



Daily Compliance Activity Report

Trade Date: 01/28/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	ADM	B	50,000	32.72	n/a	21-Jan	2,000.00	4.0
COUGAR TRADING	044	ALV	SS	2,500	78.51	n/a	26-Jan	125.00	5.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	21.86	n/a	n/a	600.00	3.0
SENATOR INVESTMENT GROUP	036	AOS	B	25,000	42.46	n/a	5-Jan	750.00	3.0
GALT INVESTMENT	041	ASNA	B	10,000	26.80	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	AXL	SS	30,000	14.75	n/a	26-Jan	1,500.00	5.0
COUGAR TRADING	044	AXL	SS	2,500	14.60	n/a	26-Jan	125.00	5.0
TRELLUS PARTNERS LP	028	AXL	C	12,070	14.42	n/a	26-Jan	603.50	5.0
TROUBH PART	070	AXP	S	25,000	44.25	n/a	26-Jan	1,250.00	5.0
ADAGE CAPITAL MGMT	030	AZO	S	11,000	252.83	n/a	n/a	330.00	3.0
NOKOMIS PARTNERS	031	BBND	S	3,730	2.71	n/a	n/a	74.60	2.0
GALT INVESTMENT	041	BKE	B	25,000	35.95	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	BWA	SS	2,500	68.96	n/a	26-Jan	125.00	5.0
1798 CAP/LOMBARD ASSET	040	CAT	B	3,000	95.99	n/a	28-Jan	150.00	5.0
CATAPULT	040	CBOU	S	40,000	9.39	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOUT/UMB	047	CCMP	B	29,800	45.58	n/a	n/a	1,192.00	4.0
SURSUM CAPITAL	215	CHS	SS	10,000	11.07	n/a	5-Feb	300.00	3.0
BUCK CAPITAL MGMT	001	COH	B	10,000	52.84	n/a	26-Jan	300.00	3.0
SURSUM CAPITAL	215	COH	B	5,000	53.61	n/a	26-Jan	150.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,400	113.50	n/a	11-Jan	96.00	4.0
TROUBH PART	070	CSCO	S	25,000	21.30	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	CSTR	S	30,600	41.32	n/a	n/a	1,530.00	5.0
COUGAR TRADING	044	DAN	SS	2,500	18.04	n/a	26-Jan	125.00	5.0
SENATOR INVESTMENT GROUP	036	DAN	B	47,089	17.48	n/a	26-Jan	1,412.67	3.0
BALYASNY ASSET MGMT	044	DE	B	10,000	89.21	n/a	11-Jan	500.00	5.0
MAIRS AND POWER INV	030	DIS	B	40,000	38.90	n/a	n/a	2,000.00	5.0
JP MORGAN VENTURES	046	EXPE	S	25,000	25.26	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	EXPO	B	5,400	37.45	n/a	n/a	216.00	4.0
MERCHANTS GATE CAP LP	036	FDX	B	25,000	90.50	n/a	n/a	1,000.00	4.0
AAD CAPITAL	084	F	S	100,000	16.61	n/a	26-Jan	3,000.00	3.0
FEDERATED INV/KAUFMAN	029	F	S	2,500,000	16.24	n/a	26-Jan	137,500.00	5.5
SCOPUS FUND	041	F	B	70,000	16.38	n/a	26-Jan	2,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	10,000	42.20	n/a	20-Jan	300.00	3.0
SURSUM CAPITAL	215	GES	B	5,000	42.95	n/a	20-Jan	150.00	3.0
GALT INVESTMENT	041	GE	S	50,000	20.62	n/a	n/a	2,500.00	5.0
MELLON/BANK OF NEW YORK	046	GE	B	1,348,810	20.23	n/a	n/a	53,952.40	4.0
SURSUM CAPITAL	215	GPS	S	10,000	19.43	n/a	n/a	300.00	3.0
ACK ASSET	028	HBI	B	47,000	22.55	n/a	28-Jan	1,410.00	3.0
