



## Daily Compliance Activity Report

Trade Date: 10/21/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CATAPULT	040	AA	B	25,000	13.04	n/a	n/a	1,000.00	4.0	
PROSPECTOR PARTNERS LLC	036	ABT	B	2,000	52.87	n/a	n/a	80.00	4.0	
PNC CAPITAL ADV	028	ACE	B	60,062	60.43	n/a	n/a	2,402.48	4.0	
CENTURION PARTNERS	041	AEO	B	20,000	16.90	n/a	11-Oct	800.00	4.0	
DIAMONDBACK CAP MGMT	232	AF	S	15,000	13.00	n/a	21-Oct	750.00	5.0	
PROSPECTOR PARTNERS LLC	036	ALTE	B	2,600	20.71	n/a	n/a	104.00	4.0	
LAGRANGE CAP ADV	048	ALV	SS	5,000	70.01	n/a	19-Oct	250.00	5.0	
MILLRACE FUND LP	028	ANF	B	6,000	42.49	n/a	11-Oct	240.00	4.0	
BUCK CAPITAL MGMT	001	ANN	B	20,000	21.07	n/a	n/a	800.00	4.0	
LAGRANGE CAP ADV	048	AN	SS	5,491	24.00	n/a	19-Oct	274.55	5.0	
BUCK CAPITAL MGMT	001	ARO	S	30,000	25.26	n/a	11-Oct	1,200.00	4.0	
WEDBUSH/PACIFIC GROWTH EQTY LLC084		ATML	S	10,000	7.83		n/a	n/a	400.00	4.0
MILLENIUM PARTNERS	028	AXL	B	25,000	9.24	n/a	19-Oct	1,000.00	4.0	
MORTAR ROCK	033	BEAV	SS	35,000	32.84	n/a	12-Oct	1,400.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	BRKB	B	1,800	82.96	n/a	n/a	72.00	4.0
PROSPECTOR PARTNERS LLC	036	CCE	B	3,300	24.34	n/a	n/a	132.00	4.0
CATAPULT	040	CE	B	10,000	34.70	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	CLB	S	2,700	84.05	n/a	21-Oct	108.00	4.0
RBC CAPITAL MARKETS	040	CLF	SS	15,000	64.70	n/a	n/a	600.00	4.0
PROSPECTOR PARTNERS LLC	036	CMCSK	B	2,400	18.50	n/a	n/a	96.00	4.0
PROSPECTOR PARTNERS LLC	036	CPB	B	2,400	36.30	n/a	n/a	96.00	4.0
PROSPECTOR PARTNERS LLC	036	CPN	B	3,300	12.41	n/a	n/a	132.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,000	85.19	n/a	30-Sep	40.00	4.0
JENNISON	070	CSCO	S	1,150,000	23.39	n/a	n/a	42,550.02	3.7
ENTRUST CAPITAL	040	CSX	S	10,900	59.84	n/a	n/a	545.00	5.0
STERLING JOHNSTON	035	CVGI	B	45,000	11.70	n/a	n/a	1,800.00	4.0
AMBER CAPITAL	046	CX	SS	137,000	8.05	n/a	n/a	5,480.00	4.0
SCHOTTENFELD ASSOC	041	C	B	50,000	4.07	n/a	19-Oct	1,500.00	3.0
LOMBARDIA CAP MGMT	084	DBRN	B	35,831	23.15	n/a	n/a	1,703.61	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	DD	B	25,000	47.24	n/a	23-Sep	1,250.00	5.0
COOPER CREEK PART	028	DPZ	SS	10,000	14.93	n/a	19-Oct	400.00	4.0
PERRY PARTNERS	085	EBAY	S	100,000	27.90	n/a	n/a	5,000.00	5.0
NWQ INVESTMENT MGMT CO	084	ENTG	B	24,100	5.03	n/a	n/a	723.00	3.0
ROARING BLUE LION MGMT	012	FRED	SS	20,000	12.34	n/a	n/a	800.00	4.0
OZ MGMT	040	F	C	149,280	13.96	n/a	19-Oct	4,478.40	3.0
SIGMA CAP BOBBY	044	F	B	50,000	14.13	n/a	19-Oct	1,750.00	3.5
TROUBH PART	067	F	B	40,000	14.08	n/a	19-Oct	2,000.00	5.0
SAXON WOODS ADVISORS	242	GES	S	19,572	41.78	n/a	18-Oct	782.88	4.0
MILLENIUUM PARTNERS	028	GE	SS	4,000	16.22	n/a	n/a	160.00	4.0
MILLENIUUM PARTNERS	028	GE	S	46,000	16.22	n/a	n/a	1,840.00	4.0
GRUSS CAPITAL	025	GLD	B	10,000	128.82	n/a	n/a	300.00	3.0
OZ MGMT	040	HD	C	51,559	31.98	n/a	7-Oct	1,546.77	3.0
SHEFFIELD ASSET MGMT	031	HD	S	71,500	31.81	n/a	7-Oct	3,575.00	5.0
MORTAR ROCK	033	HRB	SS	10,000	10.70	n/a	n/a	400.00	4.0
MORTAR ROCK	033	HRS	SS	10,000	43.99	n/a	4-Aug	400.00	4.0
BROADARCH CAP/OLD NEWC	070	HTZ	B	16,000	10.54	n/a	n/a	640.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	JAS	B	3,190	40.75	n/a	n/a	127.60	4.0
BALYASNY ASSET MGMT	044	JCG	C	10,000	32.10	n/a	n/a	500.00	5.0
