



Daily Compliance Activity Report

Trade Date: 10/20/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABG	S	1,350	14.55	n/a	19-Oct	40.50	3.0
PATTEN & PATTEN	067	ACM	B	150	25.52	n/a	n/a	7.50	5.0
BALYASNY ASSET MGMT	044	AEO	B	30,000	16.46	n/a	11-Oct	1,500.00	5.0
WATERFRONT CAP	028	AIV	B	50,000	23.36	n/a	n/a	2,000.00	4.0
MILLRACE FUND LP	028	ANF	B	2,000	43.05	n/a	11-Oct	80.00	4.0
LAGRANGE CAP ADV	048	AN	SS	20,000	23.76	n/a	19-Oct	1,000.00	5.0
PATTEN & PATTEN	067	APD	S	60	82.29	n/a	8-Oct	3.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	26.48	n/a	11-Oct	2,000.00	4.0
ENTRUST CAPITAL	040	ARO	SS	39,500	26.51	n/a	11-Oct	1,975.00	5.0
PATTEN & PATTEN	067	AWK	B	150	23.84	n/a	n/a	7.50	5.0
WEINTRAUB CAPITAL MGT.	040	AXE	S	10,000	52.93	n/a	24-Sep	400.00	4.0
WEINTRAUB CAPITAL MGT.	040	BGC	B	10,000	26.02	n/a	n/a	400.00	4.0
COOPER CREEK PART	028	BZ	B	16,400	6.81	n/a	n/a	492.00	3.0
PATTEN & PATTEN	067	COST	B	20	62.55	n/a	n/a	1.00	5.0
EPOCH INV MGMT	030	CPO	S	1,300	39.61	n/a	n/a	39.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	CRR	S	1,100	84.34	n/a	30-Sep	44.00	4.0
EPOCH INV MGMT	030	CTBI	S	700	27.59	n/a	n/a	21.00	3.0
PZENA INV ADV	044	DELL	S	200	14.65	n/a	n/a	7.00	3.5
OHIO PERS	047	DIS	S	42,000	34.61	n/a	n/a	1,260.00	3.0
PATTEN & PATTEN	067	DOW	B	35	29.96	n/a	13-Oct	1.75	5.0
RBC CAPITAL MARKETS	040	DOW	B	25,000	30.00	n/a	13-Oct	1,000.00	4.0
EPOCH INV MGMT	030	DRC	S	550	37.70	n/a	n/a	16.50	3.0
EPOCH INV MGMT	030	DRIV	S	150	34.88	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	DRQ	S	400	66.23	n/a	n/a	12.00	3.0
PATTEN & PATTEN	067	D	B	100	45.00	n/a	n/a	5.00	5.0
NWQ INVESTMENT MGMT CO	084	ENTG	B	40,400	5.10	n/a	n/a	1,212.00	3.0
EPOCH INV MGMT	030	ESL	S	350	58.60	n/a	n/a	10.50	3.0
PATTEN & PATTEN	067	EWL	B	100	23.97	n/a	n/a	5.00	5.0
SONTERRA CAP	041	EXC	SS	10,000	44.19	n/a	n/a	400.00	4.0
EPOCH INV MGMT	030	FDML	S	1,000	21.00	n/a	n/a	30.00	3.0
CONIFER/ISF	025	FL	S	1,700	15.88	n/a	14-Oct	85.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	FORR	S	350	34.00	n/a	n/a	10.50	3.0
BMO NESBITT BURNS	041	F	S	50,000	13.63	n/a	19-Oct	1,500.00	3.0
OZ MGMT	040	F	SS	50,000	13.61	n/a	19-Oct	1,500.00	3.0
SAXON WOODS ADVISORS	242	GES	S	173,800	41.82	n/a	18-Oct	6,952.00	4.0
PZENA INV ADV	044	GS	S	25	155.59	n/a	19-Oct	0.88	3.5
DIAMONDBACK CAP MGMT	232	HD	SS	50,000	30.54	n/a	7-Oct	2,500.00	5.0
MERRILL ASSET/BLACKROCK	266	HMN	B	34,700	18.82	n/a	n/a	1,388.00	4.0
HUNTER GLOBAL INVESTOR	067	HTZ	B	250,000	10.30	n/a	n/a	7,500.00	3.0
JET CAPITAL/CHRIS	041	HTZ	S	75,000	10.42	n/a	n/a	2,250.00	3.0
MILLENIUM PARTNERS	028	HTZ	S	50,000	10.30	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	IJK	B	35	89.17	n/a	n/a	1.75	5.0
PATTEN & PATTEN	067	INTC	B	250	19.53	n/a	n/a	12.50	5.0
EPOCH INV MGMT	030	ISBC	S	1,750	12.59	n/a	n/a	52.50	3.0
LATEFF MGMT	035	KO	S	1,250	61.22	n/a	20-Oct	350.00	32.5
PATTEN & PATTEN	067	KRE	S	150	23.20	n/a	n/a	7.50	5.0
ENTRUST CAPITAL	040	LOPE	B	44,800	20.26	n/a	n/a	2,240.00	5.0
