

## **Daily Compliance Activity Report** Trade Date: 11/17/2010

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.	
BMO NESBITT BURNS	041	AMAG	В	5,000	13.98	n/a	n/a	200.00	4.0	
HUNTER GLOBAL INVESTOR	067	AME	В	50,000	54.71	n/a	n/a	2,500.00	5.0	
LEVEL GLOBAL SHARED ACCT	257	ANF	В	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	В	100,000	11.68	n/a	15-Nov	5,000.00	5.0	
JET CAPITAL/CHRIS	041	ВЈ	В	20,000	47.57	n/a	n/a	600.00	3.0	
HUNTER GLOBAL INVESTOR	067	CBE	В	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	СОН	С	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	В	31,000	92.83	n/a	15-Nov	1,550.00	5.0	
O CAPITAL MGMT	029	FFNW	В	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	18-0ct	400.00	4.0	
MILLENIUM PARTNERS	028	GE	В	50,000	15.83	n/a	n/a	2,000.00	4.0	
BUCK CAPITAL MGMT	001	GIL	В	40,000	27.21	n/a	18-0ct	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	В	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	В	250,000	31.59	n/a	15-Nov	7,500.00	3.0	
KLEINHEINZ CAP PART	031	KSS	В	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	С	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	В	40,000	67.59	n/a	n/a	2,400.00	6.0
BASSWOOD PARTNERS	267	MS	В	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	В	20,000	24.67	n/a	11-Nov	800.00	4.0
BNP PARIBAS SEC	040	NVS	В	27,600	55.94	n/a	n/a	1,380.00	5.0
CASTLE ARK	031	PAY	В	96,980	32.55	n/a	n/a	4,849.00	5.0
HIGHBRIDGE CAP	041	PCLN	В	1,250	399.28	n/a	n/a	37.50	3.0
LEVEL GLOBAL SHARED ACCT	257	ROST	В	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	В	25 <b>,</b> 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	В	20,000	118.17	n/a	n/a	600.00	3.0
LEVEL GLOBAL SHARED ACCT	257	SPY	SS		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	В	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	В	147,904	55.70	n/a	17-Nov	5,176.68	3.5		
LEVEL GLOBAL SHARED ACCT	257	TIF	С	85 <b>,</b> 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	В	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	В	43,000	38.99	n/a	n/a	1,720.00	4.0		
BMO NESBITT BURNS	041	WMT	В	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	В	15,000	35.37	n/a	n/a	750.00	5.0		
LEVEL GLOBAL SHARED ACCT	257	XRT	С	167,000	44.96	n/a	n/a	5,010.00	3.0		
	CHART WELL ADV  ARMATURE CAPITAL  CAXTON PART  LEVEL GLOBAL SHARED ACCT  BUCK CAPITAL MGMT  MILLENIUM PARTNERS  LAGRANGE CAP ADV  STATE TEACHERS RET SYS  HIGHBRIDGE CAP  CHART WELL ADV  NEUBERGER BERMAN  BMO NESBITT BURNS  SAC TRADING TOM LEDDY  JP MORGAN VENTURES	CHART WELL ADV 028  ARMATURE CAPITAL 041  CAXTON PART 040  LEVEL GLOBAL SHARED ACCT 257  BUCK CAPITAL MGMT 001  MILLENIUM PARTNERS 028  LAGRANGE CAP ADV 048  STATE TEACHERS RET SYS 047  HIGHBRIDGE CAP 041  CHART WELL ADV 028  NEUBERGER BERMAN 036  BMO NESBITT BURNS 041  SAC TRADING TOM LEDDY 035  JP MORGAN VENTURES 046	CHART WELL ADV 028 SRI  ARMATURE CAPITAL 041 SWK  CAXTON PART 040 TGT  LEVEL GLOBAL SHARED ACCT 257 TIF  BUCK CAPITAL MGMT 001 TLB  MILLENIUM PARTNERS 028 TYC  LAGRANGE CAP ADV 048 UA  STATE TEACHERS RET SYS 047 UDR  HIGHBRIDGE CAP 041 URBN  CHART WELL ADV 028 VIT  NEUBERGER BERMAN 036 WGL  BMO NESBITT BURNS 041 WMT  SAC TRADING