



Daily Compliance Activity Report

Trade Date: 12/13/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	BBY	B	10,000	42.30	n/a	n/a	500.00	5.0
JMP ASSET MGMT	210	BGFV	B	306	14.57	n/a	n/a	15.30	5.0
BALYASNY ASSET MGMT	044	BWA	C	15,000	66.84	n/a	27-Oct	750.00	5.0
STRONG/WELLS CAP ANN F	047	BWA	S	75,235	66.94	n/a	27-Oct	3,009.40	4.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	32,100	15.19	n/a	n/a	1,605.00	5.0
BAIRD INVESTMENT	047	CRM	S	3,352	147.42	n/a	n/a	167.60	5.0
BALYASNY ASSET MGMT	044	CSX	B	10,000	63.91	n/a	n/a	500.00	5.0
JETSTREAM GLOBAL FUND LP	065	C	S	139,500	4.84	n/a	8-Dec	6,975.00	5.0
SANDLER O'NEILL ASSET	031	C	S	30,900	4.83	n/a	8-Dec	618.00	2.0
METROPOLITAN CAPITAL	044	DAN	S	12,600	17.00	n/a	29-Oct	630.00	5.0
BALYASNY ASSET MGMT	044	DF	B	25,000	8.54	n/a	n/a	1,000.00	4.0
SURVEYOR CAPITAL	041	FITB	SS	46,648	14.44	n/a	n/a	1,399.44	3.0
JET CAPITAL/CHRIS	041	FO	B	10,000	62.87	n/a	n/a	300.00	3.0
RAINIER INV MGMT	035	GEF	S	14,440	60.94	n/a	n/a	577.60	4.0
COPIA CAPITAL	031	GLBL	C	36,400	7.13	n/a	n/a	1,274.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	GM	S	20,000	33.83	n/a	6-Dec	800.00	4.0
SURSUM CAPITAL	215	GPS	B	30,000	21.17	n/a	n/a	900.00	3.0
COPIA CAPITAL	031	HERO	C	97,300	2.96	n/a	n/a	3,405.50	3.5
JET CAPITAL/CHRIS	041	HNR	B	10,000	12.31	n/a	n/a	300.00	3.0
SENATOR INVESTMENT GROUP	036	HUN	S	95,200	15.74	n/a	n/a	2,856.00	3.0
RAINIER INV MGMT	035	ICE	S	25,810	118.93	n/a	n/a	1,032.40	4.0
COPIA CAPITAL	031	IO	C	37,700	8.36	n/a	n/a	1,319.50	3.5
TROUBH PART	067	IYR	B	15,000	55.04	n/a	n/a	750.00	5.0
SHAREVEST CAPITAL MGMT.	091	JBHT	B	100,000	39.93	n/a	n/a	4,000.00	4.0
APEX CAPITAL MGMT.	261	JPM	B	75,000	41.67	n/a	8-Dec	3,000.00	4.0
LATEFF MGMT	035	KO	S	1,500	64.83	n/a	26-Oct	345.00	23.0
BUCK CAPITAL MGMT	001	LL	S	10,000	23.14	n/a	n/a	400.00	4.0
ROSEDALE CAPITAL	046	MSFT	S	20,000	27.35	n/a	n/a	1,000.00	5.0
BASIX	033	M	S	40,000	25.07	n/a	30-Nov	1,200.00	3.0
BUCK CAPITAL MGMT	001	M	S	20,000	25.35	n/a	30-Nov	800.00	4.0
FEDERATED INV/KAUFMAN	029	NKTR	B	125,000	12.88	n/a	n/a	6,875.02	5.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JET CAPITAL/CHRIS	041	NVDA	B	35,000	14.67	n/a	n/a	1,050.00	3.0
NEWLAND CAPITAL MGT	067	OSK	S	10,000	35.68	n/a	n/a	400.00	4.0
PIONEER PATH	226	PAG	S	35,100	16.46	n/a	25-Oct	1,053.00	3.0
BALYASNY ASSET MGMT	044	PCAR	SS	10,000	56.27	n/a	23-Nov	500.00	5.0
BMO NESBITT BURNS	041	PCH	B	5,000	32.14	n/a	29-Oct	250.00	5.0
KACELA CAPITAL	034	PDE	B	29,400	32.77	n/a	n/a	1,176.00	4.0
SURSUM CAPITAL	215	PSS	B	40,000	20.88	n/a	n/a	1,200.00	3.0
NOMURA CAPITAL	029	QLTY	S	2,700	8.82	n/a	n/a	81.00	3.0
