



Daily Compliance Activity Report

Trade Date: 09/30/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CAP MGMT LLC	084	ABG	S	25,000	13.90	n/a	4-Aug	1,250.00	5.0
PARTNER REINSURANCE	033	ADBE	B	7,902	26.05	n/a	n/a	316.08	4.0
IMPALA ASSET MMT	012	ADM	S	60,000	31.97	n/a	20-Sep	2,400.00	4.0
DENVER INST. ADV	046	ADTN	S	20,100	35.28	n/a	n/a	804.00	4.0
BALYASNY ASSET MGMT	044	AEO	B	25,000	15.05	n/a	2-Sep	1,250.00	5.0
SCOUT/UMB	047	AGCO	S	73,425	38.95	n/a	28-Jul	3,671.25	5.0
PARTNER REINSURANCE	033	AMD	B	8,362	7.11	n/a	n/a	334.48	4.0
PIONEER PATH	226	ANF	S	22,500	40.05	n/a	2-Sep	675.00	3.0
PARTNER REINSURANCE	033	A	B	5,009	33.14	n/a	n/a	200.36	4.0
PENNANT CAP MGMT	029	BBBB	SS	25,000	36.15	n/a	n/a	750.00	3.0
PENNANT CAP MGMT	029	BGG	SS	15,000	19.12	n/a	n/a	450.00	3.0
IMPALA ASSET MMT	012	BG	S	30,582	59.35	n/a	n/a	1,529.10	5.0
PARTNER REINSURANCE	033	BRCM	B	6,397	35.37	n/a	n/a	255.88	4.0
1798 CAP/LOMBARD ASSET	040	BWC	SS	5,000	21.43	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARTNER REINSURANCE	033	CA	B	5,598	21.15	n/a	n/a	223.92	4.0
IMPALA ASSET MMT	012	CCL	S	40,000	38.48	n/a	n/a	1,600.00	4.0
PARTNER REINSURANCE	033	CCL	B	6,206	38.23	n/a	n/a	248.24	4.0
IMPALA ASSET MMT	012	CENX	B	90,000	13.15	n/a	n/a	2,700.00	3.0
DSM CAPITAL PARTNERS	085	CHKP	B	18,850	36.66	n/a	n/a	942.50	5.0
IMPALA ASSET MMT	012	CHRW	SS	49,800	69.87	n/a	n/a	2,490.00	5.0
PENNANT CAP MGMT	029	CREE	SS	10,000	54.26	n/a	n/a	300.00	3.0
PARTNER REINSURANCE	033	CRI	S	8,217	26.44	n/a	n/a	328.68	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	500	82.65	n/a	30-Sep	20.00	4.0
PARTNER REINSURANCE	033	CSCO	B	24,061	22.00	n/a	n/a	962.44	4.0
IMPALA ASSET MMT	012	CSX	S	47,900	55.29	n/a	n/a	2,395.00	5.0
SOROS	036	DOW	B	100,000	27.47	n/a	24-Aug	4,000.00	4.0
M&I FUNDS	047	DTV	S	71,953	41.69	n/a	n/a	2,878.12	4.0
NORTHWESTERN MUTUAL LIFE	047	EEM	S	573,208	44.74	n/a	n/a	11,464.16	2.0
FARALLON CAP MGMT	040	EFA	B	80,000	54.99	n/a	n/a	3,200.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EFA	B	146,700	54.97	n/a	n/a	2,934.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENNANT CAP MGMT	029	EME	SS	90,000	24.63	n/a	n/a	2,700.00	3.0
IMPALA ASSET MMT	012	EMN	S	25,316	73.47	n/a	n/a	1,265.80	5.0
TYEE/TYGH	035	EMS	B	21,463	52.20	n/a	n/a	858.52	4.0
IMPALA ASSET MMT	012	FDX	B	20,400	87.86	n/a	n/a	1,020.00	5.0
BASIX	033	FL	S	47,000	14.59	n/a	20-Aug	1,410.00	3.0
PENNANT CAP MGMT	029	FNF	S	115,000	15.91	n/a	n/a	3,450.00	3.0
NWQ INVESTMENT MGMT CO	084	FOR	B	10,050	16.90	n/a	26-Aug	402.00	4.0
PIONEER PATH	226	GIL	SS	10,000	28.05	n/a	27-Sep	300.00	3.0
PARTNER REINSURANCE	033	GLW	B	21,951	18.27	n/a	14-Sep	878.04	4.0
PARTNER REINSURANCE	033	GPS	B	6,376	18.69	n/a	n/a	255.04	4.0
PIONEER PATH	226	HD	B	25,000	31.76	n/a	17-Aug	750.00	3.0
MERRILL ASSET/BLACKROCK	266	HK	B	5,800	15.95	n/a	n/a	232.00	4.0
IMPALA ASSET MMT	012	HP	B	52,600	39.85	n/a	n/a	2,104.00	4.0