JP MORGAN VENTURES	046	HRS	S	14,000	48.11	n/a	5-Jan	700.00	5.0
COUGAR TRADING	044	IGT	B	10,000	17.61	n/a	27-Jan	500.00	5.0
RBC CAPITAL MARKETS	040	IP	SS	50,000	28.62	n/a	7-Jan	2,000.00	4.0
HUNTER GLOBAL INVESTOR	028	JCI	B	79,600	37.68	n/a	20-Jan	3,980.00	5.0
SAGE ASSET MGMT	012	KS	S	5,762	17.36	n/a	n/a	288.10	5.0
COUGAR TRADING	044	LEA	SS	2,500	107.41	n/a	26-Jan	125.00	5.0
JP MORGAN VENTURES	046	LF	S	185,000	3.93	n/a	n/a	9,250.00	5.0
BNP PARIBAS SEC	040	LPX	S	30,000	10.05	n/a	8-Nov	1,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	35,000	10.02	n/a	8-Nov	1,750.00	5.0
SCHOTTENFELD ASSOC	041	LPX	B	15,000	10.01	n/a	8-Nov	450.00	3.0
SF SENTRY	085	LPX	SS	7,500	10.06	n/a	8-Nov	375.00	5.0
BALYASNY ASSET MGMT	044	LTD	B	25,000	29.07	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	B	10,000	29.10	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	LULU	B	5,000	71.02	n/a	n/a	150.00	3.0
JP MORGAN VENTURES	046	MDT	S	19,900	38.50	n/a	n/a	995.00	5.0
FARALLON CAP MGMT	040	MSFT	B	50,000	27.78	n/a	n/a	1,500.00	3.0
FIRST NY SEC/CHRIS	041	MSFT	B	25,000	27.60	n/a	n/a	1,250.00	5.0
ROSEDALE CAPITAL	046	MU	B	30,000	10.36	n/a	n/a	1,200.00	4.0
BENCHMARK	025	NCR	S	10,000	16.35	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	047	NDN	S	21,117	15.00	n/a	21-Jan	1,055.85	5.0
NEUBERGER BERMAN	036	NHP	B	2,100	37.50	n/a	n/a	84.00	4.0
ADAGE CAPITAL MGMT	030	OMX	B	50,000	17.01	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	OXM	B	19,302	23.98	n/a	n/a	579.06	3.0
GRANITE CAPITAL	028	PAG	S	20,000	17.32	n/a	26-Jan	1,000.00	5.0
MERCHANTS GATE CAP LP	036	PCAR	C	95,000	54.89	n/a	3-Jan	3,800.00	4.0
ELM RIDGE ADVISORS	044	PCL	S	68,000	41.78	n/a	21-Jan	2,720.00	4.0
SURSUM CAPITAL	215	PG	B	25,000	64.08	n/a	28-Jan	750.00	3.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	20.38	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	PSS	B	20,000	20.42	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	58.30	n/a	20-Jan	300.00	3.0
SONICA CAPITAL LLC	025	PVH	B	5,900	57.99	n/a	20-Jan	177.00	3.0
KACELA CAPITAL	034	RCL	SS	23,000	45.92	n/a	n/a	920.00	4.0
MERCHANTS GATE CAP LP	036	RSG	S	40,000	30.66	n/a	n/a	1,600.00	4.0
ADAGE CAPITAL MGMT	030	RSH	B	100,000	15.35	n/a	n/a	3,000.00	3.0
JP MORGAN VENTURES	046	SBCF	S	60,000	1.60	n/a	n/a	3,000.00	5.0
SONICA CAPITAL LLC	025	SBUX	B	14,500	31.96	n/a	27-Jan	435.00	3.0
GALT INVESTMENT	041	SCSS	B	25,000	10.05	n/a	n/a	1,000.00	4.0
EMERSON CAPITAL MGMT	048	SCVL	B	2,000	24.79	n/a	n/a	60.00	3.0
ADAGE CAPITAL MGMT	030	SHLD	B	60,000	78.69	n/a	n/a	1,800.00	3.0
SURSUM CAPITAL	215	SHOO	B	25,000	38.93	n/a	n/a	750.00	3.0
