



Daily Compliance Activity Report

Trade Date: 11/05/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	AAP	S	25,000	65.90	n/a	n/a	875.00	3.5
STATE TEACHERS RET SYS	047	AIV	S	10,000	25.25	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	AN	B	20,100	26.24	n/a	29-Oct	804.00	4.0
ENTRUST CAPITAL	040	ARO	SS	44,500	24.06	n/a	5-Nov	2,225.00	5.0
IRIDIAN ASSET MGMT.	036	ATML	S	137,360	10.15	n/a	n/a	6,868.00	5.0
APEX CAPITAL MGMT.	261	BBY	C	102,800	44.68	n/a	n/a	4,112.00	4.0
COUGAR TRADING	044	BIG	SS	5,000	29.21	n/a	5-Nov	250.00	5.0
FIRST NEW YORK LEDDY	035	BSX	S	10,000	6.73	n/a	n/a	400.00	4.0
JETSTREAM GLOBAL FUND LP	065	CAR	B	100,300	13.64	n/a	n/a	5,015.00	5.0
STATE TEACHERS RET SYS	047	CBL	S	30,000	18.73	n/a	n/a	1,500.00	5.0
KLEINHEINZ CAP PART	031	CCJ	B	40,000	33.36	n/a	n/a	2,000.00	5.0
HARRIER HAWK MGMT	028	CLGX	S	50,000	18.20	n/a	n/a	2,000.00	4.0
STATE TEACHERS RET SYS	047	CLP	S	10,000	19.30	n/a	n/a	500.00	5.0
STATE TEACHERS RET SYS	047	COF	B	25,000	40.41	n/a	5-Nov	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	COST	B	27,400	65.97	n/a	n/a	959.00	3.5
ROTHSCHILD ASSET	040	CTB	B	23,922	21.48	n/a	n/a	956.88	4.0
CROWN CAP MGMT	084	CVGI	B	35,000	15.33	n/a	n/a	1,750.00	5.0
METROPOLITAN CAPITAL	044	DAN	S	22,300	15.02	n/a	29-Oct	1,115.00	5.0
PZENA INV ADV	044	DFG	S	1,725	28.43	n/a	n/a	60.40	3.5
STATE TEACHERS RET SYS	047	DRE	S	10,000	12.90	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	EBAY	B	50,000	30.80	n/a	n/a	2,500.00	5.0
STATE TEACHERS RET SYS	047	ENR	B	30,000	67.47	n/a	3-Nov	1,500.00	5.0
HIGHBRIDGE CAP	041	EV	S	16,926	31.01	n/a	n/a	507.78	3.0
CHARTER OAK	033	EXH	B	25,016	22.87	n/a	22-Oct	1,250.80	5.0
BMO NESBITT BURNS	041	FDO	SS	3,000	48.21	n/a	7-Oct	120.00	4.0
O CAPITAL MGMT	029	FFNW	B	4,000	3.87	n/a	n/a	200.00	5.0
BMO NESBITT BURNS	041	FINL	B	4,000	16.19	n/a	n/a	160.00	4.0
BMO NESBITT BURNS	041	FL	B	4,000	16.53	n/a	14-Oct	160.00	4.0
BUCK CAPITAL MGMT	001	FL	S	300,000	16.59	n/a	14-Oct	12,000.00	4.0
JP MORGAN VENTURES	046	FL	S	15,000	16.46	n/a	14-Oct	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	FRED	SS	5,000	12.66	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	GES	B	11,675	40.43	n/a	18-Oct	350.25	3.0
PATTEN & PATTEN	067	GE	B	500	16.73	n/a	n/a	25.00	5.0
NUMERIC	060	GNW	S	141,600	12.32	n/a	n/a	4,248.00	3.0
BUCK CAPITAL MGMT	001	GPS	S	100,000	20.55	n/a	n/a	4,000.00	4.0
DELTEC ASSET MGMT.	040	HAL	S	7,000	32.63	n/a	n/a	350.00	5.0
BASSWOOD PARTNERS	267	HBC	B	16,500	55.17	n/a	n/a	660.00	4.0
