



Daily Compliance Activity Report

Trade Date: 10/28/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASCOM HILL PARTNERS LLC	033	AEO	B	10,000	15.97	n/a	11-Oct	300.00	3.0
REINHART & MAHONEY	047	AFSI	B	1,400	15.28	n/a	n/a	70.00	5.0
REINHART & MAHONEY	047	AGL	B	2,400	39.10	n/a	n/a	120.00	5.0
HIGHBRIDGE CAP	041	ALTR	SS	100,000	30.61	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	AMAG	B	6,000	19.44	n/a	n/a	420.00	7.0
CATAPULT	040	ANN	S	38,280	22.66	n/a	n/a	1,531.20	4.0
BENNETT LAWRENCE	028	ANSS	S	22,300	44.85	n/a	n/a	892.00	4.0
BUCK CAPITAL MGMT	001	AN	B	40,000	23.17	n/a	19-Oct	1,600.00	4.0
TRELLUS PARTNERS LP	028	AN	SS	30,000	24.01	n/a	19-Oct	1,500.00	5.0
HIGHBRIDGE CAP	041	ATHR	B	100,000	30.95	n/a	n/a	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	AVT	C	5,100	29.63	n/a	n/a	204.00	4.0
CR INTRINIC INVESTMENT	044	AZN	B	25,000	49.89	n/a	n/a	875.00	3.5
REINHART & MAHONEY	047	BKI	B	1,200	16.34	n/a	n/a	60.00	5.0
REINHART & MAHONEY	047	BMS	B	2,200	31.95	n/a	n/a	110.00	5.0
GALT INVESTMENT	041	BWLD	B	10,000	46.57	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	035	BYD	S	10,000	8.45	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	CAT	S	20,000	77.40	n/a	22-Oct	1,000.00	5.0
RANGER	031	CHD	S	40,810	66.37	n/a	26-Oct	2,040.50	5.0
REINHART & MAHONEY	047	CMCO	B	850	16.71	n/a	n/a	42.50	5.0
MELLON/BANK OF NEW YORK	046	COV	B	14,720	40.50	n/a	n/a	736.00	5.0
SCHOTTENFELD ASSOC	041	C	B	20,000	4.18	n/a	19-Oct	600.00	3.0
METROPOLITAN CAPITAL	044	DAN	S	12,400	14.06	n/a	19-Oct	620.00	5.0
PROSPECTOR PARTNERS LLC	036	DBD	SS	18,300	30.94	n/a	16-Sep	732.00	4.0
REINHART & MAHONEY	047	DCOM	B	1,200	14.59	n/a	n/a	60.00	5.0
REINHART & MAHONEY	047	DNR	B	5,500	16.85	n/a	n/a	275.00	5.0
NOMURA CAPITAL	029	DOW	B	9,400	30.91	n/a	28-Oct	188.00	2.0
MTB INV ADV	034	EAT	S	80,100	18.14	n/a	n/a	3,204.00	4.0
HARRIER HAWK MGMT	028	EQR	B	11,900	48.29	n/a	n/a	476.00	4.0
REINHART & MAHONEY	047	EQT	B	2,300	37.10	n/a	n/a	115.00	5.0
AMBER CAPITAL	046	FBC	B	250,000	1.50	n/a	n/a	5,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ENTRUST CAPITAL	040	FINL	S	50,000	15.58	n/a	n/a	2,500.00	5.0
MELLON/BANK OF NEW YORK	046	FTR	S	5,280	8.71	n/a	n/a	264.00	5.0
OZ MGMT	040	F	SS	100,000	14.10	n/a	27-Oct	3,000.00	3.0
REINHART & MAHONEY	047	GB	B	600	23.70	n/a	n/a	30.00	5.0
REINHART & MAHONEY	047	GES	B	2,400	39.87	n/a	18-Oct	120.00	5.0
SHIKIAR ASSET	029	GE	S	10,700	16.10	n/a	n/a	535.00	5.0
KLEINHEINZ CAP PART	031	GIL	B	50,000	28.88	n/a	18-Oct	2,500.00	5.0
PLATTE RIVER CAPITAL	240	GLW	S	23,770	18.37	n/a	21-Oct	950.80	4.0
MORTAR ROCK	033	GNTX	SS	10,000	19.66	n/a	25-Oct	400.00	4.0
BENNETT LAWRENCE	028	GSIC	S	12,100	22.81	n/a	n/a	484.00	4.0
MORTAR ROCK	033	HAR	SS	10,000	33.66	n/a	19-Oct	400.00	4.0
EMERSON CAPITAL MGMT	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68	3.0
PAULSON & CO INC &PAU	041	HOT	S	3,178	54.78	n/a	26-Oct	95.34	3.0
