



Daily Compliance Activity Report

Trade Date: 11/11/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	AA	B	11,000	13.80	n/a	n/a	440.00	4.0
TPG-AXON	040	ABT	SS	9,000	49.78	n/a	n/a	450.00	5.0
BNP PARIBAS SEC	040	ADM	B	10,000	30.70	n/a	2-Nov	500.00	5.0
STATE TEACHERS RET SYS	047	AHT	B	10,000	9.75	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	170,000	24.40	n/a	5-Nov	6,800.00	4.0
ROTHSCHILD ASSET	040	AVA	B	75,407	21.80	n/a	n/a	3,016.28	4.0
MERRILL ASSET/BLACKROCK	266	AVP	B	39,410	29.24	n/a	29-Oct	1,576.40	4.0
ROTHSCHILD ASSET	040	AWH	B	5,515	60.36	n/a	n/a	220.60	4.0
CATAPULT	040	BEAT	B	20,206	5.10	n/a	n/a	1,010.30	5.0
TRELLUS PARTNERS LP	028	BIG	B	30,000	30.10	n/a	5-Nov	1,500.00	5.0
TPG-AXON	040	BMJ	SS	15,000	26.25	n/a	n/a	750.00	5.0
STATE TEACHERS RET SYS	047	BRE	S	5,000	44.52	n/a	n/a	250.00	5.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.75	n/a	n/a	800.00	4.0
HARVEST MGMT	029	CAKE	S	20,000	29.90	n/a	22-Oct	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	40,000	52.56	n/a	27-Oct	1,600.00	4.0
TRUST CO/COWEN/CALF.	040	CVX	S	26,135	85.76	n/a	n/a	1,306.75	5.0
BUCK CAPITAL MGMT	001	DRI	B	100,000	48.93	n/a	15-Oct	4,000.00	4.0
ROSEDALE CAPITAL	046	DVN	S	5,000	72.79	n/a	4-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	48.10	n/a	7-Oct	800.00	4.0
O CAPITAL MGMT	029	FFNW	B	5,000	3.47	n/a	n/a	250.00	5.0
LATEFF MGMT	035	FL	S	3,000	16.20	n/a	14-Oct	330.00	11.0
BUCK CAPITAL MGMT	001	GIL	B	20,000	27.18	n/a	18-Oct	800.00	4.0
MAIRS AND POWER INV	030	GLW	B	20,000	18.52	n/a	1-Nov	1,000.00	5.0
HOLLIS CAPITAL	033	HK	B	5,000	19.00	n/a	n/a	250.00	5.0
HARVEST MGMT	029	HLYS	B	25,000	3.33	n/a	n/a	750.00	3.0
BALYASNY ASSET MGMT	044	IP	S	25,000	26.13	n/a	27-Oct	1,250.00	5.0
BMO NESBITT BURNS	041	IP	SS	25,000	26.36	n/a	27-Oct	1,250.00	5.0
MORTAR ROCK	033	JNY	B	25,000	13.96	n/a	28-Oct	1,000.00	4.0
BIXBY LLC	070	KEG	B	25,000	10.91	n/a	28-Oct	1,000.00	4.0
TALPION LLC	040	KEG	B	10,000	10.97	n/a	28-Oct	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	KH	B	5,900	18.00	n/a	n/a	236.00	4.0
HARVEST MGMT	029	KSS	SS	10,000	52.10	n/a	5-Nov	500.00	5.0
STATE TEACHERS RET SYS	047	LHO	B	3,000	23.00	n/a	n/a	150.00	5.0
SAC TRADING TOM LEDDY	035	LOW	B	100,000	22.26	n/a	16-Aug	3,500.00	3.5
SOROS	036	LPX	B	250,000	8.38	n/a	8-Nov	7,500.00	3.0
TPG-AXON	040	MRK	SS	13,000	35.18	n/a	n/a	650.00	5.0
UNITED STATES PENSION	085	MSFT	S	45,000	26.67	n/a	n/a	2,250.00	5.0
BUCK CAPITAL MGMT	001	M	B	20,000	24.77	n/a	11-Nov	800.00	4.0
IRIDIAN ASSET MGMT.	036	NVDA	S	144,950	12.59	n/a	n/a	4,348.50	3.0
BNP PARIBAS SEC	040	OI	B	20,000	28.26	n/a	n/a	1,000.00	5.0
COHE & STEERS	041	PCL	S	150,000	38.49	n/a	26-Oct	6,000.00	4.0
LAGRANGE CAP ADV	048	PFCB	SS	10,000	48.50	n/a	27-Oct	500.00	5.0
MERRILL ASSET/BLACKROCK	266	PH	S	9,000	80.83	n/a	20-Oct	360.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	30,000	25.46	n/a	19-Oct	1,500.00	5.0
