



Daily Compliance Activity Report

Trade Date: 11/01/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	AKS	S	50,000	12.78	n/a	n/a	2,500.00	5.0
COLUMBUS CIRCLE	036	ALGT	B	1,097	47.11	n/a	n/a	43.88	4.0
SAC TRADING TOM LEDDY	035	ANF	B	2,700	42.00	n/a	29-Oct	94.50	3.5
TRELLUS PARTNERS LP	028	AN	SS	50,000	23.46	n/a	29-Oct	2,500.00	5.0
BASIX	033	AXL	SS	55,000	8.91	n/a	1-Nov	1,650.00	3.0
CR INTRINIC INVESTMENT	044	AZN	B	25,000	49.94	n/a	n/a	875.00	3.5
CARLSON CAPITAL	290	BAC	S	173,200	11.55	n/a	20-Oct	6,928.00	4.0
DIAMONDBACK CAP MGMT	232	BBT	C	15,000	22.84	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	BID	B	20,000	43.17	n/a	n/a	800.00	4.0
KADE CAPITAL LLC	028	BWA	B	5,000	56.73	n/a	27-Oct	250.00	5.0
GALT INVESTMENT	041	BWLD	S	6,310	47.51	n/a	n/a	315.50	5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	50.13	n/a	27-Oct	400.00	4.0
NWQ INVESTMENT MGMT CO	084	CPKI	B	22,725	16.52	n/a	15-Oct	909.00	4.0
ROTHSCHILD ASSET	040	CRI	S	18,060	25.05	n/a	n/a	722.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	CTB	SS	5,254	20.62	n/a	n/a	210.16	4.0
DAVIDSON KEMPNER ADVISOR	040	C	B	14,000	4.18	n/a	19-Oct	700.00	5.0
COLUMBIA PARTNERS	028	D	S	14,092	42.33	n/a	n/a	563.68	4.0
SONTERRA CAP	041	ESV	B	15,534	46.86	n/a	n/a	621.36	4.0
Õ Nilsa Vazquez		FALC	B	2000	2.7000	n/a	n/a	0.00	0.0
CATAPULT	040	GGC	S	50,000	19.79	n/a	n/a	2,000.00	4.0
METROPOLITAN CAPITAL	044	GSM	S	10,900	16.12	n/a	n/a	545.00	5.0
SPARTA ASSET MGMT	035	GYMB	S	15,000	65.10	n/a	29-Oct	450.00	3.0
OZ MGMT	040	HD	SS	50,000	31.15	n/a	7-Oct	1,500.00	3.0
ADAGE CAPITAL MGMT	030	HSC	SS	54,200	23.46	n/a	3-Aug	1,626.00	3.0
CAMBIAR CAP	046	HSC	B	150,000	23.28	n/a	3-Aug	6,000.00	4.0
SAC CRIB	044	ITT	SS	25,000	47.38	n/a	30-Apr	875.00	3.5
NEUBERGER BERMAN	036	JNJ	B	10,700	63.50	n/a	n/a	428.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	14.16	n/a	28-Oct	800.00	4.0
MATRIX ASSET ADV.	091	JPM	B	2,000	37.80	n/a	19-Oct	80.00	4.0
DAVIDSON KEMPNER ADVISOR	040	KBE	SS	27,000	22.59	n/a	n/a	1,350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	S	245,247	51.61	n/a	29-Oct	9,809.88	4.0
RBC CAPITAL MARKETS	040	KSS	SS	20,000	51.84	n/a	29-Oct	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	50,000	51.83	n/a	29-Oct	1,750.00	3.5
THE JAY GOLDMAN	028	KSS	SS	10,000	51.68	n/a	29-Oct	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	5,100	89.50	n/a	29-Oct	153.00	3.0
MATRIX ASSET ADV.	091	MS	B	3,000	24.86	n/a	21-Oct	120.00	4.0
HARBORWATCH/DIAMBACK	232	MTW	B	25,000	11.33	n/a	1-Nov	1,250.00	5.0
SAC CAPITAL/M GRONET	030	M	B	20,000	24.14	n/a	29-Oct	700.00	3.5
PIONEER MICHAEL NOLAN	067	NR	S	60,000	5.35	n/a	n/a	1,800.00	3.0
KACELA CAPITAL	034	NUS	B	30,000	30.37	n/a	n/a	1,200.00	4.0
SONTERRA CAP	041	PDE	B	11,952	30.55	n/a	n/a	478.08	4.0
HARBORWATCH/DIAMBACK	232	PHM	C	50,000	7.79	n/a	n/a	1,500.00	3.0
HOOVER INV. MGMT	033	PLCE	S	53,800	43.62	n/a	21-Oct	2,152.00	4.0
NOMURA CAPITAL	029	QLTY	S	1,788	7.03	n/a	n/a	53.64	3.0
SAC ENERGY GS-BOB	044	RCL	B	160,200	39.15	n/a	n/a	5,607.00	3.5
BUCK CAPITAL MGMT	001	SKX	B	60,000	19.29	n/a	n/a	2,400.00	4.0