	041	HOT	S	98,022	54.78	n/a	26-Oct	2,940.66	3.0
SHIKIAR ASSET	029	HPQ	S	2,680	42.47	n/a	n/a	134.00	5.0
UNITED STATES PENSION	085	IBM	S	172,385	141.07	n/a	n/a	8,619.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	JCP	B	15,000	31.76	n/a	11-Oct	525.00	3.5
BUCK CAPITAL MGMT	001	JNY	S	225,000	14.94	n/a	28-Oct	9,000.00	4.0
WEISS PECK	040	JNY	B	266,920	14.68	n/a	28-Oct	13,346.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	20,000	37.78	n/a	11-Oct	800.00	4.0
SAC TRADING TOM LEDDY	035	KFT	SS	25,000	32.05	n/a	n/a	875.00	3.5
MELLON/BANK OF NEW YORK	046	KO	B	12,445	61.18	n/a	26-Oct	622.25	5.0
PLATTE RIVER CAPITAL	240	KO	S	16,670	61.19	n/a	26-Oct	666.80	4.0
BUCK CAPITAL MGMT	001	KSS	S	13,900	51.99	n/a	11-Oct	556.00	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	88.23	n/a	19-Oct	300.00	3.0
METROPOLITAN CAPITAL	044	LEA	S	2,100	88.04	n/a	19-Oct	105.00	5.0
ASCEND PARTNERS	033	LOW	S	28,000	21.38	n/a	16-Aug	1,400.00	5.0
REINHART & MAHONEY	047	LRY	B	2,800	34.15	n/a	n/a	140.00	5.0
TRELLUS PARTNERS LP	028	LVS	C	50,000	45.70	n/a	28-Oct	2,500.00	5.0
GRUSS CAPITAL	025	MDR	B	10,000	15.53	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	26.61	n/a	n/a	400.00	4.0
REINHART & MAHONEY	047	MHP	B	2,900	37.75	n/a	n/a	145.00	5.0
REINHART & MAHONEY	047	MKC	B	2,400	43.31	n/a	n/a	120.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROOKSIDE CAPITAL PART	067	MOT	SS	300,000	8.24	n/a	n/a	9,000.00	3.0
REINHART & MAHONEY	047	NBL	B	1,100	80.15	n/a	n/a	55.00	5.0
SONTERRA CAP	041	NBR	SS	50,000	20.46	n/a	n/a	2,000.00	4.0
NOMURA CAPITAL	029	NOR	B	8,259	9.80	n/a	n/a	165.18	2.0
REINHART & MAHONEY	047	NWE	B	900	29.87	n/a	n/a	45.00	5.0
WALL STREET CAPITAL	084	NWY	S	225,500	3.19	n/a	n/a	4,510.00	2.0
COLUMBUS CIRCLE	036	OCLR	S	31,960	8.73	n/a	n/a	1,278.40	4.0
REINHART & MAHONEY	047	OMC	B	2,800	44.10	n/a	n/a	140.00	5.0
REINHART & MAHONEY	047	O	B	2,400	34.96	n/a	n/a	120.00	5.0
LAGRANGE CAP ADV	048	PAG	B	20,000	13.18	n/a	25-Oct	1,000.00	5.0
WEISS PECK	040	PAG	B	9,900	13.14	n/a	25-Oct	495.00	5.0
MELLON/BANK OF NEW YORK	046	PAYX	S	19,250	27.71	n/a	n/a	962.50	5.0
GRUSS CAPITAL	025	PCH	B	20,000	33.62	n/a	18-Oct	600.00	3.0
MELLON/BANK OF NEW YORK	046	PEP	S	9,450	64.83	n/a	n/a	472.50	5.0
REINHART & MAHONEY	047	PETM	B	2,600	37.42	n/a	n/a	130.00	5.0
MELLON/BANK OF NEW YORK	046	PG	S	20,476	63.19	n/a	27-Oct	1,023.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	PHM	C	20,000	7.87	n/a	n/a	600.00	3.0
RBC CAPITAL MARKETS	040	PKG	S	30,000	24.51	n/a	19-Oct	1,200.00	4.0
REINHART & MAHONEY	047	PLL	B	2,400	42.97	n/a	n/a	120.00	5.0
REINHART & MAHONEY	047	PLXS	B	500	32.41	n/a	n/a	25.00	5.0
ENTRUST CAPITAL	040	PSS	S	27,500	15.29	n/a	n/a	1,375.00	5.0
REINHART & MAHONEY	047	QSFT	B	600	26.55	n/a	n/a	30.00	5.0
SUFFOLK CAPITAL MGMT	040	RCL	B	175,000	39.84	n/a	n/a	7,000.00	4.0