NOKOMIS PARTNERS	033	PTEC	S	20,100	4.19	n/a	n/a	402.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	PVH	B	79,900	62.47	n/a	18-Oct	2,397.00	3.0
FIRST NEW YORK NICK	029	Q	S	20,000	6.84	n/a	n/a	1,000.00	5.0
BNP PARIBAS SEC	040	SOA	S	25,000	21.08	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	SSCC	S	20,000	23.81	n/a	2-Nov	1,000.00	5.0
DC CAPITAL	044	SSCC	S	50,000	23.79	n/a	2-Nov	2,000.00	4.0
BNP PARIBAS SEC	040	SVR	B	25,000	30.43	n/a	n/a	1,250.00	5.0
MERRILL ASSET/BLACKROCK	266	SWX	B	5,300	35.39	n/a	n/a	212.00	4.0
RBC CAPITAL MARKETS	040	TCK	S	10,000	48.18	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	THFF	B	1,000	31.68	n/a	n/a	40.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	B	74,869	20.85	n/a	20-Oct	2,246.07	3.0
HARVEST MGMT	029	TPX	B	15,000	35.69	n/a	n/a	750.00	5.0
RAINIER INV MGMT	035	TRW	B	52,180	51.64	n/a	n/a	2,087.20	4.0
RBC CAPITAL MARKETS	040	URI	B	15,000	19.88	n/a	n/a	600.00	4.0
US BANCORP	030	URI	S	48,350	20.02	n/a	n/a	2,417.50	5.0
PENNANT CAP MGMT	029	WFC	B	100,000	28.12	n/a	4-Nov	3,000.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	51.59	n/a	9-Nov	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WY	S	25,000	17.73	n/a	29-Oct	1,250.00	5.0
FARALLON CAP MGMT	040	XOM	S	80,600	71.34	n/a	n/a	3,224.00	4.0
TOTAL (Trade Date):								90,970.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/10	CATAPULT (CATACSBF)	040	BEAT	B	35,302	5.19	n/a	n/a	0.00	0.0
AO,CXL	11/10	CATAPULT (CATACSBF)	040	BEAT	B	8,600	5.10	n/a	n/a	0.00	0.0
AO,CXL	11/10	CATAPULT (CATACSBF)	040	BEAT	B	17,675	5.09	n/a	n/a	0.00	0.0
AO,CXL	11/10	CATAPULT (CATACSBF)	040	BEAT	B	18,325	5.09	n/a	n/a	0.00	0.0
AO,CXL	11/10	CATAPULT (CATACSBF)	040	BEAT	B	39,000	4.94	n/a	n/a	0.00	0.0
AO,CXL	11/10	CATAPULT (CATACSBF)	040	BEAT	B	75,000	4.88	n/a	n/a	0.00	0.0
AO,	11/10	CATAPULT (CATACSBF)	040	BEAT	B	35,302	5.19	n/a	n/a	1765.10	5.0
AO,	11/10	CATAPULT (CATACSBF)	040	BEAT	B	8,600	5.10	n/a	n/a	430.00	5.0
AO,	11/10	CATAPULT (CATACSBF)	040	BEAT	B	17,675	5.09	n/a	n/a	883.75	5.0
AO,	11/10	CATAPULT (CATACSBF)	040	BEAT	B	18,325	5.09	n/a	n/a	916.25	5.0
AO,	11/10	CATAPULT (CATACSBF)	040	BEAT	B	39,000	4.94	n/a	n/a	1950.00	5.0
AO,	11/10	CATAPULT (CATACSBF)	040	BEAT	B	75,000	4.88	n/a	n/a	3750.00	5.0
AO,CXL	11/10	MILLENIU PARTNERS (MILPMLICS)	028	IP	B	20,000	25.47	n/a	27-Oct	0.00	0.0
AO,CRT	11/10	MILLENIU PARTNERS (MILPMLICS)	028	IP	B	20,000	25.47	n/a	27-Oct	800.00	4.0
AO,	11/10	NOMURA CAPITAL (NOMULASERS)	029	QLTY	S	300	7.00	n/a	n/a	9.00	3.0
CRT	11/11	BNP PARIBAS SEC (BNPPMAIN)	040	SVR	B	25,000	30.43	n/a	n/a	1250.00	5.0
AO,	11/10	PENNANT CAP MGMT (PENAMSPB)	029	WFC	B	350,000	28.22	n/a	4-Nov	10500.00	3.0
TOTAL (AO, CXL, CRT) :										22,254.10	

TOTAL (Trade Date):	90,970.60
TOTAL (AO, CXL, CRT):	22,254.10

TOTAL (RUN DATE) / NFS:

113,224.70

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