



Daily Compliance Activity Report

Trade Date: 11/16/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ABT	S	200	47.72	n/a	n/a	10.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	50,000	15.27	n/a	5-Nov	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	AMRN	B	150,000	3.65	n/a	n/a	7,500.00	5.0
WINSLOW CAPITAL	030	AMT	B	2,800	50.42	n/a	n/a	84.00	3.0
PATTEN & PATTEN	067	APD	S	280	83.19	n/a	21-Oct	14.00	5.0
WINSLOW CAPITAL	030	APH	B	1,700	48.84	n/a	n/a	51.00	3.0
BASIX	033	ARM	B	30,000	16.57	n/a	n/a	900.00	3.0
ENTRUST CAPITAL	040	ARO	B	50,200	25.32	n/a	5-Nov	2,510.00	5.0
IRIDIAN ASSET MGMT.	036	ATLS	S	4,760	44.02	n/a	n/a	238.00	5.0
SCOUT/UMB	047	AVY	B	39,600	36.09	n/a	27-Oct	1,980.00	5.0
WINSLOW CAPITAL	030	A	B	2,200	35.10	n/a	n/a	66.00	3.0
MERRILL ASSET/BLACKROCK	266	BCE	B	12,400	32.51	n/a	n/a	496.00	4.0
WINSLOW CAPITAL	030	BEN	B	1,200	113.89	n/a	2-Mar	36.00	3.0
WINSLOW CAPITAL	030	BTU	B	1,600	55.72	n/a	n/a	48.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BWA	B	800	56.49	n/a	27-Oct	24.00	3.0
SASCO	239	CCK	B	40,000	30.72	n/a	n/a	1,600.00	4.0
KACELA CAPITAL	034	CCL	B	30,000	41.68	n/a	n/a	1,200.00	4.0
PROSPECTOR PARTNERS LLC	036	CHD	B	6,100	64.50	n/a	10-Nov	244.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	350,000	10.04	n/a	5-Feb	14,000.00	4.0
WINSLOW CAPITAL	030	CLF	B	2,300	65.59	n/a	n/a	69.00	3.0
PATTEN & PATTEN	067	CMCSK	S	700	19.15	n/a	n/a	35.00	5.0
WINSLOW CAPITAL	030	CME	B	300	286.92	n/a	12-Nov	9.00	3.0
BUCK CAPITAL MGMT	001	COH	B	30,000	51.04	n/a	27-Oct	1,200.00	4.0
PATTEN & PATTEN	067	CSCO	S	700	19.43	n/a	n/a	35.00	5.0
CASTLE ARK	031	CTXS	S	78,131	62.53	n/a	n/a	3,906.55	5.0
LEVEL GLOBAL SHARED ACCT	257	CVC	S	100,000	28.82	n/a	n/a	3,000.00	3.0
WINSLOW CAPITAL	030	DHR	B	5,000	42.58	n/a	n/a	150.00	3.0
LEVEL GLOBAL SHARED ACCT	257	DIA	C	22,500	111.42	n/a	n/a	675.00	3.0
SASCO	239	D	B	10,000	42.69	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	EAT	C	26,590	18.27	n/a	n/a	797.70	3.0
LEVEL GLOBAL SHARED ACCT	257	EBAY	C	100,000	29.98	n/a	n/a	3,000.00	3.0
WINSLOW CAPITAL	030	ECL	B	1,500	47.45	n/a	26-Oct	45.00	3.0
WINSLOW CAPITAL	030	EL	B	900	70.83	n/a	2-Nov	27.00	3.0
LEVEL GLOBAL SHARED ACCT	257	EMC	S	1,000,000	20.92	n/a	n/a	30,000.00	3.0
WINSLOW CAPITAL	030	EMC	B	9,200	20.93	n/a	n/a	276.00	3.0
HUNTER GLOBAL INVESTOR	067	EMR	B	91,000	54.58	n/a	n/a	4,550.00	5.0
PATTEN & PATTEN	067	EPP	B	500	45.63	n/a	n/a	25.00	5.0
WINSLOW CAPITAL	030	FLR	B	2,400	53.82	n/a	n/a	72.00	3.0
WINSLOW CAPITAL	030	FTI	B	2,100	76.25	n/a	n/a	63.00	3.0
