



Daily Compliance Activity Report

Trade Date: 11/17/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	AMAG	B	5,000	13.98	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	067	AME	B	50,000	54.71	n/a	n/a	2,500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	ANF	B	100,000	46.84	n/a	17-Nov	3,000.00	3.0
BUCK CAPITAL MGMT	001	ANN	S	30,000	23.97	n/a	n/a	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	B	100,000	11.68	n/a	15-Nov	5,000.00	5.0
JET CAPITAL/CHRIS	041	BJ	B	20,000	47.57	n/a	n/a	600.00	3.0
HUNTER GLOBAL INVESTOR	067	CBE	B	50,000	51.97	n/a	22-Jul	2,500.00	5.0
KLEINHEINZ CAP PART	031	CMED	S	14,900	14.22	n/a	n/a	745.00	5.0
LEVEL GLOBAL SHARED ACCT	257	COH	C	67,700	52.83	n/a	27-Oct	2,031.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	900	89.00	n/a	16-Nov	36.00	4.0
ARMATURE CAPITAL	041	CTB	SS	60,000	20.09	n/a	n/a	2,400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	CVC	S	200,000	28.94	n/a	n/a	6,000.00	3.0
HIGHBRIDGE CAP	041	DISCA	SS	17,416	41.01	n/a	n/a	522.48	3.0
HIGHBRIDGE CAP	041	DKS	S	4,500	33.50	n/a	16-Nov	135.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	ESS	S	14,500	107.01	n/a	n/a	580.00	4.0
HUNTER GLOBAL INVESTOR	067	ETN	B	31,000	92.83	n/a	15-Nov	1,550.00	5.0
O CAPITAL MGMT	029	FFNW	B	5,000	3.58	n/a	n/a	250.00	5.0
TROUBH PART	067	F	SS	50,000	16.72	n/a	4-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	40,000	33.06	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	42.43	n/a	18-Oct	400.00	4.0
MILLENIUM PARTNERS	028	GE	B	50,000	15.83	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	40,000	27.21	n/a	18-Oct	1,600.00	4.0
BMO NESBITT BURNS	041	HD	SS	5,000	31.07	n/a	16-Nov	250.00	5.0
ONE EAST CAP ADV LP	048	HRB	B	10,000	12.52	n/a	n/a	500.00	5.0
ARMATURE CAPITAL	041	IP	S	30,000	24.62	n/a	27-Oct	1,200.00	4.0
LEVEL GLOBAL SHARED ACCT	257	JCP	B	250,000	31.59	n/a	15-Nov	7,500.00	3.0
KLEINHEINZ CAP PART	031	KSS	B	25,000	52.01	n/a	12-Nov	1,250.00	5.0
THE JAY GOLDMAN	028	KSS	S	10,000	52.69	n/a	12-Nov	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	LOW	C	200,000	21.46	n/a	15-Nov	6,000.00	3.0
SUFFOLK CAPITAL MGMT	040	MCD	S	124,800	77.74	n/a	8-Nov	4,992.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	226	MOS	B	40,000	67.59	n/a	n/a	2,400.00	6.0
BASSWOOD PARTNERS	267	MS	B	40,000	25.51	n/a	12-Nov	1,600.00	4.0
LEVEL GLOBAL SHARED ACCT	257	MTB	S	100,000	79.64	n/a	n/a	3,000.00	3.0
JET CAPITAL/CHRIS	041	MW	S	10,000	27.19	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	M	B	20,000	24.67	n/a	11-Nov	800.00	4.0
BNP PARIBAS SEC	040	NVS	B	27,600	55.94	n/a	n/a	1,380.00	5.0
CASTLE ARK	031	PAY	B	96,980	32.55	n/a	n/a	4,849.00	5.0
HIGHBRIDGE CAP	041	PCLN	B	1,250	399.28	n/a	n/a	37.50	3.0
LEVEL GLOBAL SHARED ACCT	257	ROST	B	150,000	65.01	n/a	n/a	4,500.00	3.0
SAC TRADING TOM LEDDY	035	ROST	S	40,000	64.63	n/a	n/a	1,400.00	3.5
COHE & STEERS	041	RYN	S	53,080	51.18	n/a	27-Oct	2,123.20	4.0
IRIDIAN ASSET MGMT.	036	SDRL	S	19,400	31.64	n/a	n/a	970.00	5.0
JP MORGAN VENTURES	046	SHLD	B	25,000	65.39	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	SONC	S	35,000	8.85	n/a	n/a	1,050.00	3.0
BERMAN CAPITAL MGMT	046	SPY	B	20,000	118.17	n/a	n/a	600.00	3.0
LEVEL GLOBAL SHARED ACCT	257	SPY	SS	64,000	118.35	n/a	n/a	1,920.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	SRI	B	43,450	12.66	n/a	n/a	1,738.00	4.0
ARMATURE CAPITAL	041	SWK	S	55,000	59.65	n/a	n/a	2,200.00	4.0
CAXTON PART	040	TGT	B	147,904	55.70	n/a	17-Nov	5,176.68	3.5
LEVEL GLOBAL SHARED ACCT	257	TIF	C	85,700	55.83	n/a	n/a	2,571.00	3.0
BUCK CAPITAL MGMT	001	TLB	S	100,000	10.19	n/a	n/a	4,000.00	4.0
MILLENIUM PARTNERS	028	TYC	B	20,000	37.39	n/a	9-Nov	800.00	4.0
LAGRANGE CAP ADV	048	UA	SS	5,793	51.41	n/a	27-Oct	289.65	5.0
STATE TEACHERS RET SYS	047	UDR	S	20,000	21.41	n/a	n/a	1,000.00	5.0
HIGHBRIDGE CAP	041	URBN	SS	2,720	36.63	n/a	n/a	81.60	3.0
CHART WELL ADV	028	VIT	S	37,850	34.30	n/a	n/a	1,514.00	4.0
NEUBERGER BERMAN	036	WGL	B	43,000	38.99	n/a	n/a	1,720.00	4.0
BMO NESBITT BURNS	041	WMT	B	3,000	53.70	n/a	17-Nov	150.00	5.0
SAC TRADING TOM LEDDY	035	WRC	S	25,000	51.80	n/a	9-Nov	875.00	3.5
JP MORGAN VENTURES	046	WSM	B	15,000	35.37	n/a	n/a	750.00	5.0
LEVEL GLOBAL SHARED ACCT	257	XRT	C	167,000	44.96	n/a	n/a	5,010.00	3.0

TOTAL (Trade Date):

115,497.11

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	11/17	TROUBH PART (TROUGOLD)	067	F	SS	50,000	16.72	n/a 4-Nov 2500.00	5.0
TOTAL (AO, CXL, CRT) :									2,500.00

TOTAL (Trade Date):									115,497.11
TOTAL (AO, CXL, CRT):									2,500.00
TOTAL (RUN DATE) / NFS:									117,997.11

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