

Daily Compliance Activity Report Trade Date: 10/13/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

				101	TRUBE VIOLATIONS: 0			
RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
030	AAPL	В	300	301.00	n/a	n/a	9.00	3.0
025	ADTN	SS	168,000	33.00	n/a	n/a	8,400.00	5.0
035	AEO	В	24,600	17.21	n/a	11-0ct	738.00	3.0
036	ANR	В	100,000	47.08	n/a	n/a	3,000.00	3.0
030	APC	В	1,300	58.48	n/a	30-Sep	39.00	3.0
240	ARM	В	20,000	17.23	n/a	n/a	800.00	4.0
001	ARO	В	50,000	27.13	n/a	11-0ct	2,000.00	4.0
232	BAC	С	25 , 000	13.28	n/a	8-0ct	1,250.00	5.0
028	BYD	В	25,000	8.43	n/a	n/a	1,250.00	5.0
028	BYD	В	25,000	8.39	n/a	n/a	1,000.00	4.0
266	CFR	В	9,400	54.34	n/a	n/a	376.00	4.0
001	CHS	S	120,000	11.26	n/a	5-Feb	4,800.00	4.0
041	CHS	SS	50,000	11.15	n/a	5-Feb	1,750.00	3.5
C044	CYN	В	18,300	54.96	n/a	n/a	732.00	4.0
040	CYT	S	7,400	60.56	n/a	n/a	296.00	4.0
	030 025 035 036 030 240 001 232 028 028 028 041 041	030 AAPL 025 ADTN 035 AEO 036 ANR 030 APC 240 ARM 001 ARO 232 BAC 028 BYD 028 BYD 028 BYD 028 CFR 001 CHS 041 CHS	030 AAPL B 025 ADTN SS 035 AEO B 036 ANR B 030 APC B 240 ARM B 001 ARO B 232 BAC C 028 BYD B 028 SS 041 CHS SS	030 AAPL B 300 025 ADTN SS 168,000 035 AEO B 24,600 036 ANR B 100,000 030 APC B 1,300 240 ARM B 20,000 001 ARO B 50,000 028 BYD B 25,000 028 BYD B 25,000 028 BYD B 25,000 028 BYD B 9,400 001 CHS S 120,000 041 CHS SS 50,000	RR # Symbol B/S Shares Price 030 AAPL B 300 301.00 025 ADTN SS 168,000 33.00 035 AEO B 24,600 17.21 036 ANR B 100,000 47.08 030 APC B 1,300 58.48 240 ARM B 20,000 17.23 001 ARO B 50,000 27.13 232 BAC C 25,000 13.28 028 BYD B 25,000 8.43 028 BYD B 25,000 8.39 266 CFR B 9,400 54.34 001 CHS S 120,000 11.26 041 CHS SS 50,000 11.15 C044 CYN B 18,300 54.96	RR # Symbol B/S Shares Price MRI 030 AAPL B 300 301.00 n/a 025 ADTN SS 168,000 33.00 n/a 035 AEO B 24,600 17.21 n/a 036 ANR B 100,000 47.08 n/a 030 APC B 1,300 58.48 n/a 240 ARM B 20,000 17.23 n/a 001 ARO B 50,000 27.13 n/a 028 BYD B 25,000 8.43 n/a 028 BYD B 25,000 8.39 n/a 266 CFR B 9,400 54.34 n/a 041 CHS S 120,000 11.26 n/a 041 CHS SS 50,000 11.15 n/a 0404 CYN B 18,300 54.96<	RR # Symbol B/S Shares Price MRI Research 030 AAPL B 300 301.00 n/a n/a 025 ADTN SS 168,000 33.00 n/a n/a 035 AEO B 24,600 17.21 n/a 11-Oct 036 ANR B 100,000 47.08 n/a n/a 030 APC B 1,300 58.48 n/a 30-Sep 240 ARM B 20,000 17.23 n/a n/a 001 ARO B 50,000 27.13 n/a 11-Oct 232 BAC C 25,000 13.28 n/a 8-Oct 028 BYD B 25,000 8.43 n/a n/a 028 BYD B 25,000 8.39 n/a n/a 266 CFR B 9,400 54.34 n/a n/a <	RR # Symbol B/S Shares Price MRI Research Comm. 030 AAPL B 300 301.00 n/a n/a 9.00 025 ADTN SS 168,000 33.00 n/a n/a 8,400.00 035 AEO B 24,600 17.21 n/a 11-oct 738.00 036 ANR B 100,000 47.08 n/a n/a 3,000.00 030 APC B 1,300 58.48 n/a 30-Sep 39.00 240 ARM B 20,000 17.23 n/a n/a 800.00 001 ARO B 50,000 27.13 n/a 11-Oct 2,000.00 232 BAC C 25,000 8.43 n/a 8-Oct 1,250.00 028 BYD B 25,000 8.43 n/a n/a n/a 1,000.00 266 CFR B<

