



Daily Compliance Activity Report

Trade Date: 12/01/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ABB	B	50,000	19.63	n/a	n/a	1,750.01	3.5
BUCK CAPITAL MGMT	001	AEO	S	50,000	16.28	n/a	30-Nov	2,000.00	4.0
US BANCORP	030	AKAM	S	3,114	53.43	n/a	n/a	155.70	5.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	27.29	n/a	n/a	800.00	4.0
LOMBARDIA CAP MGMT	084	ARP	B	31,140	7.15	n/a	n/a	1,245.60	4.0
SCHOTTENFELD ASSOC	041	AXL	SS	25,000	10.86	n/a	1-Nov	750.00	3.0
MERRILL ASSET/BLACKROCK	266	BAC	B	24,000	11.15	n/a	18-Nov	960.00	4.0
LOMBARDIA CAP MGMT	084	BBSI	B	4,000	15.08	n/a	n/a	120.00	3.0
CASTLE ARK	031	BHI	B	212,413	54.15	n/a	n/a	10,620.65	5.0
LEVIN CAPITAL STRATEGIES	012	BIG	B	25,000	30.95	n/a	1-Dec	750.00	3.0
SURSUM CAPITAL	215	BIG	B	45,000	30.86	n/a	1-Dec	1,350.00	3.0
ACK ASSET	028	BKI	B	50,000	20.38	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	266	BOH	S	9,100	43.74	n/a	n/a	364.00	4.0
COUGAR TRADING	044	BUD	B	15,000	55.86	n/a	1-Dec	750.00	5.0
COUGAR TRADING	044	BUD	S	15,000	56.55	n/a	1-Dec	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WATERFRONT CAP	028	BYI	B	19,000	40.87	n/a	n/a	760.00	4.0
SONTERRA CAP	041	CHK	SS	58,439	21.28	n/a	n/a	2,337.56	4.0
BUCK CAPITAL MGMT	001	CHS	S	30,000	12.31	n/a	5-Feb	1,200.00	4.0
US BANCORP	030	CNP	S	10,228	15.82	n/a	n/a	511.40	5.0
SURSUM CAPITAL	215	COH	SS	20,000	56.55	n/a	27-Oct	600.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	6,458	101.50	n/a	16-Nov	258.32	4.0
LOMBARDIA CAP MGMT	084	DLX	B	26,123	22.17	n/a	n/a	1,044.92	4.0
SURSUM CAPITAL	215	DPZ	B	25,000	14.90	n/a	29-Nov	750.00	3.0
LOMBARDIA CAP MGMT	084	ENS	B	12,373	30.92	n/a	n/a	494.92	4.0
LOMBARDIA CAP MGMT	084	FCN	B	10,450	36.14	n/a	n/a	418.00	4.0
LOMBARDIA CAP MGMT	084	FELE	B	6,825	40.51	n/a	n/a	204.75	3.0
US BANCORP	030	FFIV	S	1,172	139.20	n/a	n/a	58.60	5.0
US BANCORP	030	FITB	B	9,003	12.20	n/a	n/a	450.15	5.0
COOKBIELER	028	FLO	B	70,400	26.02	n/a	n/a	2,816.00	4.0
SURSUM CAPITAL	215	FOSL	B	20,000	68.45	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	F	B	1,000	16.46	n/a	30-Nov	50.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	40,000	39.36	n/a	n/a	1,600.00	4.0
COUGAR TRADING	044	GIL	B	10,000	30.79	n/a	18-Oct	500.00	5.0
COUGAR TRADING	044	GIL	S	10,000	30.95	n/a	18-Oct	500.00	5.0
PATTEN & PATTEN	067	GLW	S	500	18.04	n/a	1-Nov	25.00	5.0
CATAPULT CAP/DEFRANCO	040	GMCR	S	12,256	36.77	n/a	n/a	490.24	4.0
CAPITAL GROWTH MGMT.	241	HAL	B	400,000	39.32	n/a	n/a	20,000.00	5.0
SONTERRA CAP	041	HLF	B	21,561	69.27	n/a	n/a	862.44	4.0
CARDINAL CAPITAL	044	HTS	S	43,300	31.02	n/a	n/a	2,165.00	5.0
WATERFRONT CAP	028	IGT	S	50,000	15.68	n/a	17-Nov	2,000.00	4.0
LAKEVIEW INV GROUP LLC	031	IM	B	30,000	18.02	n/a	n/a	900.00	3.0
PATTEN & PATTEN	067	IYT	S	600	89.96	n/a	n/a	30.00	5.0
MERRILL ASSET/BLACKROCK	266	JLL	S	3,400	81.18	n/a	n/a	136.00	4.0
CAERUS GLOBAL	041	JNY	B	110,385	13.98	n/a	28-Oct	4,415.40	4.0
DELTEC ASSET MGMT.	040	JNY	B	10,000	13.94	n/a	28-Oct	500.00	5.0
NICOLAS APPLGATE	084	JOSB	S	27,400	42.25	n/a	n/a	1,096.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	JPM	B	1,000	38.14	n/a	18-Nov	50.00	5.0
LOMBARDIA CAP MGMT	099	KFY	B	20,684	17.55	n/a	n/a	827.36	4.0