CATAPULT	040	KWK	SS	25,000	15.08	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	LIFE	C	25,000	47.16	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	LUV	S	2,500	13.55	n/a	n/a	250.00	10.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>S</b>	<b>10,000</b>	<b>27.09</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
MOORE CAPITAL	028	MGM	B	20,000	11.32	n/a	13-Oct	800.00	4.0
T. ROWE PRICE	033	NKE	B	25,100	81.95	n/a	n/a	1,004.00	4.0
ARMATURE CAPITAL	041	OC	B	50,000	28.20	n/a	n/a	2,000.00	4.0
11:11 CAPITAL CORP	046	ONXX	S	27,461	27.33	n/a	n/a	823.83	3.0
WEISS PECK	040	PAG	B	50,000	13.76	n/a	19-Oct	2,500.00	5.0
CR INTRINIC INVESTMENT	044	PFE	S	194,000	17.70	n/a	n/a	6,790.00	3.5
PERRY PARTNERS	085	PFE	B	150,000	17.80	n/a	n/a	7,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	70,000	24.09	n/a	19-Oct	3,500.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	20,000	23.61	n/a	19-Oct	600.00	3.0
THIRD POINT MGMT	044	PSS	B	50,000	17.21	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
FIRST NEW YORK NICK	029	Q	B	20,000	6.43	n/a	n/a	1,000.00	5.0	
ARCHON CAPITAL	035	RBCN	SS	10,000	23.79	n/a	n/a	300.00	3.0	
OHIO PERS	047	RCL	B	42,000	34.71	n/a	n/a	1,260.00	3.0	
ARCHON CAPITAL	035	ROVI	SS	5,000	48.50	n/a	n/a	150.00	3.0	
LAGRANGE CAP ADV	048	SKS	SS	10,000	10.75	n/a	n/a	500.00	5.0	
CAXTON PART	040	SLM	SS	50,000	11.40	n/a	20-Oct	1,750.00	3.5	
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	STX	B	10,000	15.24		n/a	n/a	400.00	4.0
ENTRUST CAPITAL	040	TBL	S	20,100	21.08	n/a	n/a	1,005.00	5.0	
PENNANT CAP MGMT	029	TEX	B	510,000	22.96	n/a	18-Oct	15,300.00	3.0	
PLATTE RIVER CAPITAL	240	TEX	B	25,010	22.35	n/a	18-Oct	1,000.40	4.0	
MORTAR ROCK	033	THO	SS	20,000	31.40	n/a	n/a	800.00	4.0	
GRUSS CAPITAL	025	TLT	SS	20,000	101.57	n/a	n/a	600.00	3.0	
DIAMONDBACK CAP MGMT	232	UPS	SS	7,500	69.02	n/a	n/a	375.00	5.0	
LAGRANGE CAP ADV	048	URI	SS	20,000	18.43	n/a	n/a	1,000.00	5.0	
NOMURA CAPITAL	029	USG	B	11,600	12.11	n/a	18-Oct	348.00	3.0	
TALKOT CAPITAL LLC	084	USG	B	10,000	12.03	n/a	18-Oct	400.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	VFC	B	50,000	86.79	n/a	18-Oct	2,000.00	4.0
RBC CAPITAL MARKETS	040	VFC	SS	10,000	87.09	n/a	18-Oct	400.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	XLB	SS	150,000	34.76	n/a	n/a	5,250.00	3.5
LAGRANGE CAP ADV	048	X	B	10,000	42.50	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	YSI	B	25,000	8.72	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>158,385.54</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/21	MILLRACE FUND LP (MILRGS)	028	ANF	B	6,000	42.49	n/a	11-Oct	240.00 4.0
AO,	10/20	BENNETT LAWRENCE (BENLGS)	028	GTIV	C	8,250	23.79	n/a	n/a	330.00 4.0
AO,	10/20	BENNETT LAWRENCE (BENLGS)	028	IPCM	C	8,150	29.39	n/a	n/a	326.00 4.0
AO,	10/20	BENNETT LAWRENCE (BENL610)	028	OPTR	B	3,600	10.12	n/a	n/a	144.00 4.0
AO,	10/20	BENNETT LAWRENCE (BENL609)	028	OPTR	B	1,200	10.12	n/a	n/a	48.00 4.0
AO,CXL	10/14	ADALY INV MGMT (ADALMANOM)	031	PAG	S	5,000	13.86	n/a	19-Oct	250.00 5.0
AO,CRT	10/14	ADALY INV MGMT (ADALMANOM)	031	PAG	S	5,000	13.86	n/a	19-Oct	200.00 4.0
AO,	10/20	NOMURA CAPITAL (NOMUSTRATE)	029	SSCC	S	1,870	22.58	n/a	18-Oct	56.10 3.0
AO,	10/20	NOMURA CAPITAL (NOMUBATT2)	029	SSCC	S	659	22.58	n/a	18-Oct	19.77 3.0
AO,	10/20	NOMURA CAPITAL (NOMUBSMAIN)	029	SSCC	S	4,971	22.58	n/a	18-Oct	149.13 3.0

**TOTAL (AO, CXL, CRT) :****1,263.00**

TOTAL (Trade Date) :

158,385.54

TOTAL (AO, CXL, CRT) :

1,263.00

**TOTAL (RUN DATE) / NFS:****159,648.54**

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