ADAGE CAPITAL MGMT	030	SPLS	S	200,000	22.71	n/a	n/a	6,000.00	3.0
ARCHON CAPITAL	035	STRI	B	5,000	18.17	n/a	n/a	150.00	3.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.55	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	266	TESO	B	30,000	14.67	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	TGT	S	50,000	54.80	n/a	28-Jan	1,500.00	3.0
THE JAY GOLDMAN	028	TGT	S	35,000	54.34	n/a	28-Jan	1,400.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		TIN	S	15,000	24.08		n/a 7-Jan	750.00	5.0
ADAGE CAPITAL MGMT	030	TJX	B	240,894	48.38	n/a	28-Jan	7,226.82	3.0
SURSUM CAPITAL	215	TJX	B	20,000	47.90	n/a	28-Jan	600.00	3.0
SEVEN LOCKS CAPITAL	025	TLCR	S	35,000	24.11	n/a	n/a	1,050.00	3.0
ADAGE CAPITAL MGMT	030	TSCO	SS	125,000	51.26	n/a	n/a	3,750.00	3.0
TRUSTCO/SUNTRUST	040	T	B	81,679	27.74	n/a	n/a	2,858.78	3.5
SURSUM CAPITAL	215	UA	B	5,000	59.71	n/a	28-Jan	150.00	3.0
SURSUM CAPITAL	215	URBN	SS	10,000	33.74	n/a	n/a	300.00	3.0
SONICA CAPITAL LLC	025	WMS	B	15,000	41.45	n/a	27-Jan	450.00	3.0
ADAGE CAPITAL MGMT	030	WMT	B	150,000	57.82	n/a	27-Jan	4,500.00	3.0
SURSUM CAPITAL	215	WMT	B	5,000	57.03	n/a	27-Jan	150.00	3.0
THE JAY GOLDMAN	028	WMT	B	40,000	56.59	n/a	27-Jan	1,600.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	50.52	n/a	20-Jan	300.00	3.0
EMERSON CAPITAL MGMT	048	WRC	B	6,000	50.49	n/a	20-Jan	180.00	3.0
SURSUM CAPITAL	215	WRC	B	5,000	50.13	n/a	20-Jan	150.00	3.0
ADAGE CAPITAL MGMT	030	WSM	B	25,000	32.74	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	SS	20,000	22.70	n/a	21-Jan	1,000.00	5.0
RBC CAPITAL MARKETS	040	XLB	B	100,000	38.01	n/a	n/a	4,000.00	4.0
COBALT	041	XL	B	50,000	22.96	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date) :							321,226.78		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/28	GALT INVESTMENT (GALTGS)	041	BKE	B	25,000	35.95	n/a	n/a	1250.00 5.0
AO,	01/27	COLUMBUS CIRCLE (COLC3040)	036	IO	B	10,600	9.23	n/a	n/a	424.00 4.0
CRT	01/28	ROSEDALE CAPITAL (ROSEGS)	046	MU	B	30,000	10.36	n/a	n/a	1200.00 4.0
AO,CXL	01/25	LISTED ERR (LISTED ERR)	099	WMT	B	3,100	56.55	n/a	27-Jan	0.00 0.0
AO,CRT	01/25	LISTED ERR (LISTED ERR)	097	WMT	B	3,100	56.55	n/a	27-Jan	0.00 0.0
AO,CXL	01/25	LISTED ERR (LISTED ERR)	099	WMT	S	3,100	56.55	n/a	27-Jan	0.00 0.0
AO,CRT	01/25	LISTED ERR (LISTED ERR)	099	WMT	S	3,100	56.55	n/a	27-Jan	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,874.00

TOTAL (Trade Date) :	321,226.78
TOTAL (AO, CXL, CRT) :	2,874.00

TOTAL (RUN DATE) / NFS :	324,100.78
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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