SAC ENERGY GS-BOB	044	RRC	SS	100,000	36.53	n/a	22-Oct	3,500.00	3.5
GALT INVESTMENT	041	SAH	B	25,000	11.01	n/a	n/a	1,000.00	4.0
REINHART & MAHONEY	047	SCG	B	1,800	40.86	n/a	n/a	90.00	5.0
GREEN ARROW DOUG	040	SGMS	S	25,000	8.83	n/a	n/a	1,250.00	5.0
REINHART & MAHONEY	047	SIAL	B	1,600	62.80	n/a	21-Oct	80.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	19.24	n/a	n/a	1,200.00	4.0
WEISS PECK	040	SKX	B	11,040	19.50	n/a	n/a	552.00	5.0
REINHART & MAHONEY	047	SNX	B	800	29.46	n/a	n/a	40.00	5.0
TALKOT CAPITAL LLC	084	SSCC	S	5,000	23.43	n/a	18-Oct	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	SSI	B	26,300	13.45	n/a	n/a	789.00	3.0
GREEN ARROW DOUG	040	SVU	S	15,000	10.79	n/a	n/a	750.00	5.0
SCOPUS FUND	041	TEN	SS	57,280	31.96	n/a	n/a	2,864.00	5.0
ASCEND PARTNERS	033	TGT	C	54,882	52.55	n/a	11-Oct	2,744.10	5.0
LISTED ERR	099	TGT	S	577	52.93	n/a	11-Oct	0.00	0.0
SHEFFIELD ASSET MGMT	031	TIN	B	10,700	20.10	n/a	20-Oct	535.00	5.0
GRUSS CAPITAL	025	TLT	SS	10,000	99.30	n/a	n/a	300.00	3.0
GALT INVESTMENT	041	URI	S	50,000	18.52	n/a	n/a	2,000.00	4.0
REINHART & MAHONEY	047	VITA	B	4,900	2.21	n/a	n/a	245.00	5.0
THIRD COAST CAPITAL	035	WBC	B	10,000	42.92	n/a	9-Sep	500.00	5.0
REINHART & MAHONEY	047	WFT	B	4,200	17.21	n/a	n/a	210.00	5.0
CASTLEROCK	040	WMS	B	77,293	43.24	n/a	n/a	3,091.72	4.0
GREEN ARROW DOUG	040	WMT	B	15,000	54.01	n/a	14-Oct	750.00	5.0
THIRD COAST CAPITAL	035	WNC	S	25,000	7.83	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	WY	B	49,900	15.69	n/a	18-Oct	2,495.00	5.0
REINHART & MAHONEY	047	ZBRA	B	2,400	35.94	n/a	n/a	120.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	ZMH	B	10,395	49.80	n/a	n/a	519.75	5.0
TOTAL (Trade Date):							144,415.93		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/28	AMBER CAPITAL (AMBRAMFGS)	046	FBC	B	54,450	1.50	n/a	n/a	1089.00 2.0
CRT	10/28	SHIKIAR ASSET (SHIKWELLS)	029	GE	S	3,000	16.10	n/a	n/a	150.00 5.0
CRT	10/28	SHIKIAR ASSET (SHIKPERS)	029	GE	S	7,700	16.10	n/a	n/a	385.00 5.0
AO,	10/27	NOMURA CAPITAL (NOMUBATT2)	029	NRG	S	2,072	19.84	n/a	n/a	41.44 2.0
AO,	10/27	NOMURA CAPITAL (NOMUBSMAIN)	029	NRG	S	2,353	19.84	n/a	n/a	47.06 2.0
AO,	10/27	LISTED ERR (LISTED ERR)	033	TGT	C	577	52.48	n/a	11-Oct	0.00 0.0
AO,	10/27	LISTED ERR (LISTED ERR)	099	TGT	C	30,809	52.48	n/a	11-Oct	0.00 0.0
AO,	10/27	LISTED ERR (LISTED ERR)	099	TGT	S	30,809	52.48	n/a	11-Oct	0.00 0.0
AO,	10/27	ASCEND PARTNERS (ASCECITI)	033	TGT	C	3,884	52.48	n/a	11-Oct	194.20 5.0
AO,	10/27	ASCEND PARTNERS (ASCEMSPB)	033	TGT	C	6,048	52.48	n/a	11-Oct	302.40 5.0
AO,	10/27	ASCEND PARTNERS (ASCEBNPC)	033	TGT	C	13,740	52.48	n/a	11-Oct	687.00 5.0
AO,	10/27	ASCEND PARTNERS (ASCEDBAB)	033	TGT	C	6,560	52.48	n/a	11-Oct	328.00 5.0

TOTAL (AO, CXL, CRT) :**3,224.10**

TOTAL (Trade Date):

144,415.93

TOTAL (AO, CXL, CRT):

3,224.10

TOTAL (RUN DATE) / NFS:**147,640.03**

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