LISTED ERR	099	KFY	B	15,391	17.55	n/a	n/a	0.00	0.0
LISTED ERR	099	KFY	S	5	17.68	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	56.00	n/a	30-Nov	800.00	4.0
GLG PARTNERS	034	KSS	S	50,000	56.83	n/a	30-Nov	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	012	KSS	C	15,000	56.60	n/a	30-Nov	450.00	3.0
PATTEN & PATTEN	067	LAZ	S	1,500	36.53	n/a	12-Nov	75.00	5.0
BUCK CAPITAL MGMT	001	LL	S	20,000	23.92	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	LTD	S	20,000	34.62	n/a	n/a	800.00	4.0
MILLENNIUM-ANDEW	031	LULU	B	22,500	54.75	n/a	n/a	1,125.00	5.0
CATAPULT CAP/DEFRANCO	040	MAS	B	10,000	11.18	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	MGM	B	25,000	12.45	n/a	10-Nov	1,250.00	5.0
TRAFELET & COMP.	028	MHR	B	100,000	6.41	n/a	n/a	3,000.00	3.0
BASIX	033	MTW	B	130,000	11.37	n/a	1-Nov	3,900.00	3.0
SYSTEMATIC FINANCIAL MGT	035	MW	S	75,000	28.15	n/a	n/a	2,250.00	3.0
AVESTA CAP	229	M	S	100,000	25.72	n/a	30-Nov	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	NEE	B	300	50.90	n/a	n/a	15.00	5.0
OMEGA ADVISORS	041	OSK	B	14,400	28.98	n/a	n/a	576.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	30,000	36.68	n/a	26-Oct	1,500.00	5.0
AVESTA CAP	229	PG	SS	50,000	62.16	n/a	1-Dec	1,500.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	70.03	n/a	18-Oct	400.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	S	29,810	48.04	n/a	n/a	1,490.50	5.0
AVESTA CAP	229	RIG	SS	50,000	67.75	n/a	n/a	1,500.00	3.0
COOKBIELER	028	RTN	B	82,100	47.19	n/a	9-Nov	3,284.00	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	20,000	50.82	n/a	27-Oct	1,000.00	5.0
LOMBARDIA CAP MGMT	084	SKYW	B	22,475	16.62	n/a	n/a	674.25	3.0
MILLENNIUM-ANDEW	031	SLT	S	125,000	14.63	n/a	n/a	6,250.00	5.0
LOMBARDIA CAP MGMT	084	SNA	B	6,930	54.26	n/a	n/a	277.20	4.0
PATTEN & PATTEN	067	SNY	S	500	31.50	n/a	n/a	25.00	5.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	35,000	24.50	n/a	2-Nov	1,750.00	5.0
SCOPUS FUND	041	SSCC	B	22,500	24.42	n/a	2-Nov	900.00	4.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	50,000	24.37	n/a	2-Nov	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	SSO	B	25,000	44.04	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	STX	B	85,750	14.01	n/a	n/a	4,287.50	5.0
MILLENNIUM-ANDEW	031	TIF	B	11,500	62.72	n/a	n/a	575.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	46.04	n/a	30-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	40,000	11.66	n/a	n/a	1,600.00	4.0
SURSUM CAPITAL	215	TLB	B	20,000	11.50	n/a	n/a	600.00	3.0
LOMBARDIA CAP MGMT	084	TNB	B	8,940	46.35	n/a	n/a	357.60	4.0
LOMBARDIA CAP MGMT	084	TPC	B	18,350	19.34	n/a	n/a	734.00	4.0
MERRILL ASSET/BLACKROCK	266	TTES	S	26,700	36.28	n/a	n/a	1,068.00	4.0
MILLENNIUM-ANDEW	031	URBN	B	15,000	38.15	n/a	n/a	750.00	5.0
SURSUM CAPITAL	215	URBN	B	25,000	38.09	n/a	n/a	750.00	3.0
BENCHMARK	025	USO	B	5,000	37.03	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	VMC	S	1,000	41.83	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	V	B	200	75.13	n/a	29-Oct	10.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	54.83	n/a	9-Nov	400.00	4.0
SURSUM CAPITAL	215	WRC	SS	10,000	54.67	n/a	9-Nov	300.00	3.0
PATTEN & PATTEN	067	WY	B	600	17.06	n/a	29-Oct	30.00	5.0