BMO NESBITT BURNS	041	RYN	S	2,000	52.69	n/a	27-Oct	100.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	22.19	n/a	n/a	1,600.00	4.0
SAC TRADING TOM LEDDY	035	SYX	SS	50,000	29.50	n/a	n/a	1,750.00	3.5
BAIRD INVESTMENT	047	UA	S	8,125	60.01	n/a	27-Oct	406.25	5.0
HARVEST MGMT	029	VFC	B	5,000	87.75	n/a	22-Oct	250.00	5.0
1798 CAP/LOMBARD ASSET	040	VMC	C	15,000	44.38	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	WCRX	B	3,000	20.99	n/a	13-Dec	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	B	100,000	17.94	n/a	29-Oct	5,000.00	5.0
FORWARD MGMT	033	WY	S	88,100	17.93	n/a	29-Oct	3,524.00	4.0
TOTAL (Trade Date) :								67,545.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/10	ADALY INV MGMT (ADALRBCSO)	031	CCE	B	15,000	25.84	n/a	n/a	750.00 5.0
AO,	12/10	ADALY INV MGMT (ADALRBCSO)	031	CCE	B	15,000	25.84	n/a	n/a	600.00 4.0
AO,CXL	12/10	ADALY INV MGMT (ADALMANOM)	031	CCE	B	10,000	25.84	n/a	n/a	500.00 5.0
AO,	12/10	ADALY INV MGMT (ADALMANOM)	031	CCE	B	10,000	25.84	n/a	n/a	400.00 4.0
AO,CXL	12/10	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	DRWI	S	50,000	8.97	n/a	n/a	1500.00 3.0
AO,CRT	12/10	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	DRWI	S	50,000	8.97	n/a	n/a	2000.00 4.0
AO,CXL	12/10	MFP INVESTORS (MFPIGS)	085	ELN	B	162,600	5.76	n/a	n/a	8130.00 5.0
AO,CRT	12/10	MFP INVESTORS (MFPIGS)	085	ELN	B	162,600	5.76	n/a	n/a	6504.00 4.0
AO,CXL	12/10	JMP ASSET MGMT (JMPAGS)	210	GES	SS	3,626	48.06	n/a	24-Nov	181.30 5.0
AO,CRT	12/10	JMP ASSET MGMT (JMPAGS)	210	GES	SS	3,620	48.06	n/a	24-Nov	181.00 5.0
AO,CXL	12/10	JMP ASSET MGMT (JMPABOABA)	210	GES	SS	5,174	48.06	n/a	24-Nov	0.00 0.0
AO,CRT	12/10	JMP ASSET MGMT (JMPABOABA)	210	GES	SS	5,180	48.06	n/a	24-Nov	0.00 0.0
AO,CXL	12/10	ADALY INV MGMT (ADALRBCSO)	031	JNY	B	16,000	15.23	n/a	28-Oct	800.00 5.0
AO,	12/10	ADALY INV MGMT (ADALRBCSO)	031	JNY	B	16,000	15.23	n/a	28-Oct	640.00 4.0
AO,CXL	12/10	ADALY INV MGMT (ADALSTRUS)	031	JNY	B	650	15.23	n/a	28-Oct	32.50 5.0
AO,	12/10	ADALY INV MGMT (ADALSTRUS)	031	JNY	B	650	15.23	n/a	28-Oct	26.00 4.0
AO,CXL	12/10	ADALY INV MGMT (ADALMANOM)	031	JNY	B	8,350	15.23	n/a	28-Oct	417.50 5.0
AO,	12/10	ADALY INV MGMT (ADALMANOM)	031	JNY	B	8,350	15.23	n/a	28-Oct	334.00 4.0
CRT	12/13	ROSEDALE CAPITAL (ROSEGS)	046	MSFT	S	20,000	27.35	n/a	n/a	1000.00 5.0
TOTAL (AO, CXL, CRT) :										-626.30

TOTAL (Trade Date):	67,545.01
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TOTAL (RUN DATE) / NFS:	66,918.71
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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