COOPER CREEK PART	028	LPX	SS	50,000	8.02	n/a	18-Oct	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DC CAPITAL	044	LYB	S	15,000	26.75	n/a	n/a	600.00	4.0
HARBORWATCH/DIAMBACK	232	MON	B	30,000	58.01	n/a	20-Oct	1,500.00	5.0
DIAMONDBACK CAP MGMT	232	MS	B	20,000	24.56	n/a	19-Oct	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	MS	S	20,000	25.29	n/a	19-Oct	1,000.00	5.0
CATAPULT	040	MWV	B	10,000	25.25	n/a	18-Oct	400.00	4.0
BALYASNY ASSET MGMT	044	M	B	30,000	22.84	n/a	11-Oct	1,500.00	5.0
WEISS PECK	040	PAG	B	50,000	13.75	n/a	19-Oct	2,500.00	5.0
KADE CAPITAL LLC	028	PKG	B	10,000	24.13	n/a	19-Oct	500.00	5.0
EPOCH INV MGMT	030	PLOW	S	1,650	13.52	n/a	n/a	49.50	3.0
PATTEN & PATTEN	067	QCOM	B	100	44.48	n/a	n/a	5.00	5.0
EPOCH INV MGMT	030	RAIL	S	850	27.39	n/a	n/a	25.50	3.0
PATTEN & PATTEN	067	RIMM	S	65	47.89	n/a	n/a	3.25	5.0
EPOCH INV MGMT	030	ROCK	S	1,350	9.40	n/a	n/a	40.50	3.0
EPOCH INV MGMT	030	RTI	S	500	28.12	n/a	n/a	15.00	3.0
EPOCH INV MGMT	030	RYL	S	1,650	15.86	n/a	n/a	49.50	3.0
ROTHSCHILD ASSET	040	RYN	S	3,920	51.41	n/a	18-Oct	156.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TPG-AXON	040	SWY	SS	56,000	21.93	n/a	n/a	2,800.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.66	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	TCBI	S	1,700	17.39	n/a	n/a	51.00	3.0
PZENA INV ADV	044	TEL	S	200	31.02	n/a	n/a	7.00	3.5
RBC CAPITAL MARKETS	040	TGT	SS	10,000	53.91	n/a	11-Oct	400.00	4.0
PATTEN & PATTEN	067	TIP	S	100	111.68	n/a	n/a	5.00	5.0
SAXON WOODS ADVISORS	242	TNA	S	4,200	52.50	n/a	n/a	168.00	4.0
PATTEN & PATTEN	067	TSCO	B	100	38.08	n/a	n/a	5.00	5.0
ARMATURE CAPITAL	041	UPS	S	15,000	69.81	n/a	n/a	600.00	4.0
CATAPULT	040	URBN	SS	15,000	29.94	n/a	n/a	600.00	4.0
PATTEN & PATTEN	067	URS	S	120	38.65	n/a	n/a	6.00	5.0
BUCK CAPITAL MGMT	001	VFC	B	20,000	86.74	n/a	18-Oct	800.00	4.0
CAERUS GLOBAL	041	VFC	B	8,000	86.79	n/a	18-Oct	320.00	4.0
EPOCH INV MGMT	030	VPFG	S	1,800	9.50	n/a	n/a	54.00	3.0
EPOCH INV MGMT	030	VR	S	850	28.42	n/a	n/a	25.50	3.0
EPOCH INV MGMT	030	WAB	S	400	47.67	n/a	n/a	12.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TPG-AXON	040	WFMI	SS	19,000	38.09	n/a	n/a	950.00	5.0
TPG-AXON	040	WMT	SS	33,000	53.53	n/a	14-Oct	1,650.00	5.0
EPOCH INV MGMT	030	WRC	S	650	54.47	n/a	18-Oct	19.50	3.0
HG VORA CAP MGMT LLC	025	WYNN	SS	5,000	101.82	n/a	20-Oct	150.00	3.0
DIAMONDBACK CAP MGMT	232	XLB	C	58,000	34.73	n/a	n/a	1,740.00	3.0
GRANITE CAPITAL	028	XLF	B	20,000	14.54	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	XME	C	5,000	54.98	n/a	n/a	150.00	3.0
TOTAL (Trade Date) :								65,483.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/19	NOMURA CAPITAL (NOMUSTRATE)	029	CIT	B	795	40.41	n/a	13-Oct	23.85 3.0
AO,	10/19	NOMURA CAPITAL (NOMUBATT2)	029	CIT	B	674	40.41	n/a	13-Oct	20.22 3.0
AO,	10/19	NOMURA CAPITAL (NOMUBSMAN)	029	CIT	B	31	40.41	n/a	13-Oct	0.93 3.0
TOTAL (AO, CXL, CRT) :										45.00

TOTAL (Trade Date) :	65,483.43
TOTAL (AO, CXL, CRT) :	45.00

TOTAL (RUN DATE) / NFS :	65,528.43
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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