CAERUS GLOBAL	041	HBI	B	25,000	25.29	n/a	28-Oct	1,000.00	4.0
BMO NESBITT BURNS	041	HD	SS	4,000	32.03	n/a	7-Oct	160.00	4.0
STATE TEACHERS RET SYS	047	HLF	B	30,000	65.90	n/a	n/a	1,500.00	5.0
STATE TEACHERS RET SYS	047	HT	B	20,000	5.90	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	ITT	S	900	48.58	n/a	30-Apr	45.00	5.0
WEISS PECK	040	JNY	B	75,000	14.77	n/a	28-Oct	3,750.00	5.0
CAXTON PART	040	JPM	B	18,440	41.13	n/a	4-Nov	645.43	3.5
STATE TEACHERS RET SYS	047	JPM	B	50,000	40.87	n/a	4-Nov	2,500.00	5.0
HIGHBRIDGE CAP	041	JWN	B	500	41.88	n/a	5-Nov	15.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	KFT	B	70,000	30.99	n/a	n/a	3,500.00	5.0
ASCEND PARTNERS	033	KSS	B	32,829	52.26	n/a	5-Nov	1,641.45	5.0
ASCEND PARTNERS	033	KSS	S	32,829	53.13	n/a	5-Nov	1,641.45	5.0
BUCK CAPITAL MGMT	001	KSS	B	60,000	52.28	n/a	5-Nov	2,400.00	4.0
ARMATURE CAPITAL	041	LCC	SS	50,000	11.65	n/a	n/a	2,000.00	4.0
UNITED STATES PENSION	085	LEG	S	114,221	20.52	n/a	n/a	5,711.05	5.0
ARMATURE CAPITAL	041	LEN	B	60,000	15.83	n/a	n/a	2,400.00	4.0
KENNEDY CAPITAL	046	LIZ	S	190,450	6.99	n/a	7-Oct	5,713.50	3.0
STATE TEACHERS RET SYS	047	LNT	B	15,492	37.52	n/a	n/a	774.60	5.0
MERRILL ASSET/BLACKROCK	266	LTD	S	29,510	31.71	n/a	n/a	1,180.40	4.0
STATE TEACHERS RET SYS	047	MAC	B	5,000	49.35	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	MFB	S	20,000	28.75	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	MMYT	S	23,400	32.65	n/a	n/a	936.00	4.0
RBC CAPITAL MARKETS	040	MOS	B	20,000	72.00	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	MOS	S	20,000	72.24	n/a	n/a	800.00	4.0
IRIDIAN ASSET MGMT.	036	MS	S	9,810	27.27	n/a	21-Oct	490.50	5.0
HIGHBRIDGE CAP	041	M	S	5,869	26.00	n/a	5-Nov	176.07	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	NDN	B	5,000	14.53	n/a	4-Nov	200.00	4.0
COOPER CREEK PART	028	NDN	B	15,000	14.68	n/a	4-Nov	600.00	4.0
STATE TEACHERS RET SYS	047	PEI	S	15,000	15.60	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	266	PH	S	6,400	81.57	n/a	20-Oct	256.00	4.0
MERRILL ASSET/BLACKROCK	266	PJC	B	6,907	33.58	n/a	n/a	276.28	4.0
BMO NESBITT BURNS	041	PKG	B	6,000	26.12	n/a	19-Oct	300.00	5.0
STATE TEACHERS RET SYS	047	PLD	S	15,000	14.35	n/a	n/a	750.00	5.0
MTB INV ADV	034	PNK	S	24,900	14.05	n/a	n/a	1,245.00	5.0
PATTEN & PATTEN	067	PWR	S	200	17.81	n/a	n/a	10.00	5.0
MERRILL ASSET/BLACKROCK	266	RGA	B	8,900	52.18	n/a	n/a	356.00	4.0
OWL CREEK INV	085	RKT	B	163,000	57.58	n/a	n/a	4,890.00	3.0
HIGHBRIDGE CAP	041	RL	S	1,510	99.36	n/a	18-Oct	45.30	3.0
