



Daily Compliance Activity Report

Trade Date: 12/15/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	085	ACL	S	200	165.20	n/a	15-Dec	10.00	5.0
ST OF MICHIAN	047	ARO	B	120,000	23.82	n/a	2-Dec	3,600.00	3.0
OSKIE CAPITAL MGMT	224	AXL	S	10,000	12.56	n/a	1-Nov	500.00	5.0
OSKIE CAPITAL MGMT	224	BA	B	15,000	64.49	n/a	22-Nov	750.00	5.0
SAC CHICAGO ANDREW	031	BBBY	B	10,000	48.55	n/a	n/a	350.00	3.5
RBC CAPITAL MARKETS	040	BUD	B	25,000	57.48	n/a	15-Dec	1,000.00	4.0
JP MORGAN VENTURES	046	CHRS	B	30,000	3.74	n/a	n/a	900.00	3.0
ARTISAN PARTNERS LP	047	CMI	S	128,300	109.25	n/a	29-Oct	6,415.00	5.0
RBC CAPITAL MARKETS	040	COST	B	1,600	71.18	n/a	n/a	64.00	4.0
COOKBIELER	028	CTAS	B	100,000	28.95	n/a	n/a	4,000.00	4.0
COOKBIELER	028	DGX	B	50,000	52.92	n/a	n/a	2,000.00	4.0
ROSEDALE CAPITAL	046	DVN	B	10,000	73.43	n/a	14-Dec	500.00	5.0
RBC CAPITAL MARKETS	040	EAT	B	7,834	20.72	n/a	n/a	313.36	4.0
SHEFFIELD ASSET MGMT	031	ENTR	B	50,000	11.15	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	FCH	S	40,000	6.80	n/a	n/a	1,200.00	3.0
PIONEER PATH	226	FHN	B	100,000	10.70	n/a	n/a	3,000.00	3.0
LAKEVIEW INV GROUP LLC	031	FOR	B	22,100	18.31	n/a	3-Nov	663.00	3.0
PARAMETER CAPITAL MGMT LLC	044	FRT	S	26,500	75.21	n/a	n/a	1,060.00	4.0
AVESTA CAP	229	GE	B	300,000	17.55	n/a	n/a	9,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	GM	SS	500	34.00	n/a	6-Dec	15.00	3.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	25.74	n/a	28-Oct	800.00	4.0
IRIDIAN ASSET MGMT.	036	HGSI	B	37,470	23.91	n/a	n/a	1,873.50	5.0
RBC CAPITAL MARKETS	040	HOT	SS	10,000	59.41	n/a	9-Dec	400.00	4.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	2,158	62.05	n/a	n/a	43.16	2.0
GEORGE WEISS	034	IP	SS	20,000	25.71	n/a	15-Dec	800.00	4.0
SAC CRIB	044	IR	B	10,000	45.99	n/a	7-Dec	350.00	3.5
DELTEC ASSET MGMT.	040	JNY	B	60,000	15.82	n/a	28-Oct	3,000.00	5.0
APEX CAPITAL MGMT.	261	JWN	S	77,200	41.73	n/a	30-Nov	3,088.00	4.0
SURSUM CAPITAL	215	JWN	B	50,163	41.77	n/a	30-Nov	1,504.89	3.0
JET CAPITAL/CHRIS	041	KWK	S	100,000	14.53	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	MA	S	1,925	248.87	n/a	10-Dec	96.25	5.0
OSKIE CAPITAL MGMT	224	MTG	B	10,000	9.50	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	MW	B	15,000	24.95	n/a	n/a	750.00	5.0
SCOPUS FUND	041	M	B	50,000	25.19	n/a	30-Nov	2,000.00	4.0
COHE & STEERS	041	PCL	B	70,000	36.48	n/a	26-Oct	2,800.00	4.0
ARMATURE CAPITAL	041	PH	SS	2,197	85.53	n/a	20-Oct	87.88	4.0
ARMATURE CAPITAL	041	PH	S	37,803	85.59	n/a	20-Oct	1,512.12	4.0
BMO NESBITT BURNS	041	PKG	S	7,000	26.25	n/a	15-Dec	350.00	5.0
JP MORGAN VENTURES	046	PLCE	SS	10,000	50.40	n/a	18-Nov	500.00	5.0
CAXTON PART	040	PM	B	18,167	59.51	n/a	n/a	635.86	3.5
TALPION LLC	040	PSSI	S	6,000	22.05	n/a	n/a	180.00	3.0
