



## Daily Compliance Activity Report

Trade Date: 11/23/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AEO	S	15,000	16.80	n/a	19-Nov	750.00	5.0
LATEFF MGMT	035	BA	B	250	63.89	n/a	22-Nov	105.00	42.0
BNP PARIBAS SEC	040	BIG	SS	50,000	30.93	n/a	23-Nov	2,500.00	5.0
COUGAR TRADING	044	BIG	B	5,000	30.59	n/a	23-Nov	250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>BIG</b>	<b>B</b>	<b>3,500</b>	<b>30.77</b>	<b>n/a</b>	<b>23-Nov</b>	<b>210.00</b>	<b>6.0</b>
TALKOT CAPITAL LLC	084	BIG	B	5,000	31.08	n/a	23-Nov	200.00	4.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.54	n/a	n/a	800.00	4.0
MTB INV ADV	034	BWLD	S	2,975	48.19	n/a	n/a	148.75	5.0
WEISS PECK	040	BWS	B	49,060	14.37	n/a	n/a	2,453.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>54.55</b>	<b>n/a</b>	<b>27-Oct</b>	<b>400.00</b>	<b>4.0</b>
LATEFF MGMT	035	CVS	B	1,000	30.71	n/a	n/a	220.00	22.0
MELLON/BANK OF NEW YORK	046	EEM	B	11,000	44.93	n/a	n/a	220.00	2.0
CIRCLE T/SES PART	035	F	B	20,000	15.94	n/a	18-Nov	800.00	4.0
HOOVER INV. MGMT	033	GCO	B	30,200	38.73	n/a	n/a	1,208.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	150,000	45.11	n/a	18-Oct	4,500.00	3.0
COUGAR TRADING	044	GIL	B	5,000	29.54	n/a	18-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GIL	SS	5,000	28.86	n/a	18-Oct	250.00	5.0
HARVEST MGMT	029	GIL	B	21,000	29.06	n/a	18-Oct	1,050.00	5.0
LATEFF MGMT	035	GIS	B	3,400	35.18	n/a	n/a	560.00	24.5
SURSUM CAPITAL	215	HBI	B	25,000	27.11	n/a	28-Oct	750.00	3.0
FARALLON CAP MGMT	040	HGG	SS	3,908	24.25	n/a	n/a	156.32	4.0
SURSUM CAPITAL	215	HGG	B	20,000	24.23	n/a	n/a	600.00	3.0
CAXTON PART	040	HPQ	B	24,362	44.03	n/a	n/a	852.70	3.5
OHIO PERS	047	HPQ	B	38,074	43.81	n/a	n/a	1,142.22	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	2,100	56.91	n/a	n/a	84.00	4.0
BALYASNY ASSET MGMT	044	ITW	C	10,000	46.36	n/a	20-Oct	500.00	5.0
MTB INV ADV	034	JAS	S	2,075	45.19	n/a	n/a	103.75	5.0
APEX CAPITAL MGMT.	261	JCP	SS	49,400	32.42	n/a	15-Nov	1,976.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>B</b>	<b>110,000</b>	<b>13.77</b>	<b>n/a</b>	<b>28-Oct</b>	<b>4,400.00</b>	<b>4.0</b>
CAERUS GLOBAL	041	JNY	B	50,000	13.75	n/a	28-Oct	2,000.00	4.0
GLOBAL 56 LLC	060	JNY	B	2,500	13.69	n/a	28-Oct	125.00	5.0
JP MORGAN VENTURES	046	JOYG	S	5,300	75.83	n/a	2-Sep	265.00	5.0
AVESTA CAP	229	JPM	SS	200,000	37.77	n/a	18-Nov	6,000.00	3.0
BRASADA	031	KEG	B	4,000	10.06	n/a	28-Oct	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ENTRUST CAPITAL	040	KFT	B	34,800	30.19	n/a	n/a	1,740.00	5.0
PIONEER PATH	226	KO	B	15,000	63.48	n/a	26-Oct	450.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KR</b>	<b>SS</b>	<b>20,000</b>	<b>22.99</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
FRIESS MGMT	033	LTD	S	486,800	33.07	n/a	n/a	19,472.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	S	222,700	78.80	n/a	8-Nov	8,908.00	4.0
MTB INV ADV	034	MNRO	S	3,100	48.11	n/a	n/a	155.00	5.0
ROSEDALE CAPITAL	046	MRK	B	30,000	34.93	n/a	n/a	1,500.00	5.0
SONTERRA CAP	041	MSFT	S	94,547	25.21	n/a	n/a	3,781.88	4.0
STATE TEACHERS RET SYS	047	MWW	S	40,500	20.03	n/a	n/a	2,025.00	5.0
BALYASNY ASSET MGMT	044	NAV	B	10,000	52.17	n/a	n/a	500.00	5.0
MTB INV ADV	034	NKTR	S	63,350	13.27	n/a	n/a	3,167.50	5.0
IVORY CAPITAL	034	NOK	B	130,000	9.65	n/a	n/a	3,900.00	3.0
BALYASNY ASSET MGMT	044	OSK	S	26,200	28.53	n/a	n/a	1,310.00	5.0
MTB INV ADV	034	PII	S	8,275	71.51	n/a	n/a	413.75	5.0
TALKOT CAPITAL LLC	084	PKG	B	2,000	25.74	n/a	19-Oct	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK NICK	029	Q	B	30,000	6.78	n/a	n/a	1,500.00	5.0
SURSUM CAPITAL	215	RSH	B	20,000	18.86	n/a	n/a	600.00	3.0
THIRD COAST CAPITAL	035	RUSHA	B	10,000	17.49	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	SPR	B	33,400	18.74	n/a	5-Nov	1,336.00	4.0