WEINTRAUB CAPITAL MGT.	040	SSCC	S	25,000	24.00	n/a	18-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	TGT	B	50,000	52.50	n/a	29-Oct	1,750.00	3.5
SANDLER CAPITAL	226	TKR	B	50,000	42.42	n/a	n/a	3,000.00	6.0
KACELA CAPITAL	034	TOL	SS	55,000	17.73	n/a	n/a	2,200.00	4.0
NEUBERGER BERMAN	036	UN	B	22,700	29.72	n/a	n/a	908.00	4.0
SONTERRA CAP	041	URS	SS	22,684	39.55	n/a	n/a	907.36	4.0
RBC CAPITAL MARKETS	040	USG	B	10,000	12.99	n/a	22-Oct	400.00	4.0
DAVIDSON KEMPNER ADVISOR	040	VRX	S	40,000	27.56	n/a	n/a	2,000.00	5.0
SAC ENERGY GS-BOB	044	WFMI	S	100,000	40.01	n/a	n/a	3,500.00	3.5
SAC ENERGY GS-BOB	044	WMT	SS	100,000	54.29	n/a	14-Oct	3,500.00	3.5
CASTLEROCK	040	WOR	B	191,808	15.57	n/a	n/a	7,672.32	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	52.04	n/a	18-Oct	400.00	4.0
TYEE/TYGH	035	WRC	S	46,300	52.80	n/a	18-Oct	1,852.00	4.0
PNC CAPITAL ADV	028	WYN	B	120,264	29.28	n/a	n/a	4,810.56	4.0
LONG POND	029	WY	B	20,000	16.44	n/a	29-Oct	1,000.00	5.0
TOTAL (Trade Date) :								101,561.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/29	COLUMBUS CIRCLE (COLC3050)	036	ALGT	B	2,943	47.14	n/a	n/a	117.72 4.0
AO,	10/29	ASCEND PARTNERS (ASCEDBAB)	033	LOW	S	26,403	21.29	n/a	16-Aug	1320.15 5.0
AO,	10/29	ASCEND PARTNERS (ASCECITI)	033	LOW	S	15,041	21.29	n/a	16-Aug	752.05 5.0
AO,CXL	10/29	ASCEND PARTNERS (ASCEMSPB)	033	LOW	S	118,601	21.29	n/a	16-Aug	5930.05 5.0
AO,	10/29	ASCEND PARTNERS (ASCEMSPB)	033	LOW	S	575	21.29	n/a	16-Aug	28.75 5.0
AO,	10/29	ASCEND PARTNERS (ASCEMSPB)	033	LOW	S	73,573	21.29	n/a	16-Aug	3678.65 5.0
AO,	10/29	ASCEND PARTNERS (ASCEBNPC)	033	LOW	S	3,009	21.29	n/a	16-Aug	150.45 5.0
AO,CXL	10/29	ASCEND PARTNERS (ASCEMSPB)	033	MMM	B	6,171	84.45	n/a	28-Oct	308.55 5.0
AO,	10/29	ASCEND PARTNERS (ASCEDBAB)	033	MMM	C	1,367	84.45	n/a	28-Oct	68.35 5.0
AO,	10/29	ASCEND PARTNERS (ASCECITI)	033	MMM	C	788	84.45	n/a	28-Oct	39.40 5.0
AO,	10/29	ASCEND PARTNERS (ASCEMSPB)	033	MMM	C	3,858	84.45	n/a	28-Oct	192.90 5.0
AO,	10/29	ASCEND PARTNERS (ASCEBNPC)	033	MMM	C	158	84.45	n/a	28-Oct	7.90 5.0
AO,CXL	10/29	NOMURA CAPITAL (NOMUEB6J)	029	NOR	B	1,741	9.90	n/a	n/a	34.82 2.0
AO,	10/29	NOMURA CAPITAL (NOMUSTRATE)	029	NOR	B	679	9.90	n/a	n/a	20.37 3.0
AO,	10/29	NOMURA CAPITAL (NOMUBATT2)	029	NOR	B	392	9.90	n/a	n/a	11.76 3.0
AO,	10/29	NOMURA CAPITAL (NOMUBSMAIN)	029	NOR	B	670	9.90	n/a	n/a	20.10 3.0
AO,CRT	10/29	RWC PARTNERS LTD (RWCPUSALPH)	067	OMX	B	70,200	17.23	n/a	n/a	2106.00 3.0
AO,CXL	10/29	RWC PARTNERS LTD (RWCPALPHA)	067	OMX	B	70,200	17.23	n/a	n/a	2106.00 3.0
AO,CXL	10/29	COUGAR TRADING (COUGPB MS)	044	WBC	S	5,000	46.20	n/a	29-Oct	250.00 5.0
AO,CRT	10/29	COUGAR TRADING (COUGPB MS)	044	WBC	S	10,000	46.20	n/a	29-Oct	500.00 5.0
CRT	11/01	LONG POND (LONPMS)	029	WY	B	20,000	16.44	n/a	29-Oct	1000.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									1,385.13
TOTAL (Trade Date) :									101,561.32
TOTAL (AO, CXL, CRT) :									1,385.13
TOTAL (RUN DATE) / NFS :									102,946.45

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