10.50	3.0
EPOCH INV MGMT	030	CMCSK	B	3,300	19.52	n/a	n/a	99.00	3.0
SURSUM CAPITAL	215	COH	B	10,000	56.17	n/a	27-Oct	300.00	3.0
TROUBH PART	067	COH	SS	10,000	56.61	n/a	27-Oct	500.00	5.0
EPOCH INV MGMT	030	COP	B	450	63.83	n/a	n/a	13.50	3.0
JMP ASSET MGMT	210	CRIC	B	898	9.05	n/a	n/a	35.92	4.0
EPOCH INV MGMT	030	CTBI	B	100	27.93	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DD	B	1,150	49.16	n/a	26-Oct	34.50	3.0
EPOCH INV MGMT	030	DELL	B	2,700	13.66	n/a	n/a	81.00	3.0
SCOPUS FUND	041	DG	B	60,220	33.46	n/a	1-Oct	2,408.80	4.0
EPOCH INV MGMT	030	DHR	B	1,300	44.35	n/a	n/a	39.00	3.0
EPOCH INV MGMT	030	DVA	B	900	73.85	n/a	n/a	27.00	3.0
AELTUS/ING INVESTMENT MGT	215	DVN	B	10,000	73.53	n/a	2-Dec	350.00	3.5
EPOCH INV MGMT	030	DVN	B	550	73.72	n/a	2-Dec	16.50	3.0
EPOCH INV MGMT	030	FORR	B	50	35.72	n/a	n/a	1.50	3.0
BALYASNY ASSET MGMT	044	FWLT	B	20,000	30.96	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>30,000</b>	<b>39.18</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>10,000</b>	<b>48.48</b>	<b>n/a</b>	<b>24-Nov</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>20,000</b>	<b>29.01</b>	<b>n/a</b>	<b>3-Dec</b>	<b>800.00</b>	<b>4.0</b>
SCHOTTENFELD ASSOC	041	GNTX	B	10,000	25.20	n/a	25-Oct	300.00	3.0
SURSUM CAPITAL	215	GPS	B	10,000	21.26	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	HAYN	B	100	40.31	n/a	n/a	3.00	3.0
SURSUM CAPITAL	215	HGG	B	10,000	25.36	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	IP	S	196,286	26.04	n/a	27-Oct	7,851.44	4.0
CAERUS GLOBAL	041	JNY	B	15,000	14.81	n/a	28-Oct	600.00	4.0
DELTEC ASSET MGMT.	040	JNY	B	20,000	14.67	n/a	28-Oct	1,000.00	5.0
GLOBAL 56 LLC	060	JNY	S	2,500	14.93	n/a	28-Oct	125.00	5.0
SURSUM CAPITAL	215	JNY	B	21,700	14.60	n/a	28-Oct	651.00	3.0
SURSUM CAPITAL	215	JWN	SS	10,000	41.71	n/a	30-Nov	300.00	3.0
M&I FUNDS	047	LEA	B	13,490	94.07	n/a	29-Oct	539.60	4.0
SCOPUS FUND	041	LSTR	SS	25,000	39.33	n/a	n/a	1,000.00	4.0
NOMURA CAPITAL	029	LYBB	S	25,000	30.00	n/a	n/a	750.00	3.0
BRANDWINE	028	MO	S	89,800	23.75	n/a	n/a	3,592.00	4.0
PEAK INV LLC	084	MPG	S	100,000	2.42	n/a	n/a	4,000.00	4.0
MERRILL ASSET/BLACKROCK	266	MVC	B	25,000	13.99	n/a	n/a	1,000.00	4.0
SURSUM CAPITAL	215	M	B	20,000	24.97	n/a	30-Nov	600.00	3.0
CATAPULT	040	NYX	B	5,000	28.76	n/a	n/a	200.00	4.0
LEVIN CAPITAL STRATEGIES	012	OMX	B	25,000	18.64	n/a	n/a	750.00	3.0
UNITED STATES PENSION	085	PCH	S	55,458	32.61	n/a	29-Oct	2,218.32	4.0
AELTUS/ING INVESTMENT MGT	215	PFE	S	84,070	16.66	n/a	n/a	2,942.48	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	PLOW	B	200	14.70	n/a	n/a	6.00	3.0
BRANDWINE	028	PM	S	39,220	57.58	n/a	n/a	1,568.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>70.87</b>	<b>n/a</b>	<b>3-Dec</b>	<b>400.00</b>	<b>4.0</b>
SURSUM CAPITAL	215	PVH	SS	30,000	69.16	n/a	3-Dec	900.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	19,500	68.99	n/a	3-Dec	585.00	3.0
SURSUM CAPITAL	215	RSH	S	30,000	19.61	n/a	n/a	900.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>120,000</b>	<b>22.48</b>	<b>n/a</b>	<b>n/a</b>	<b>4,800.00</b>	<b>4.0</b>
TROUBH PART	067	SPY	SS	25,000	122.30	n/a	n/a	1,250.00	5.0
EPOCH INV MGMT	030	SUPX	B	100	25.16	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	TCBI	B	200	19.96	n/a	n/a	6.00	3.0
CAXTON PART	040	TEX	B	127,500	26.80	n/a	22-Oct	4,462.52	3.5
ASCEND PARTNERS	033	TGT	B	111,077	58.75	n/a	2-Dec	5,553.85	5.0
TROUBH PART	067	TIF	SS	10,000	62.70	n/a	n/a	500.00	5.0
IRIDIAN ASSET MGMT.	036	TK	S	37,450	32.75	n/a	n/a	1,872.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>50,000</b>	<b>11.45</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	TLB	B	50,000	11.35	n/a	n/a	2,500.00	5.0