SYSTEMATIC FINANCIAL MGT	035	SWK	S	241,000	58.72	n/a	n/a	7,230.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SWY</b>	<b>SS</b>	<b>20,000</b>	<b>22.62</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	TEN	C	50,000	35.95	n/a	n/a	2,500.00	5.0
SURSUM CAPITAL	215	TLB	B	51,000	11.17	n/a	n/a	1,530.00	3.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	35.15	n/a	n/a	1,500.00	3.0
PNC CAPITAL ADV	028	TROW	B	88,997	57.28	n/a	n/a	3,559.88	4.0
CRAMER ROSENTHAL/SCOTT	012	VIAB	B	8,900	37.71	n/a	n/a	356.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>105,564.75</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/22	LAGRANGE CAP ADV (LAGRJEFF)	048	ALV	SS	1,719	76.00	n/a	27-Oct	85.95 5.0
AO,CXL	11/22	LAGRANGE CAP ADV (LAGRUBSPB)	048	ALV	SS	1,719	76.00	n/a	27-Oct	85.95 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	AMLN	S	2,000	13.32	n/a	n/a	100.00 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	BAC	S	14,030	11.30	n/a	18-Nov	701.50 5.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	BBY	B	20,000	44.04	n/a	n/a	1000.00 5.0
AO,CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	BBY	B	20,000	44.04	n/a	n/a	600.00 3.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS382)	046	F	B	46	16.38	n/a	18-Nov	2.30 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS281)	046	F	B	366	16.38	n/a	18-Nov	18.30 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS244)	046	F	B	35	16.38	n/a	18-Nov	1.75 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS381)	046	F	B	46	16.38	n/a	18-Nov	2.30 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS380)	046	F	B	348	16.38	n/a	18-Nov	17.40 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS241)	046	F	B	409	16.38	n/a	18-Nov	20.45 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS160)	046	F	B	520	16.38	n/a	18-Nov	26.00 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS368)	046	F	B	170	16.38	n/a	18-Nov	8.50 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS159)	046	F	B	156	16.38	n/a	18-Nov	7.80 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS016)	046	F	B	552	16.38	n/a	18-Nov	27.60 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONECC012)	046	F	B	959	16.38	n/a	18-Nov	47.95 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	42,956	16.38	n/a	18-Nov	2147.80 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	54,122	16.38	n/a	18-Nov	2706.10 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	69,848	16.38	n/a	18-Nov	3492.40 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	49,421	16.38	n/a	18-Nov	2471.05 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	50,024	16.38	n/a	18-Nov	2501.20 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	77,412	16.38	n/a	18-Nov	3870.60 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	41,326	16.38	n/a	18-Nov	2066.30 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	62,438	16.38	n/a	18-Nov	3121.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	59,986	16.38	n/a	18-Nov	2999.30 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	58,195	16.38	n/a	18-Nov	2909.75 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	72,583	16.38	n/a	18-Nov	3629.15 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	49,697	16.38	n/a	18-Nov	2484.85 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	57,438	16.38	n/a	18-Nov	2871.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	B	64,005	16.38	n/a	18-Nov	3200.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE583)	046	F	B	205	16.38	n/a	18-Nov	10.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE489)	046	F	B	137	16.38	n/a	18-Nov	6.85 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE492)	046	F	B	479	16.38	n/a	18-Nov	23.95 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE488)	046	F	B	175	16.38	n/a	18-Nov	8.75 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE498)	046	F	B	598	16.38	n/a	18-Nov	29.