TOM LEDDY 035 WRC  JP MORGAN VENTURES 046 WSM	CHART WELL ADV 028 SRI B  ARMATURE CAPITAL 041 SWK S  CAXTON PART 040 TGT B  LEVEL GLOBAL SHARED ACCT 257 TIF C  BUCK CAPITAL MGMT 001 TLB S  MILLENIUM PARTNERS 028 TYC B  LAGRANGE CAP ADV 048 UA SS  STATE TEACHERS RET SYS 047 UDR S  HIGHBRIDGE CAP 041 URBN SS  CHART WELL ADV 028 VIT S  NEUBERGER BERMAN 036 WGL B  BMO NESBITT BURNS 041 WMT B  SAC TRADING TOM LEDDY 035 WRC S  JP MORGAN VENTURES 046 WSM B	CHART WELL ADV 028 SRI B 43,450  ARMATURE CAPITAL 041 SWK S 55,000  CAXTON PART 040 TGT B 147,904  LEVEL GLOBAL SHARED ACCT 257 TIF C 85,700  BUCK CAPITAL MGMT 001 TLB S 100,000  MILLENIUM PARTNERS 028 TYC B 20,000  LAGRANGE CAP ADV 048 UA SS 5,793  STATE TEACHERS RET SYS 047 UDR S 20,000  HIGHBRIDGE CAP 041 URBN SS 2,720  CHART WELL ADV 028 VIT S 37,850  NEUBERGER BERMAN 036 WGL B 43,000  BMO NESBITT BURNS 041 WMT B 3,000  SAC TRADING TOM LEDDY 035 WRC S 25,000  JP MORGAN VENTURES 046 WSM B 15,000	CHART WELL ADV 028 SRI B 43,450 12.66  ARMATURE CAPITAL 041 SWK S 55,000 59.65  CAXTON FART 040 TGT B 147,904 55.70  LEVEL GLOBAL SHARED ACCT 257 TIF C 85,700 55.83  BUCK CAPITAL MGMT 001 TLB S 100,000 10.19  MILLENIUM FARTNERS 028 TYC B 20,000 37.39  LAGRANGE CAP ADV 048 UA SS 5,793 51.41  STATE TEACHERS RET SYS 047 UDR S 20,000 21.41  HIGHBRIDGE CAP 041 URBN SS 2,720 36.63  CHART WELL ADV 028 VIT S 37,850 34.30  NEUBERGER BERMAN 036 WGL B 43,000 38.99  BMO NESBITT BURNS 041 WMT B 3,000 53.70  SAC TRADING TOM LEDDY 035 WRC S 25,000 51.80  JP MORGAN VENTURES 046 WSM B 15,000 35.37	CHART WELL ADV 028 SRI B 43,450 12.66 n/a  ARMATURE CAPITAL 041 SWK S 55,000 59.65 n/a  CAXTON PART 040 TGT B 147,904 55.70 n/a  LEVEL GLOBAL SHARED ACCT 257 TIF C 85,700 55.83 n/a  BUCK CAPITAL MGMT 001 TLB S 100,000 10.19 n/a  MILLENIUM PARTNERS 028 TYC B 20,000 37.39 n/a  LAGRANGE CAP ADV 048 UA SS 5,793 51.41 n/a  STATE TEACHERS RET SYS 047 UDR S 20,000 21.41 n/a  HIGHBRIDGE CAP 041 URBN SS 2,720 36.63 n/a  CHART WELL ADV 028 VIT S 37,850 34.30 n/a  NEUBERGER BERMAN 036 WGL B 43,000 38.99 n/a  BMO NESBITT BURNS 041 WMT B 3,000 53.70 n/a  SAC TRADING TOM LEDDY 035 WRC S 25,000 51.80 n/a  JP MORGAN VENTURES 046 WSM B 15,000 35.37 n/a	CHART WELL ADV 028 SRI B 43,450 12.66 n/a n/a  ARMATURE CAPITAL 041 SWK S 55,000 59.65 n/a n/a  CAXTON PART 040 TGT B 147,904 55.70 n/a 17-Nov  LEVEL GLOBAL SHARED ACCT 257 TIF C 85,700 55.83 n/a n/a  BUCK CAPITAL MGWT 001 TLB S 100,000 10.19 n/a n/a  MILLENIUM PARTNERS 028 TYC B 20,000 37.39 n/a 9-Nov  LAGRANGE CAP ADV 048 UA SS 5,793 51.41 n/a 27-Oct  STATE TEACHERS RET SYS 047 UDR S 20,000 21.41 n/a n/a  HIGHBRIDGE CAP 041 URBN 8S 2,720 36.63 n/a n/a  NEUBERGER BERMAN 036 WGL B 43,000 38.99 n/a n/a  REUBERGER BERMAN 036 WGL B 3,000 53.70 n/a 17-Nov  SAC TRADING TOM LEDDY 035 WRC S 25,000 51.80 n/a 9-Nov  JP MORGAN VENTURES 046 WSM B 15,000 35.37 n/a n/a	CHART WELL ADV  028 SRI B 43,450 12.66		

TOTAL (Trade Date): 115,497.11

TOTAL (RUN DATE) / NFS:

Туре	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	(Trad	e Date):							115,	497.11	
TOTAL	(AO,	CXL, CRT):							2,	500.00	

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