



Daily Compliance Activity Report

Trade Date: 11/10/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	AA	S	25,000	13.69	n/a	n/a	1,250.00	5.0
PLATTE RIVER CAPITAL	240	AA	B	54,040	13.76	n/a	n/a	2,161.60	4.0
CHART WELL ADV	028	ABC	B	37,325	30.96	n/a	n/a	1,493.00	4.0
PORTER-ORLIN	044	AEO	B	100,000	15.76	n/a	5-Nov	5,000.00	5.0
ROTHSCHILD ASSET	040	AVA	B	52,926	21.72	n/a	n/a	2,117.04	4.0
BASIX	033	AXL	B	51,000	10.71	n/a	1-Nov	1,530.00	3.0
CATAPULT	040	BEAT	B	193,902	5.19	n/a	n/a	0.00	0.0
HARVEST MGMT	029	BIG	SS	20,000	29.72	n/a	5-Nov	1,000.00	5.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.79	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	CF	B	25,000	124.94	n/a	n/a	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	CPB	C	25,300	34.55	n/a	n/a	1,265.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,400	89.57	n/a	22-Oct	96.00	4.0
HUNTER GLOBAL INVESTOR	067	CTSH	B	10,000	63.65	n/a	n/a	400.00	4.0
JET CAPITAL/CHRIS	041	CTV	B	100,000	32.02	n/a	n/a	3,000.00	3.0
CROWN CAP MGMT	084	CVGI	B	10,000	15.16	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BENNETT LAWRENCE	028	DECK	S	12,200	61.20	n/a	n/a	488.00	4.0
O CAPITAL MGMT	029	FFNW	B	5,000	3.72	n/a	n/a	250.00	5.0
ROTHSCHILD ASSET	040	FRT	S	6,680	80.18	n/a	n/a	267.20	4.0
SONTERRA CAP	041	FTO	S	50,000	14.77	n/a	n/a	2,000.00	4.0
OZ MGMT	040	F	C	81,583	16.44	n/a	4-Nov	2,447.49	3.0
TROUBH PART	067	F	B	25,000	16.46	n/a	4-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	32.80	n/a	n/a	800.00	4.0
NOKOMIS PARTNERS	031	IKAN	S	48,240	1.22	n/a	n/a	964.80	2.0
MILLENIUM PARTNERS	028	IP	B	20,000	25.47	n/a	27-Oct	0.00	0.0
WEISS PECK	040	JNY	B	17,960	14.11	n/a	28-Oct	898.00	5.0
S.A.C.HABER/BOBBY	044	JPM	B	100,000	40.02	n/a	4-Nov	3,500.00	3.5
SOROS	036	KH	B	12,600	18.00	n/a	n/a	504.00	4.0
HARVEST MGMT	029	KSS	B	10,000	52.00	n/a	5-Nov	500.00	5.0
SAGE ASSET MGMT	012	KS	S	39,400	14.86	n/a	n/a	1,970.00	5.0
UNITED STATES PENSION	085	LEG	S	5,000	20.50	n/a	n/a	250.00	5.0
FARALLON CAP MGMT	040	LOGI	B	4,373	20.95	n/a	n/a	131.19	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARBORWATCH/DIAMBACK	232	PHM	S	150,000	7.71	n/a	n/a	4,500.00	3.0
JETSTREAM GLOBAL FUND LP	065	PH	B	14,800	79.77	n/a	20-Oct	740.00	5.0
BUCK CAPITAL MGMT	001	PIR	S	125,000	9.32	n/a	n/a	3,750.00	3.0
HUNTER GLOBAL INVESTOR	067	POT	B	30,000	141.76	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	63.65	n/a	18-Oct	800.00	4.0
SENATOR INVESTMENT GROUP	036	SOA	S	50,000	19.98	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	266	TTES	S	7,100	34.71	n/a	n/a	284.00	4.0
HARBORWATCH/DIAMBACK	232	TYC	C	25,000	38.92	n/a	9-Nov	1,250.00	5.0
SAC CHICAGO ANDREW	031	URBN	B	3,000	32.85	n/a	n/a	105.00	3.5
CARLSON CAPITAL	290	USB	B	192,300	25.23	n/a	n/a	7,692.00	4.0
STANDARD PACIFIC CAPITAL	040	VALE	SS	165,000	32.98	n/a	n/a	8,250.00	5.0
HARVEST MGMT	029	VFC	SS	5,000	80.81	n/a	22-Oct	250.00	5.0
KLEINHEINZ CAP PART	031	VFC	SS	25,000	80.66	n/a	22-Oct	1,250.00	5.0
METROPOLITAN CAPITAL	044	WBC	B	9,100	49.44	n/a	29-Oct	455.00	5.0
GREEN ARROW DOUG	040	WEN	S	36,800	4.73	n/a	8-Nov	1,840.00	5.0
O CAPITAL MGMT	029	WFSBW	B	1,000	5.00	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	WMB	S	25,000	22.81	n/a	n/a	1,000.00	4.0
HARBORWATCH/DIAMBACK	232	XLV	C	30,000	31.19	n/a	n/a	900.00	3.0
TOTAL (Trade Date):								74,199.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/09	WBLA (WBLA47RPEN)	031	GDP	B	3,488	13.91	n/a	n/a	139.52 4.0
AO,	11/09	WILLIAM BLAIR (WBLA47INVE)	031	GDP	B	8,768	13.91	n/a	n/a	350.72 4.0
AO,	11/09	WILLIAM BLAIR (WBLA47ELPA)	031	GDP	B	6,027	13.91	n/a	n/a	241.08 4.0
AO,	11/09	WILLIAM BLAIR (WBLA47COCA)	031	GDP	B	21,250	13.91	n/a	n/a	850.00 4.0
AO,	11/09	WILLIAM BLAIR (WBLA47CALD)	031	GDP	B	9,888	13.91	n/a	n/a	395.52 4.0
AO,	11/09	WILLIAM BLAIR (WBLA47REND)	031	GDP	B	3,250	13.91	n/a	n/a	130.00 4.0
AO,	11/09	WILLIAM BLAIR (WBLA47DEBO)	031	GDP	B	3,008	13.91	n/a	n/a	120.32 4.0
CRT	11/10	CARLSON CAPITAL (CARLUBS)	290	USB	B	192,300	25.23	n/a	n/a	7692.00 4.0

TOTAL (AO, CXL, CRT) :**9,919.16**

TOTAL (Trade Date) :

74,199.32

TOTAL (AO, CXL, CRT) :

9,919.16

TOTAL (RUN DATE) / NFS :**84,118.48**

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