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE487)	046	F	B	331	16.38	n/a	18-Nov	16.55 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE486)	046	F	B	401	16.38	n/a	18-Nov	20.05 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE483)	046	F	B	485	16.38	n/a	18-Nov	24.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE585)	046	F	B	250	16.38	n/a	18-Nov	12.50 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE482)	046	F	B	399	16.38	n/a	18-Nov	19.95 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE473)	046	F	B	76	16.38	n/a	18-Nov	3.80 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE995)	046	F	B	97	16.38	n/a	18-Nov	4.85 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE472)	046	F	B	76	16.38	n/a	18-Nov	3.80 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE997)	046	F	B	43	16.38	n/a	18-Nov	2.15 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE1010)	046	F	B	902	16.38	n/a	18-Nov	45.10 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE998)	046	F	B	65	16.38	n/a	18-Nov	3.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS406)	046	F	B	318	16.38	n/a	18-Nov	15.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE584)	046	F	B	452	16.38	n/a	18-Nov	22.60 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS388)	046	F	B	86	16.38	n/a	18-Nov	4.30 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS387)	046	F	B	65	16.38	n/a	18-Nov	3.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS386)	046	F	B	65	16.38	n/a	18-Nov	3.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS385)	046	F	B	94	16.38	n/a	18-Nov	4.70 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS384)	046	F	B	46	16.38	n/a	18-Nov	2.30 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/22	MELLON/BANK OF NEW YORK (BONE500)	046	F	B	1,051	16.38	n/a	18-Nov	52.55 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS383)	046	F	B	46	16.38	n/a	18-Nov	2.30 5.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	GPS	B	20,000	20.72	n/a	n/a	1000.00 5.0
AO,CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	GPS	B	20,000	20.72	n/a	n/a	600.00 3.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	HGG	B	25,000	23.31	n/a	n/a	1250.00 5.0
AO,CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	HGG	B	25,000	23.31	n/a	n/a	750.00 3.0
CRT	11/23	GLOBAL 56 LLC (GLOBJEFF)	060	JNY	B	2,500	13.69	n/a	28-Oct	125.00 5.0
AO,CRT	11/22	SURSUM CAPITAL (SURSGSPB)	215	JNY	B	9,530	13.80	n/a	28-Oct	285.90 3.0
AO,CXL	11/22	SURSUM CAPITAL (SURSMSPB)	215	JNY	B	9,530	13.80	n/a	28-Oct	476.50 5.0
AO,CRT	11/22	REINHART & MAHONEY (REINPHERVA)	047	NTRS	S	700	50.84	n/a	18-Nov	35.00 5.0
AO,CXL	11/22	REINHART & MAHONEY (REINPHESVA)	047	NTRS	S	700	50.84	n/a	18-Nov	35.00 5.0
AO,CXL	11/22	PORTER-ORLIN (PORTORLIN)	044	STD	SS	150,000	11.08	n/a	n/a	0.00 0.0
AO,CRT	11/22	PORTER-ORLIN (PORTORLIN)	044	STD	SS	150,000	11.08	n/a	n/a	7500.00 5.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	TLB	B	20,000	11.25	n/a	n/a	1000.00 5.0
AO,CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	TLB	B	20,000	11.25	n/a	n/a	600.00 3.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE349)	046	VSI	S	7,600	30.41	n/a	n/a	152.00 2.0
AO,CRT	11/22	REINHART & MAHONEY (REINPHERVA)	047	WFC	B	1,200	27.12	n/a	18-Nov	60.00 5.0
AO,CXL	11/22	REINHART & MAHONEY (REINPHESVA)	047	WFC	B	1,200	27.12	n/a	18-Nov	60.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>47,687.90</b>

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TOTAL (Trade Date):	105,564.75
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TOTAL (AO, CXL, CRT):	47,687.90
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>153,252.65</b>
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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