THE JAY GOLDMAN	028	TLB	S	25,000	11.35	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	TOL	B	20,000	18.56	n/a	n/a	1,000.00	5.0
KLEINHEINZ CAP PART	031	TWC	B	50,000	64.96	n/a	n/a	2,500.00	5.0
AELTUS/ING INVESTMENT MGT	215	UNM	S	273,439	22.40	n/a	n/a	9,570.49	3.5
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	75,000	37.86	n/a	n/a	2,625.00	3.5
SURSUM CAPITAL	215	URBN	B	20,000	37.96	n/a	n/a	600.00	3.0
AELTUS/ING INVESTMENT MGT	215	VLO	B	307,540	21.06	n/a	n/a	10,763.97	3.5
EPOCH INV MGMT	030	VPFG	B	200	10.53	n/a	n/a	6.00	3.0
WADDELL AND REED	047	VRTX	S	700,000	33.55	n/a	n/a	21,000.00	3.0
EPOCH INV MGMT	030	VR	B	100	29.19	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	WAB	B	50	49.93	n/a	n/a	1.50	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>56.32</b>	<b>n/a</b>	<b>9-Nov</b>	<b>400.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	WRC	B	50	55.43	n/a	9-Nov	1.50	3.0
SURSUM CAPITAL	215	WSM	S	10,000	34.70	n/a	n/a	300.00	3.0
AELTUS/ING INVESTMENT MGT	215	XOM	B	10,000	71.17	n/a	n/a	350.00	3.5
<b>TOTAL (Trade Date) :</b>								<b>116,111.69</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/02	SIGMA CAP BOBBY (SIBEBOBBY)	044	AVY	SS	10,000	39.67	n/a	27-Oct	350.00 3.5
AO,CXL	12/02	SIGMA CAP BOBBY (SIBEBOBBY)	044	AVY	SS	10,000	39.65	n/a	27-Oct	350.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES (SIGMML)	044	AVY	SS	10,000	39.67	n/a	27-Oct	350.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES (SIGMML)	044	AVY	SS	10,000	39.65	n/a	27-Oct	350.00 3.5
AO,	12/02	BRANDWINE (BWAM2904)	028	BBY	B	7,600	43.51	n/a	n/a	304.00 4.0
AO,	12/02	BRANDWINE (BWAM2900)	028	BBY	B	100	43.51	n/a	n/a	4.00 4.0
AO,	12/02	BRANDWINE (BWAM2905)	028	BBY	B	8,500	43.51	n/a	n/a	340.00 4.0
AO,	12/02	BRANDWINE (BWAM2901)	028	BBY	B	11,000	43.51	n/a	n/a	440.00 4.0
AO,	12/02	BRANDWINE (BWAM2903)	028	BBY	B	73,800	43.51	n/a	n/a	2952.00 4.0
AO,CXL	12/02	SIGMA CAP BOBBY (SIBEDBPB)	044	GM	B	20,000	34.67	n/a	1-Feb	700.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES (SIGMML)	044	GM	B	20,000	34.67	n/a	1-Feb	700.00 3.5
AO,CXL	12/02	SIGMA CAP BOBBY (SIBEDBPB)	044	GPS	B	30,000	21.71	n/a	n/a	1050.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES (SIGMML)	044	GPS	B	30,000	21.71	n/a	n/a	1050.00 3.5
AO,CXL	12/02	SIGMA CAP BOBBY (SIBEBOBBY)	044	HTZ	B	25,000	12.94	n/a	n/a	875.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES (SIGMML)	044	HTZ	B	25,000	12.94	n/a	n/a	875.00 3.5
AO,	12/02	NOMURA CAPITAL (NOMUAYCB)	029	LYBB	S	50,000	30.06	n/a	n/a	1500.00 3.0
AO,CXL	12/02	SIGMA CAP BOBBY (SIBEDBPB)	044	MMM	SS	10,000	86.91	n/a	28-Oct	350.00 3.5
AO,CXL	12/02	SIGMA CAP BOBBY (SIBEBOBBY)	044	MMM	SS	10,000	86.78	n/a	28-Oct	350.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES (SIGMML)	044	MMM	SS	10,000	86.91	n/a	28-Oct	350.00 3.5
AO,CRT	12/02	SIGMA CAPITAL ASSOCIATES (SIGMML)	044	MMM	SS	10,000	86.78	n/a	28-Oct	350.00 3.5
AO,CRT	12/02	S.A.C. CAP/ORENSTEIN (SACCMSCO)	044	WY	SS	90,000	17.41	n/a	29-Oct	3150.00 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	12/02	S.A.C. CAP/ORENSTEIN (SACCNEWORE)	044	WY	SS	90,000	17.41	n/a 29-Oct	3150.00 3.5

<b>TOTAL (AO, CXL, CRT) :</b>	<b>5,540.00</b>
-------------------------------	-----------------

TOTAL (Trade Date) :	116,111.69
TOTAL (AO, CXL, CRT) :	5,540.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>121,651.69</b>
---------------------------------	-------------------

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