PIONEER PATH	226	HTZ	S	152,300	11.23	n/a	n/a	4,569.00	3.0
IMPALA ASSET MMT	012	INT	S	8,700	26.14	n/a	n/a	348.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARTNER REINSURANCE	033	IPG	B	7,262	10.05	n/a	n/a	290.48	4.0
DENVER INST. ADV	046	IPHS	B	30,000	32.91	n/a	n/a	1,200.00	4.0
IMPALA ASSET MMT	012	JBLU	B	5,000	6.73	n/a	n/a	100.00	2.0
IMPALA ASSET MMT	012	JCG	S	40,000	33.10	n/a	n/a	1,600.00	4.0
TROUBH PART	067	JCI	S	15,000	30.75	n/a	8-Sep	750.00	5.0
PARTNER REINSURANCE	033	JNPR	B	7,555	30.42	n/a	n/a	302.20	4.0
PENNANT CAP MGMT	029	JOE	SS	25,000	24.61	n/a	n/a	750.00	3.0
PARTNER REINSURANCE	033	KLAC	S	5,494	35.19	n/a	n/a	219.76	4.0
CAERUS GLOBAL	041	KO	B	27,500	58.63	n/a	22-Jul	1,100.00	4.0
PIONEER PATH	226	LOW	SS	25,000	22.28	n/a	16-Aug	750.00	3.0
PARTNER REINSURANCE	033	MAT	B	5,215	23.48	n/a	n/a	208.60	4.0
PARTNER REINSURANCE	033	MCD	B	6,890	74.39	n/a	29-Sep	275.60	4.0
IMPALA ASSET MMT	012	MEE	S	50,000	30.66	n/a	n/a	2,000.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		MON	B	10,000	47.77		n/a 28-Sep	500.00	5.0
SURVEYOR CAPITAL	041	MOT	SS	34,000	8.49	n/a	n/a	1,020.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	MWW	B	11,400	13.09	n/a	n/a	456.00	4.0
PENNANT CAP MGMT	029	MWW	SS	35,000	13.06	n/a	n/a	1,050.00	3.0
PARTNER REINSURANCE	033	M	B	6,159	23.04	n/a	2-Sep	246.36	4.0
PARTNER REINSURANCE	033	NTAP	B	5,034	49.49	n/a	n/a	201.36	4.0
DENVER INST. ADV	046	NTCT	B	47,000	20.52	n/a	n/a	1,880.00	4.0
PARTNER REINSURANCE	033	NVDA	B	8,369	11.72	n/a	n/a	334.76	4.0
PIONEER PATH	226	OI	B	19,500	27.94	n/a	n/a	585.00	3.0
SURVEYOR CAPITAL	041	ONNN	B	50,000	7.22	n/a	n/a	1,500.00	3.0
WEISS PECK	040	PAG	B	50,000	13.36	n/a	4-Aug	2,500.00	5.0
PENNANT CAP MGMT	029	PCL	S	10,000	35.36	n/a	26-Aug	300.00	3.0
TYEE/TYGH	035	PDCO	S	10,800	29.00	n/a	n/a	432.00	4.0
CAERUS GLOBAL	041	PG	S	27,248	60.00	n/a	7-Sep	1,089.92	4.0
PARTNER REINSURANCE	033	PLCE	S	8,268	48.84	n/a	19-Aug	330.72	4.0
CRAMER ROSENTHAL/SCOTT	012	PNR	B	2,400	33.80	n/a	n/a	96.00	4.0
IMPALA ASSET MMT	012	PPG	S	25,281	72.53	n/a	16-Jul	1,264.05	5.0
ROXBURY CAPITAL MGMT	035	PVH	B	96,855	59.96	n/a	9-Sep	3,874.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARTNER REINSURANCE	033	RSH	S	13,777	21.44	n/a	n/a	551.08	4.0
PIONEER PATH	226	RSH	S	138,318	21.40	n/a	n/a	4,149.54	3.0
IMPALA ASSET MMT	012	RYL	S	20,000	17.89	n/a	n/a	800.00	4.0
WEISS PECK	040	SCVL	S	11,500	20.30	n/a	n/a	575.00	5.0
DENVER INST. ADV	046	SGEN	B	63,400	15.53	n/a	n/a	2,536.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	23.15	n/a	n/a	2,000.00	4.0
BROADARCH CAP/OLD NEWC	070	SLB	B	2,100	61.89	n/a	n/a	84.00	4.0
SAC CHICAGO ANDREW	031	SMH	SS	100,000	27.87	n/a	n/a	3,500.00	3.5
NORTHWESTERN MUTUAL LIFE	047	SPY	B	41,800	114.36	n/a	n/a	836.00	2.0
PARTNER REINSURANCE	033	STT	B	7,470	37.98	n/a	15-Sep	298.80	4.0