HIGHBRIDGE CAP	041	ROST	B	1,929	63.57	n/a	n/a	57.87	3.0
STATE TEACHERS RET SYS	047	SHO	S	20,000	10.80	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	SKX	SS	100,000	20.46	n/a	n/a	0.00	0.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		SSCC	S	6,600	24.74		n/a 2-Nov	330.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	TEVA	B	40,000	51.12	n/a	4-Nov	2,000.00	5.0
ADAGE CAPITAL MGMT	030	TJX	B	430,000	46.98	n/a	5-Nov	12,900.00	3.0
MERRILL ASSET/BLACKROCK	266	TKR	S	7,100	44.31	n/a	n/a	284.00	4.0
ASCEND PARTNERS	033	UN	C	83,531	31.79	n/a	n/a	4,176.55	5.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	75,000	32.28	n/a	n/a	2,625.00	3.5
RBC CAPITAL MARKETS	040	VALE	B	50,000	33.84	n/a	n/a	2,000.00	4.0
HIGHBRIDGE CAP	041	VCLK	SS	9,877	15.25	n/a	n/a	296.31	3.0
CARLSON CAPITAL	290	WFC	S	74,200	29.21	n/a	4-Nov	2,968.00	4.0
IRIDIAN ASSET MGMT.	036	WFC	S	18,540	29.04	n/a	4-Nov	927.00	5.0
ROTHSCHILD ASSET	040	WLL	B	12,367	106.95	n/a	n/a	494.68	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	125,000	55.16	n/a	14-Oct	4,375.00	3.5
TYEE/TYGH	035	WRC	S	30,000	55.00	n/a	18-Oct	1,200.00	4.0
STATE TEACHERS RET SYS	047	WRE	B	5,000	32.85	n/a	n/a	250.00	5.0
STATE TEACHERS RET SYS	047	WRI	S	5,000	25.95	n/a	n/a	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WYN	S	25,000	30.10	n/a	n/a	875.00	3.5
BMO NESBITT BURNS	041	WY	B	6,000	17.51	n/a	29-Oct	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	WY	B	2,500	17.42	n/a	29-Oct	125.00	5.0
TOTAL (Trade Date) :								151,565.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	AIV	S	20,000	24.34	n/a	n/a	1000.00 5.0
AO,	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	AIV	S	10,000	24.50	n/a	n/a	500.00 5.0
AO,CRT	11/04	STATE TEACHERS RET SYS (STRSMAN)	047	AIV	S	10,000	24.19	n/a	n/a	500.00 5.0
AO,CXL	11/04	LISTED ERR (LISTED ERR)	099	BEAV	S	38,600	36.73	n/a	27-Oct	0.00 0.0
AO,CRT	11/04	LISTED ERR (LISTED ERR)	099	BEAV	S	38,600	36.73	n/a	27-Oct	0.00 0.0
AO,CXL	11/04	DSG CAPITAL (DSGCJEFF)	225	COG	S	5,000	31.70	n/a	27-Oct	250.00 5.0
AO,CRT	11/04	DSG CAPITAL (DSGCJEFF)	225	COG	S	5,000	31.70	n/a	27-Oct	150.00 3.0
AO,CXL	11/04	CROWN ADVISORS (CRONMERLBS)	045	CVGI	B	40,000	14.92	n/a	n/a	2000.00 5.0
AO,	11/04	CROWN CAP MGMT (CRCAGSPB)	084	CVGI	B	40,000	14.92	n/a	n/a	2000.00 5.0
AO,	11/04	LISTED ERR (LISTED ERR)	099	KSS	B	2,500	51.49	n/a	5-Nov	0.00 0.0
AO,	11/04	LISTED ERR (LISTED ERR)	099	KSS	S	2,500	51.34	n/a	5-Nov	0.00 0.0
AO,CXL	11/03	ADAGE CAPITAL MGMT (ADAGCSFB)	030	M	B	369,700	23.82	n/a	5-Nov	11091.00 3.0
