



Daily Compliance Activity Report

Trade Date: 12/07/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTPOINT	266	ABD	S	168,162	7.41	n/a	n/a	6,726.48	4.0
RAINIER INV MGMT	035	APH	S	29,790	53.54	n/a	n/a	1,191.60	4.0
ARMATURE CAPITAL	041	ARM	S	30,000	19.04	n/a	n/a	1,200.00	4.0
LOCUS WOOD CAPITAL MGMT	044	ASH	S	10,000	51.43	n/a	8-Nov	400.00	4.0
TALKOT CAPITAL LLC	084	BIG	B	5,000	28.82	n/a	7-Dec	200.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	CP	B	91,000	65.21	n/a	n/a	3,185.00	3.5
THOMPSON SIEGAL&WALMSLEY	029	C	B	2,502,800	4.61	n/a	6-Dec	100,112.00	4.0
AVESTA CAP	229	DIS	S	100,000	37.40	n/a	n/a	3,000.00	3.0
GREEN ARROW DOUG	040	DPZ	B	25,000	15.11	n/a	29-Nov	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV041		DPZ	B	5,000	15.00	n/a	29-Nov	250.00	5.0
CAMBIAR CAP	046	HSP	B	66,625	54.72	n/a	6-Dec	2,665.00	4.0
SONTERRA CAP	041	HUN	SS	50,000	16.30	n/a	n/a	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV041		IP	SS	2,000	26.60	n/a	27-Oct	100.00	5.0
TROUBH PART	067	IYR	SS	25,000	55.53	n/a	n/a	1,250.00	5.0
CADIAN CAPITAL	067	JNY	B	100,000	15.11	n/a	28-Oct	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	289	JOYG	S	1,930	80.70	n/a	1-Dec	77.20	4.0
THOMPSON SIEGAL&WALMSLEY	029	JPM	S	48,300	39.69	n/a	18-Nov	1,932.00	4.0
AVENUE CAPITAL MGMT	070	LEA	S	63,000	94.34	n/a	29-Oct	2,520.00	4.0
Õ Nilsa Vazquez		MU	S	500	8.1500	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	NAV	S	44,000	57.86	n/a	n/a	1,760.00	4.0
COOPER CREEK PART	028	NDN	B	10,000	16.49	n/a	8-Nov	400.00	4.0
LISTED ERR	099	NDN	B	10,000	16.51	n/a	8-Nov	0.00	0.0
LISTED ERR	099	NDN	S	10,000	16.51	n/a	8-Nov	0.00	0.0
LAGRANGE CAP ADV	048	PAG	S	10,000	16.30	n/a	25-Oct	500.00	5.0
UNITED STATES PENSION	085	PCH	S	56,133	32.76	n/a	29-Oct	2,245.32	4.0
TALKOT CAPITAL LLC	084	PKG	B	5,000	26.51	n/a	19-Oct	200.00	4.0
TRAFELET & COMP.	028	PRIS	S	50,000	7.60	n/a	n/a	1,500.00	3.0
ENTRUST CAPITAL	040	RHI	B	41,031	29.91	n/a	n/a	2,051.55	5.0
MFP INVESTORS	085	SEE	B	27,500	24.23	n/a	n/a	1,375.00	5.0
RAINIER INV MGMT	035	SNA	B	23,240	55.76	n/a	n/a	929.60	4.0
ROSEDALE CAPITAL	046	SRI	S	11,500	15.50	n/a	n/a	575.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	289	TEX	B	8,467	27.89	n/a	22-Oct	338.68	4.0
DECADE CAPITAL PARTNERS	040	TGT	S	13,500	59.88	n/a	2-Dec	675.00	5.0
WATERFRONT CAP	028	TOL	SS	52,000	19.03	n/a	n/a	2,080.00	4.0
CR INTRINIC INVESTMENT	044	VRX	B	50,000	28.07	n/a	n/a	1,750.00	3.5
DECADE CAPITAL PARTNERS	040	WMT	B	13,700	54.99	n/a	17-Nov	685.00	5.0
S.A.C. HEALTHCARE BOBBY	044	WPI	B	10,000	49.82	n/a	6-Dec	350.00	3.5
WEINTRAUB CAPITAL MGT.	040	WRC	B	50,000	55.96	n/a	9-Nov	2,000.00	4.0
TOTAL (Trade Date) :							150,474.43		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/06	SCOPUS FUND (SCOPGS)	041	F	B	6,500	16.71	n/a	2-Dec	260.00 4.0
AO,CRT	12/06	SCOPUS FUND (SCOPGS)	041	F	B	9,750	16.71	n/a	2-Dec	390.00 4.0
AO,CXL	12/06	SCOPUS FUND (SCOPUBS)	041	F	B	43,500	16.71	n/a	2-Dec	1740.00 4.0
AO,CRT	12/06	SCOPUS FUND (SCOPUBS)	041	F	B	40,250	16.71	n/a	2-Dec	1610.00 4.0
AO,	12/06	JANA CAPITAL (JANADBEXEC)	044	IP	B	2,006	26.27	n/a	27-Oct	80.24 4.0
AO,	12/06	JANA CAPITAL (JANACSFBS)	044	IP	B	6,379	26.27	n/a	27-Oct	255.16 4.0
AO,	12/06	JANA CAPITAL (JANAJPMS)	044	IP	B	86,782	26.27	n/a	27-Oct	3471.28 4.0
AO,	12/06	JANA CAPITAL (JANAGOLDMA)	044	IP	B	1,514	26.27	n/a	27-Oct	60.56 4.0
AO,	12/06	JANA CAPITAL (JANAUBS)	044	IP	B	3,319	26.27	n/a	27-Oct	132.76 4.0
TOTAL (AO, CXL, CRT) :										4,000.00

TOTAL (Trade Date):	150,474.43
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TOTAL (RUN DATE) / NFS:	154,474.43
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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