DSG CAPITAL	225	SWN	B	4,000	33.17	n/a	30-Sep	200.00	5.0
ROSEDALE CAPITAL	046	SWN	B	15,000	33.27	n/a	30-Sep	750.00	5.0
PENNANT CAP MGMT	029	SWY	SS	15,000	21.16	n/a	n/a	450.00	3.0
PARTNER REINSURANCE	033	SYI	B	8,798	28.49	n/a	n/a	351.92	4.0
SOROS	036	TEX	B	100,000	22.97	n/a	23-Jul	4,000.00	4.0
PIONEER PATH	226	TGT	B	20,000	53.49	n/a	2-Sep	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	THG	B	14,500	46.96	n/a	n/a	580.00	4.0
BALYASNY ASSET MGMT	044	TJX	C	50,000	44.63	n/a	2-Sep	2,500.00	5.0
FRONTIER	048	TJX	S	155,295	44.73	n/a	2-Sep	6,211.80	4.0
PARTNER REINSURANCE	033	TJX	B	5,854	44.62	n/a	2-Sep	234.16	4.0
PARTNER REINSURANCE	033	TLAB	B	5,523	7.52	n/a	n/a	220.92	4.0
DENVER INST. ADV	046	UIL	B	26,100	28.11	n/a	n/a	1,044.00	4.0
IMPALA ASSET MMT	012	UNP	S	25,000	81.64	n/a	n/a	1,250.00	5.0
DENVER INST. ADV	046	VRX	S	32,500	25.11	n/a	n/a	1,300.00	4.0
SOROS	036	WFT	B	100,000	17.19	n/a	n/a	4,000.00	4.0
MERRILL ASSET/BLACKROCK	266	WLL	S	4,000	96.21	n/a	n/a	160.00	4.0
PENNANT CAP MGMT	029	WTW	SS	20,000	31.28	n/a	n/a	600.00	3.0
PARTNER REINSURANCE	033	XHB	S	13,556	15.82	n/a	n/a	542.24	4.0
IMPALA ASSET MMT	012	X	S	25,000	43.84	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								140,148.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	AMD	B	500,000	7.30	n/a	n/a	15000.00 3.0
AO,CRT	09/29	HIGHBRIDGE CAP (HIBCCSFB)	041	AMD	B	500,000	7.30	n/a	n/a	10000.00 2.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	BBBB	SS	25,000	36.15	n/a	n/a	750.00 3.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	BGG	SS	15,000	19.12	n/a	n/a	450.00 3.0
CRT	09/30	PENNANT CAP MGMT (PENANFSPB)	029	CREE	SS	10,000	54.26	n/a	n/a	300.00 3.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	EME	SS	90,000	24.63	n/a	n/a	2700.00 3.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	FNF	S	115,000	15.91	n/a	n/a	3450.00 3.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	JOE	SS	25,000	24.61	n/a	n/a	750.00 3.0
AO,CXL	09/29	COLONIAL FUND LLC (COLOPERSHI)	036	LEA	S	7,500	77.61	n/a	4-Aug	300.00 4.0
AO,CRT	09/29	COLONIAL FUND LLC (COLOPERSHI)	036	LEA	S	7,500	77.61	n/a	4-Aug	375.00 5.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	MWW	SS	35,000	13.06	n/a	n/a	1050.00 3.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	PCL	S	10,000	35.36	n/a	26-Aug	300.00 3.0
AO,	09/29	DENVER INST. ADV (DENV1057)	046	VRX	S	550	25.47	n/a	n/a	22.00 4.0
AO,CXL	09/29	DENVER INST. ADV (DENV1054)	046	VRX	S	550	25.47	n/a	n/a	22.00 4.0
AO,	09/29	COLUMBUS CIRCLE (COLC3050)	036	WLK	B	4,015	30.07	n/a	n/a	160.60 4.0
CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	WTW	SS	20,000	31.28	n/a	n/a	600.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									5,585.60
TOTAL (Trade Date) :									140,148.08
TOTAL (AO, CXL, CRT) :									5,585.60
TOTAL (RUN DATE) / NFS :									145,733.68

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