SURSUM CAPITAL	215	PVH	SS	20,000	66.78	n/a	3-Dec	600.00	3.0
ROTHSCHILD ASSET	040	SEH	S	19,418	8.66	n/a	n/a	776.72	4.0
BMO NESBITT BURNS	041	SLXP	S	3,700	45.43	n/a	n/a	185.00	5.0
BMO NESBITT BURNS	041	TIN	B	37,000	21.47	n/a	15-Dec	1,850.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	25,000	21.40	n/a	15-Dec	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041	TIN	B	2,000	21.49	n/a	15-Dec	100.00	5.0	
SHEFFIELD ASSET MGMT	031	TIN	B	50,000	21.24	n/a	15-Dec	2,000.00	4.0
SURSUM CAPITAL	215	TJX	SS	20,000	44.09	n/a	10-Dec	600.00	3.0
SANDLER CAPITAL	226	TKR	B	60,000	48.06	n/a	n/a	3,600.00	6.0
SURSUM CAPITAL	215	TLB	S	2,844	8.80	n/a	n/a	85.32	3.0
COLUMBUS CIRCLE	036	TPX	S	10,000	35.89	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	URBN	B	15,000	36.89	n/a	n/a	600.00	4.0
SURSUM CAPITAL	215	WSM	B	10,000	34.49	n/a	n/a	300.00	3.0
FORWARD MGMT	033	WY	S	174,863	17.96	n/a	29-Oct	8,743.15	5.0
MELLON/BANK OF NEW YORK	046	WY	S	3,663	17.91	n/a	29-Oct	73.26	2.0
SAC CRIB	044	XLB	SS	50,000	37.22	n/a	n/a	1,750.00	3.5
JP MORGAN VENTURES	046	XRT	B	10,000	47.62	n/a	n/a	300.00	3.0
TOTAL (Trade Date) :								84,325.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/14	JMP ASSET MGMT (JMPABOABA)	210	BGFV	B	10,328	14.57	n/a	n/a	0.00	0.0
AO,CRT	12/14	JMP ASSET MGMT (JMPABOABA)	210	BGFV	B	10,328	14.57	n/a	n/a	516.40	5.0
AO,CXL	12/10	ADALY INV MGMT (ADALRBCSO)	031	CCE	B	15,000	25.84	n/a	n/a	600.00	4.0
AO,CRT	12/10	ADALY INV MGMT (ADALRBCSO)	031	CCE	B	15,000	25.84	n/a	n/a	750.00	5.0
AO,CXL	12/10	ADALY INV MGMT (ADALMANOM)	031	CCE	B	10,000	25.84	n/a	n/a	400.00	4.0
AO,CRT	12/10	ADALY INV MGMT (ADALMANOM)	031	CCE	B	10,000	25.84	n/a	n/a	500.00	5.0
AO,	12/14	LAKEVIEW INV GROUP LLC (LAKVMSEEXEC)	031	FOR	B	8,000	18.24	n/a	3-Nov	240.00	3.0
AO,	12/14	NOMURA CAPITAL (NOMUSTRAT)	029	LYB	S	1,487	32.23	n/a	n/a	29.74	2.0
AO,	12/14	NOMURA CAPITAL (NOMUBATT2)	029	LYB	S	1,296	32.23	n/a	n/a	25.92	2.0
AO,	12/14	NOMURA CAPITAL (NOMUBSMAIN)	029	LYB	S	1,617	32.23	n/a	n/a	32.34	2.0
AO,	12/14	NOMURA CAPITAL (NOMUSAG)	029	QLTY	S	250	8.99	n/a	n/a	7.50	3.0
AO,	12/14	NOMURA CAPITAL (NOMUCOSMOS)	029	QLTY	S	100	8.99	n/a	n/a	3.00	3.0
AO,	12/14	NOMURA CAPITAL (NOMUL3)	029	QLTY	S	475	8.99	n/a	n/a	14.25	3.0
AO,	12/14	NOMURA CAPITAL (NOMULASERS)	029	QLTY	S	1,400	8.99	n/a	n/a	42.00	3.0
AO,	12/14	NOMURA CAPITAL (NOMUAYCB)	029	QLTY	S	4,500	8.99	n/a	n/a	135.00	3.0
AO,	12/14	NOMURA CAPITAL (NOMUSPH)	029	QLTY	S	575	8.99	n/a	n/a	17.25	3.0
AO,	12/14	NOMURA CAPITAL (NOMUMCERS)	029	QLTY	S	700	8.99	n/a	n/a	21.00	3.0
TOTAL (AO, CXL, CRT) :										1,334.40	

TOTAL (Trade Date) :

84,325.47

TOTAL (AO, CXL, CRT):

1,334.40

TOTAL (RUN DATE) / NFS:

85,659.87

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