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.	
	WALL STREET CAPITAL	084	С	В	40,000	4.29	n/a	8-0ct	1,400.00	3.5	
	TALKOT CAPITAL LLC	084	FINL	S	20,000	15.57	n/a	n/a	800.00	4.0	
	EPOCH INV MGMT	030	FIS	В	16,700	27.79	n/a	n/a	501.00	3.0	
	BASIX	033	FL	S	42,000	15.67	n/a	20-Aug	1,260.00	3.0	
	WEDBUSH/PACIFIC GROWTH EQ	QTY LLC08	34 F		SS 12,	,500 13.66		n/a 4-0c	t 625	5.00 5.0	
	HOPLITE MGMT	025	GMCR	В	167,209	29.52	n/a	n/a	8,360.45	5.0	
	RWC PARTNERS LTD	067	GOOG	S	46,262		n/a	n/a	1,387.86	3.0	
õ	Ravi Sadarangani		GOOG	S	1005	44.4000	n/a	n/a	0.00	0.0	
	GCORE MANAGEMENT	041	HRB	SS	20,000	14.09	n/a	n/a	1,000.00	5.0	
	BARROW HANLEY MEWHINNEY	031	INTC	S	250,000	19.23	n/a	n/a	8,750.00	3.5	
	BMO NESBITT BURNS	041	IP	SS	30,000	23.04	n/a	7-0ct	1,500.00	5.0	
	M&I FUNDS	047	JCI	В	15,337	31.93	n/a	13-0ct	613.48	4.0	
	RBC CAPITAL MARKETS	040	JCI	В	20,000	32.67	n/a	13-Oct	800.00	4.0	
	PARAMETER CAPITAL MGMT LI	C044	JPM	S	50,000	40.11	n/a	8-0ct	2,000.00	4.0	
	BUCK CAPITAL MGMT	001	LIZ	В	100,000	6.86	n/a	7-0ct	3,000.00	3.0	
	PIONEER PATH	226	LIZ	В	61,500	6.79	n/a	7-0ct	1,845.00	3.0	
	DC CAPITAL	044	LNC	S	75,000	25.65	n/a	n/a	3,750.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
MERCHANTS GATE CAP LP	036	LOW	В	65,900	22.00	n/a	16-Aug	2,636.00	4.0
THE JAY GOLDMAN	028	MGM	В	25,000	12.36	n/a	13-Oct	1,000.00	4.0
RBC CAPITAL MARKETS	040	MON	S	15,000	54.40	n/a	11-Oct	600.00	4.0
EPOCH INV MGMT	030	MOS	S	2,650	67.88	n/a	n/a	79.50	3.0
WEISS PECK	040	PAG	В	100,000	13.66	n/a	11-0ct	5,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	В	50,000	23.37	n/a	7-0ct	2,500.00	5.0
RBC CAPITAL MARKETS	040	PKG	В	40,000	23.87	n/a	7-0ct	1,600.00	4.0
SCHOTTENFELD ASSOC	041	PKG	S	25,000	23.50	n/a	7-0ct	750.00	3.0
PZENA INV ADV	044	PNC	В	35,825	53.56	n/a	n/a	1,253.92	3.5
SONTERRA CAP	041	PTEN	SS	30,000	18.15	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	RE	S	3,000	83.15	n/a	n/a	90.00	3.0
BUCK CAPITAL MGMT	001	RL	В	20,000	94.66	n/a	5-Aug	800.00	4.0
BMO NESBITT BURNS	041	RYN	В	6,000	49.63	n/a	26-Aug	360.00	6.0
COHE & STEERS	041	RYN	S	1,300	49.20	n/a	26-Aug	52.00	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	В	35,000	50.19	n/a	26-Aug	1,750.00	5.0
TRUST CO/COWEN/CALF.	040	SLE	S	486,735	14.77	n/a	n/a	19,469.40	4.0
COHE & STEERS	041	SPG	S	22,600	97.47	n/a	n/a	904.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WEDBUSH/PACIFIC GROWTH	EQTY LLC0	84 SSC	CC E	5,	000 21.62		n/a 7-0c	t 250	.00 5.0
ROSEDALE CAPITAL	046	SWN	S	10,000	34.66	n/a	30-Sep	500.00	5.0
THE JAY GOLDMAN	028	TGT	В	20,000	54.85	n/a	11-0ct	800.00	4.0
GEORGE WEISS	034	TIN	С	25,000	19.76	n/a	7-0ct	1,000.00	4.0
TRAFELET & COMP.	028	TIN	С	175,000	20.01	n/a	7-0ct	7,000.00	4.0
BENNETT LAWRENCE	028	TPX	В	15,900	32.53	n/a	n/a	636.00	4.0
PZENA INV ADV	044	UNF	В	2 , 975	46.76	n/a	n/a	104.13	3.5
SANDLER CAPITAL	226	VZ	S	115,000	32.43	n/a	n/a	6,900.00	6.0
KLEINHEINZ CAP PART	031	WHR	В	30,000	87.10	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	12,100	55.38	n/a	13-Oct	484.00	4.0
CATAPULT	040	WY	В	25,000	15.97	n/a	26-Aug	1,000.00	4.0

TOTAL (Trade Date): 124,251.74

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL AO,CRT		THE JAY GOLDMAN (GOLDGSBULK) THE JAY GOLDMAN (GOLDGSBULK)	028 028	MPEL MPEL	B B	50,000 50,000	5.65 5.65	n/a n/a		2000.00 4.0 1500.00 3.0
TOTAL	(AO, 0	CXL, CRT):							_	500.00

TOTAL (RUN DATE) / NFS:	123,751.74
TOTAL (AO, CXL, CRT):	-500.00
TOTAL (Trade Date):	124,251.74

Legend:

O: 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