TOTAL (Trade Date):

128,772.07

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/30	NOMURA CAPITAL (NOMU7MS7)	029	DHI	B	20,000	10.02	n/a	n/a	600.00 3.0
AO,	11/30	NOMURA CAPITAL (NOMUSTRAT)	029	DHI	B	7,920	10.02	n/a	n/a	237.60 3.0
AO,	11/30	NOMURA CAPITAL (NOMUBATT2)	029	DHI	B	4,780	10.02	n/a	n/a	143.40 3.0
AO,	11/30	NOMURA CAPITAL (NOMUBSMAN)	029	DHI	B	7,300	10.02	n/a	n/a	219.00 3.0
AO,CXL	11/30	BROADARCH CAP/OLD NEWC (BROAJPM)	070	KR	B	450	23.61	n/a	n/a	18.00 4.0
AO,	11/30	BROADARCH CAP/OLD NEWC (BROAJPM)	070	KR	B	1,104	23.61	n/a	n/a	44.16 4.0
AO,CXL	11/30	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	KR	B	1,050	23.61	n/a	n/a	42.00 4.0
AO,	11/30	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	KR	B	396	23.61	n/a	n/a	15.84 4.0
AO,	11/30	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	3,312	29.22	n/a	n/a	99.36 3.0
AO,	11/30	NOMURA CAPITAL (NOMUSAG)	029	LYBB	S	113	29.22	n/a	n/a	3.39 3.0
AO,	11/30	NOMURA CAPITAL (NOMUSW7Y)	029	LYBB	S	4,006	29.22	n/a	n/a	120.18 3.0
AO,	11/30	NOMURA CAPITAL (NOMUNOMIR)	029	LYBB	S	717	29.22	n/a	n/a	21.51 3.0
AO,	11/30	NOMURA CAPITAL (NOMUL3)	029	LYBB	S	592	29.22	n/a	n/a	17.76 3.0
AO,	11/30	NOMURA CAPITAL (NOMUEB6J)	029	LYBB	S	1,781	29.22	n/a	n/a	53.43 3.0
AO,	11/30	NOMURA CAPITAL (NOMULASERS)	029	LYBB	S	1,782	29.22	n/a	n/a	53.46 3.0
AO,	11/30	NOMURA CAPITAL (NOMUAYCB)	029	LYBB	S	5,735	29.22	n/a	n/a	172.05 3.0
AO,	11/30	NOMURA CAPITAL (NOMUSPH)	029	LYBB	S	676	29.22	n/a	n/a	20.28 3.0
AO,CXL	11/30	NOMURA CAPITAL (NOMU7MS7)	029	LYBB	S	25,000	29.22	n/a	n/a	750.00 3.0
AO,	11/30	NOMURA CAPITAL (NOMU7MS7)	029	LYBB	S	6,286	29.22	n/a	n/a	188.58 3.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :

128,772.07

TOTAL (AO, CXL, CRT):

0.00

TOTAL (RUN DATE) / NFS:

128,772.07

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