LATEFF MGMT	035	F	S	3,000	16.66	n/a	4-Nov	330.00	11.0
WINSLOW CAPITAL	030	F	B	2,800	16.61	n/a	4-Nov	84.00	3.0
PATTEN & PATTEN	067	GAF	B	100	73.03	n/a	n/a	5.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	51,911	32.24	n/a	n/a	2,076.44	4.0
BUCK CAPITAL MGMT	001	GES	S	100,000	41.03	n/a	18-Oct	4,000.00	4.0
WINSLOW CAPITAL	030	GR	B	1,000	81.90	n/a	21-Oct	30.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	GSM	S	7,000	16.01	n/a	n/a	350.00	5.0
WINSLOW CAPITAL	030	GS	B	1,500	164.89	n/a	12-Nov	45.00	3.0
WINSLOW CAPITAL	030	HAL	B	800	34.95	n/a	n/a	24.00	3.0
GRUSS CAPITAL	025	HOGS	S	3,000	21.46	n/a	n/a	90.00	3.0
PATTEN & PATTEN	067	HPQ	S	300	41.82	n/a	n/a	15.00	5.0
WINSLOW CAPITAL	030	ICE	B	600	110.81	n/a	n/a	18.00	3.0
WINSLOW CAPITAL	030	INTU	B	1,200	46.89	n/a	n/a	36.00	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	9,100	57.19	n/a	n/a	364.00	4.0
WINSLOW CAPITAL	030	ITW	B	3,000	46.90	n/a	20-Oct	90.00	3.0
JP MORGAN VENTURES	046	JBT	S	20,000	17.19	n/a	n/a	1,000.00	5.0
SAC CRIB	044	JCI	B	25,000	35.56	n/a	16-Nov	875.00	3.5
RBC CAPITAL MARKETS	040	JCP	B	25,000	30.73	n/a	15-Nov	1,000.00	4.0
WINSLOW CAPITAL	030	JPM	B	3,400	39.21	n/a	15-Nov	102.00	3.0
THE JAY GOLDMAN	028	KSS	B	10,000	50.69	n/a	12-Nov	400.00	4.0
WINSLOW CAPITAL	030	KSS	B	2,500	50.61	n/a	12-Nov	75.00	3.0
PATTEN & PATTEN	067	LSTR	S	300	37.31	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	MAC	B	15,682	43.83	n/a	n/a	627.28	4.0
RBC CAPITAL MARKETS	040	MDR	B	25,000	16.67	n/a	n/a	1,000.00	4.0
DALTON GREINER	012	MLI	S	19,775	29.51	n/a	19-Oct	988.75	5.0
M&I FUNDS	047	MTW	B	22,000	11.06	n/a	1-Nov	880.00	4.0
JP MORGAN VENTURES	046	MW	B	20,000	26.80	n/a	n/a	1,000.00	5.0
KACELA CAPITAL	034	NE	S	57,900	36.12	n/a	n/a	2,316.00	4.0
WINSLOW CAPITAL	030	NKE	B	1,100	80.40	n/a	n/a	33.00	3.0
FARALLON CAP MGMT	040	NVS	B	251,400	55.78	n/a	n/a	7,542.00	3.0
LEVEL GLOBAL SHARED ACCT	257	ORCL	B	250,000	27.69	n/a	n/a	7,500.00	3.0
PATTEN & PATTEN	067	ORCL	B	500	27.79	n/a	n/a	25.00	5.0
WINSLOW CAPITAL	030	OXY	B	400	84.61	n/a	n/a	12.00	3.0
PATTEN & PATTEN	067	PCAR	B	300	51.46	n/a	29-Oct	15.00	5.0
COHE & STEERS	041	PCL	S	362,902	36.25	n/a	26-Oct	14,516.08	4.0
WINSLOW CAPITAL	030	PEP	B	1,300	63.92	n/a	n/a	39.00	3.0
PATTEN & PATTEN	067	PGJ	B	200	26.99	n/a	n/a	10.00	5.0
TALKOT CAPITAL LLC	084	PKG	B	4,000	24.97	n/a	19-Oct	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	PX	B	300	90.42	n/a	27-Oct	15.00	5.0
FIRST NEW YORK NICK	029	Q	B	30,000	6.70	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	RIMM	B	400	56.37	n/a	n/a	20.00	5.0