AO,CRT	11/03	ADAGE CAPITAL MGMT (ADAGLONG)	030	M	B	369,700	23.82	n/a	5-Nov	11091.00 3.0
AO,	11/04	CASTLE ARK (CASA140)	031	MCHP	S	6,417	33.92	n/a	n/a	320.85 5.0
AO,	11/04	CASTLE ARK (CASA141)	031	MCHP	S	5,827	33.92	n/a	n/a	291.35 5.0
AO,	11/04	CASTLE ARK (CASA137)	031	MCHP	S	3,614	33.92	n/a	n/a	180.70 5.0
AO,	11/04	CASTLE ARK (CASA132)	031	MCHP	S	2,950	33.92	n/a	n/a	147.50 5.0
AO,	11/04	CASTLE ARK (CASA101)	031	MCHP	S	184	33.92	n/a	n/a	9.20 5.0
AO,	11/04	CASTLE ARK (CASA131)	031	MCHP	S	1,033	33.92	n/a	n/a	51.65 5.0
AO,	11/04	CASTLE ARK (CASA120)	031	MCHP	S	3,983	33.92	n/a	n/a	199.15 5.0
AO,	11/04	CASTLE ARK (CASA117)	031	MCHP	S	2,065	33.92	n/a	n/a	103.25 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/04	CASTLE ARK (CASA115)	031	MCHP	S	18,736	33.92	n/a	n/a	936.80 5.0
AO,	11/04	CASTLE ARK (CASA129)	031	MCHP	S	6,122	33.92	n/a	n/a	306.10 5.0
AO,	11/04	CASTLE ARK (CASA106)	031	MCHP	S	4,426	33.92	n/a	n/a	221.30 5.0
AO,	11/04	CASTLE ARK (CASA107)	031	MCHP	S	1,549	33.92	n/a	n/a	77.45 5.0
AO,	11/04	CASTLE ARK (CASA103)	031	MCHP	S	1,623	33.92	n/a	n/a	81.15 5.0
AO,	11/04	CASTLE ARK (CASA105)	031	MCHP	S	1,697	33.92	n/a	n/a	84.85 5.0
AO,	11/04	CASTLE ARK (CASA104)	031	MCHP	S	1,623	33.92	n/a	n/a	81.15 5.0
AO,	11/04	CASTLE ARK (CASA264)	031	MCHP	S	2,287	33.92	n/a	n/a	114.35 5.0
AO,	11/04	CASTLE ARK (CASA149)	031	MCHP	S	7,302	33.92	n/a	n/a	365.10 5.0
AO,	11/04	CASTLE ARK (CASA148)	031	MCHP	S	3,541	33.92	n/a	n/a	177.05 5.0
AO,	11/04	CASTLE ARK (CASA142)	031	MCHP	S	1,475	33.92	n/a	n/a	73.75 5.0
AO,	11/04	CASTLE ARK (CASA143)	031	MCHP	S	3,614	33.92	n/a	n/a	180.70 5.0
AO,	11/04	CASTLE ARK (CASA144)	031	MCHP	S	3,024	33.92	n/a	n/a	151.20 5.0
AO,	11/04	ADALY INV MGMT (ADALSTRUS)	031	PAG	S	1,800	14.75	n/a	25-Oct	63.00 3.5
AO,CXL	11/04	ADALY INV MGMT (ADALMANOM)	031	PAG	S	17,800	14.75	n/a	25-Oct	623.00 3.5
AO,	11/04	ADALY INV MGMT (ADALMANOM)	031	PAG	S	16,000	14.75	n/a	25-Oct	560.00 3.5
AO,	11/04	NOKOMIS PARTNERS (NOKOCONJPM)	031	SATS	B	3,698	21.43	n/a	n/a	110.94 3.0
AO,CXL	11/04	NOKOMIS PARTNERS (NOKOJPMMER)	031	SATS	B	10,000	21.43	n/a	n/a	500.00 5.0
AO,CRT	11/04	NOKOMIS PARTNERS (NOKOJPMMER)	031	SATS	B	6,302	21.43	n/a	n/a	189.06 3.0
AO,	11/04	COLUMBUS CIRCLE (COLC3050)	036	WLK	B	6,100	35.96	n/a	n/a	244.00 4.0
TOTAL (AO, CXL, CRT) :										4,098.60

TOTAL (Trade Date):

151,565.55

TOTAL (AO, CXL, CRT):

4,098.60

TOTAL (RUN DATE) / NFS:

155,664.15

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