



Daily Compliance Activity Report

Trade Date: 10/14/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUSS CAPITAL	025	ADBE	B	3,000	27.84	n/a	n/a	90.00	3.0
GRUSS CAPITAL	025	ADM	S	2,500	33.33	n/a	14-Oct	75.00	3.0
BALYASNY ASSET MGMT	044	AEO	B	50,000	17.04	n/a	11-Oct	2,500.00	5.0
TRELLUS PARTNERS LP	028	AGCO	SS	10,000	42.04	n/a	28-Jul	300.00	3.0
MELLON/BANK OF NEW YORK	046	AGN	S	10,790	68.81	n/a	13-Oct	539.50	5.0
AAD CAPITAL	084	ALV	SS	14,909	69.55	n/a	15-Sep	596.36	4.0
GCORE MANAGEMENT	041	AMD	B	40,000	7.11	n/a	n/a	2,000.00	5.0
BROADARCH CAP/OLD NEWC	070	AME	S	2,500	49.69	n/a	n/a	100.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	20,000	21.30	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	266	AWH	S	19,100	57.62	n/a	n/a	764.00	4.0
BRANDWINE	028	BCE	B	16,400	33.63	n/a	n/a	656.00	4.0
SAC TRADIN/BINDER	044	BLL	S	30,000	61.81	n/a	n/a	1,050.00	3.5
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.13	n/a	n/a	800.00	4.0
THE JAY GOLDMAN	028	CAR	B	10,000	11.33	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADIN/BINDER	044	CCE	B	20,000	23.47	n/a	n/a	700.00	3.5
SUN AMERICA ASSET MGMT	030	CHS	S	117,234	10.77	n/a	5-Feb	4,689.36	4.0
MERRILL ASSET/BLACKROCK	266	CNX	B	93,120	40.64	n/a	n/a	3,724.80	4.0
MATRIX ASSET ADV.	091	COP	S	2,000	60.41	n/a	n/a	80.00	4.0
Õ Nilsa Vazquez		C	S	4000	4.0150	n/a	8-Oct	0.00	0.0
RAINIER INV MGMT	035	DFT	B	34,680	23.55	n/a	n/a	1,387.20	4.0
11:11 CAPITAL CORP	046	EM	S	9,192	12.83	n/a	n/a	367.68	4.0
KADE CAPITAL LLC	028	FL	B	10,000	15.73	n/a	14-Oct	400.00	4.0
SCHOTTENFELD ASSOC	041	FL	B	21,100	15.67	n/a	14-Oct	633.00	3.0
ROSEDALE CAPITAL	046	F	S	40,000	13.93	n/a	4-Oct	2,000.00	5.0
SIGMA CAP BOBBY	044	F	SS	150,000	13.91	n/a	4-Oct	5,250.00	3.5
TALKOT CAPITAL LLC	084	F	B	15,000	13.96	n/a	4-Oct	450.00	3.0
TRAFELET & COMP.	028	F	SS	175,000	13.90	n/a	4-Oct	5,250.00	3.0
MATRIX ASSET ADV.	091	GENZ	S	2,000	72.51	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GSL	B	1200	2.8190	n/a	n/a	0.00	0.0
CONIFER/ISF	025	HAS	S	2,500	45.90	n/a	n/a	125.00	5.0
BRANDWINE	028	HIG	B	14,100	24.18	n/a	n/a	564.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	HON	B	10,000	45.85	n/a	18-Aug	500.00	5.0
SAC TRADIN/BINDER	044	IGT	B	35,000	14.89	n/a	14-Oct	1,225.00	3.5
MELLON/BANK OF NEW YORK	046	INTC	S	7,600	19.20	n/a	n/a	380.00	5.0
FIRST NY SEC/CHRIS	041	IP	B	10,000	22.99	n/a	7-Oct	500.00	5.0
SURVEYOR CAPITAL	041	KMT	SS	5,000	32.77	n/a	30-Jul	150.00	3.0