COHE & STEERS	041	RYN	S	255,223	50.22	n/a	27-Oct	10,208.92	4.0
RBC CAPITAL MARKETS	040	RYN	B	25,000	50.55	n/a	27-Oct	1,000.00	4.0
JP MORGAN VENTURES	046	SEH	S	40,000	8.47	n/a	n/a	1,200.00	3.0
PATTEN & PATTEN	067	SLB	S	200	73.13	n/a	n/a	10.00	5.0
WINSLOW CAPITAL	030	SLB	B	2,800	72.73	n/a	n/a	84.00	3.0
WINSLOW CAPITAL	030	SNI	B	1,300	50.74	n/a	n/a	39.00	3.0
LEVEL GLOBAL SHARED ACCT	257	SPY	SS	84,000	118.78	n/a	n/a	2,520.00	3.0
RBC CAPITAL MARKETS	040	SWY	S	40,000	22.79	n/a	n/a	1,600.00	4.0
HIGHBRIDGE CAP	041	TGT	B	1,852	53.94	n/a	5-Nov	74.08	4.0
LEVEL GLOBAL SHARED ACCT	257	TGT	S	200,000	53.49	n/a	5-Nov	6,000.00	3.0
SENATOR INVESTMENT GROUP	036	TIN	B	21,000	19.49	n/a	20-Oct	630.00	3.0
PATTEN & PATTEN	067	TSCO	B	500	40.43	n/a	n/a	25.00	5.0
WINSLOW CAPITAL	030	TXN	B	3,300	30.58	n/a	n/a	99.00	3.0
PATTEN & PATTEN	067	T	S	860	28.14	n/a	n/a	43.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	UNP	B	2,800	89.48	n/a	n/a	84.00	3.0
PORTER-ORLIN	044	UN	B	107,000	29.81	n/a	n/a	5,350.00	5.0
WINSLOW CAPITAL	030	UTX	B	2,100	73.85	n/a	n/a	63.00	3.0
WINSLOW CAPITAL	030	VAR	B	1,200	63.34	n/a	n/a	36.00	3.0
WINSLOW CAPITAL	030	V	B	3,100	74.89	n/a	29-Oct	93.00	3.0
NEUBERGER BERMAN	036	WDR	B	25,000	30.44	n/a	2-Mar	1,000.00	4.0
MATRIX ASSET ADV.	091	WFC	B	9,000	27.44	n/a	12-Nov	360.00	4.0
NEUBERGER BERMAN	036	WGL	B	21,700	38.69	n/a	n/a	868.00	4.0
WINSLOW CAPITAL	030	WLT	B	1,000	92.38	n/a	n/a	30.00	3.0
HIGHBRIDGE CAP	041	WMT	SS	3,638	54.96	n/a	12-Nov	109.14	3.0
PATTEN & PATTEN	067	WMT	S	450	54.48	n/a	12-Nov	22.50	5.0
JP MORGAN VENTURES	046	XRT	SS	10,000	44.28	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	YUM	B	2,000	49.30	n/a	15-Oct	60.00	3.0
TOTAL (Trade Date) :								162,468.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/15	FIRST NY SEC/CHRIS (FNYCHRIS)	041	F	SS	50,000	17.11	n/a	4-Nov	2500.00 5.0
AO,CRT	11/15	FIRST NY SEC/CHRIS (FNYCHRIS)	041	F	SS	50,000	17.11	n/a	4-Nov	1500.00 3.0
AO,	11/15	COLUMBUS CIRCLE (COLCBKON07)	036	PCS	B	34	11.77	n/a	n/a	1.36 4.0
AO,CXL	11/15	COLUMBUS CIRCLE (COLCBKON7)	036	PCS	B	34	11.77	n/a	n/a	1.36 4.0
CRT	11/16	JP MORGAN VENTURES (JPMVJPM)	046	SEH	S	40,000	8.47	n/a	n/a	1200.00 3.0
CRT	11/16	HIGHBRIDGE CAP (HIBCCSFB)	041	TGT	B	1,852	53.94	n/a	5-Nov	74.08 4.0

TOTAL (AO, CXL, CRT) :**274.08**

TOTAL (Trade Date) :

162,468.44

TOTAL (AO, CXL, CRT) :

274.08

TOTAL (RUN DATE) / NFS :**162,742.52**

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