GREEN ARROW DOUG	040	KR	B	50,000	22.16	n/a	n/a	2,500.00	5.0
SAC TRADIN/BINDER	044	K	B	10,000	51.04	n/a	n/a	350.00	3.5
SAC TRADIN/BINDER	044	LVS	S	20,000	38.81	n/a	8-Oct	700.00	3.5
BRANDWINE	028	MET	B	10,500	39.39	n/a	n/a	420.00	4.0
BROADARCH CAP/OLD NEWC	070	MGM	S	15,700	11.53	n/a	13-Oct	628.00	4.0
SAC TRADIN/BINDER	044	MHS	SS	10,000	52.66	n/a	n/a	350.00	3.5
RBC CAPITAL MARKETS	040	MON	B	15,000	53.96	n/a	11-Oct	600.00	4.0
CR INTRINIC INVESTMENT	044	OI	B	25,000	27.83	n/a	n/a	875.00	3.5
ADALY INV MGMT	031	PAG	S	5,000	13.86	n/a	11-Oct	250.00	5.0
LISTED ERR	099	PAG	B	5,300	13.84	n/a	11-Oct	0.00	0.0
LISTED ERR	099	PAG	S	5,300	13.85	n/a	11-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENCHMARK	025	PBI	SS	2,500	21.78	n/a	n/a	100.00	4.0
GRUSS CAPITAL	025	PCH	B	13,000	36.23	n/a	26-Aug	390.00	3.0
SAC TRADIN/BINDER	044	PG	B	10,000	62.71	n/a	7-Sep	350.00	3.5
MERRILL ASSET/BLACKROCK	266	PJC	B	23,800	30.22	n/a	n/a	952.00	4.0
FIRST NEW YORK NICK	029	Q	B	20,000	6.39	n/a	n/a	1,000.00	5.0
GRUSS CAPITAL	025	REP	S	4,000	28.08	n/a	n/a	120.00	3.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	15,000	50.00	n/a	26-Aug	750.00	5.0
MERRILL ASSET/BLACKROCK	266	THG	B	16,100	46.85	n/a	n/a	644.00	4.0
MELLON/BANK OF NEW YORK	046	TXN	S	77,305	28.06	n/a	n/a	3,865.25	5.0
COBALT	041	USG	SS	30,000	12.50	n/a	26-Aug	1,500.00	5.0
JMP ASSET MGMT	210	WINN	B	20,000	7.16	n/a	n/a	800.00	4.0
SAC TRADIN/BINDER	044	WLP	SS	10,000	57.02	n/a	n/a	350.00	3.5
RBC CAPITAL MARKETS	040	WMT	B	15,000	53.26	n/a	14-Oct	600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	53.57	n/a	14-Oct	1,750.00	3.5
BMO NESBITT BURNS	041	WY	S	50,000	15.85	n/a	26-Aug	2,500.00	5.0
MILLENIUM PARTNERS	028	WY	S	30,000	15.74	n/a	26-Aug	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	WY	B	25,000	15.70	n/a	26-Aug	750.00	3.0
SCOPUS FUND	041	WY	SS	42,000	15.67	n/a	26-Aug	2,100.00	5.0
GCORE MANAGEMENT	041	XLE	S	20,000	58.89	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date):								66,441.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/13	DC CAPITAL (DCCAGOLDMA)	044	LNC	S	75,000	25.65	n/a	n/a	3750.00 5.0
AO,CRT	10/13	DC CAPITAL (DCCAGOLDMA)	044	LNC	S	75,000	25.65	n/a	n/a	3000.00 4.0

TOTAL (AO, CXL, CRT) :	-750.00
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TOTAL (Trade Date) :	66,441.15
TOTAL (AO, CXL, CRT) :	-750.00

TOTAL (RUN DATE) / NFS:	65,691.15
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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