



Daily Compliance Activity Report

Trade Date: 02/02/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ASNA	SS	50,000	27.15	n/a	n/a	2,500.00	5.0
SOROS	036	BBY	S	100,000	34.75	n/a	n/a	4,000.00	4.0
GREEN ARROW DOUG	040	CAR	B	122,000	14.21	n/a	n/a	4,880.00	4.0
HILLTOP PARK ASSOC	086	CF	B	10,000	142.12	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	CF	B	100,000	140.96	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	CMI	SS	10,000	106.68	n/a	2-Feb	500.00	5.0
MA CAPITAL MGMT/MELLON ADV041		DAN	B	4,000	17.45	n/a	31-Jan	200.00	5.0
1798 CAP/LOMBARD ASSET	040	DG	SS	10,000	27.61	n/a	21-Jan	500.00	5.0
CASTLEROCK	040	DLR	B	136,880	54.82	n/a	n/a	5,475.20	4.0
COUGAR TRADING	044	DLTR	SS	5,000	49.41	n/a	21-Jan	250.00	5.0
NOKOMIS PARTNERS	031	FINL	B	77,000	15.23	n/a	n/a	1,137.62	1.0
1798 CAP/LOMBARD ASSET	040	FOE	B	5,000	15.47	n/a	n/a	250.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	F	S	65,500	15.39	n/a	2-Feb	2,620.00	4.0
WALL STREET CAPITAL	084	F	S	15,000	15.45	n/a	2-Feb	675.00	4.5
BNP PARIBAS SEC	040	GM	S	40,000	36.06	n/a	2-Feb	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	033	GM	S	538,500	36.08	n/a	2-Feb	21,540.00	4.0
PHILADELPHIA FINANCIAL	033	GM	SS	81,829	36.37	n/a	2-Feb	3,273.16	4.0
PIONEER PATH	028	GM	S	25,000	36.19	n/a	2-Feb	750.00	3.0
SOROS	036	GTE	S	30,825	9.00	n/a	n/a	924.75	3.0
ROSEDALE CAPITAL	046	HCBK	B	40,000	10.94	n/a	19-Jan	1,600.00	4.0
PERRY PARTNERS	085	HPQ	B	100,000	46.98	n/a	n/a	5,000.00	5.0
TALKOT CAPITAL LLC	084	IP	B	10,000	29.48	n/a	7-Jan	300.00	3.0
ENTRUST CAPITAL	040	IR	S	38,500	48.21	n/a	5-Jan	1,925.00	5.0
SURSUM CAPITAL	215	JAH	B	10,000	34.17	n/a	n/a	300.00	3.0
WAGONHOUND/NIC	289	JCI	B	10,530	37.79	n/a	20-Jan	421.20	4.0
RBC CAPITAL MARKETS	040	JWN	B	30,000	40.35	n/a	28-Jan	1,200.00	4.0
CAERUS GLOBAL	041	KSS	S	24,000	50.82	n/a	28-Jan	960.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	20,000	44.50	n/a	28-Jan	1,000.00	5.0
Õ Nilsa Vazquez		MGM	B	500	14.9790	n/a	31-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	20,000	22.13	n/a	28-Jan	600.00	3.0
THE JAY GOLDMAN	028	M	B	25,000	22.07	n/a	28-Jan	1,000.00	4.0
SOROS	036	NCS	S	2,814	13.90	n/a	n/a	112.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRANDWINE	028	PCAR	B	31,100	51.64	n/a	2-Feb	1,244.00	4.0
CATAPULT	040	PCX	B	25,000	28.97	n/a	n/a	1,000.00	4.0
TALKOT CAPITAL LLC	084	PKG	B	10,000	28.41	n/a	25-Jan	400.00	4.0
SURSUM CAPITAL	215	PVH	B	10,000	57.72	n/a	1-Feb	300.00	3.0
RBC CAPITAL MARKETS	040	RCL	S	300	44.60	n/a	n/a	12.00	4.0
BASIX	033	RRR	B	85,000	12.77	n/a	12-Jan	2,550.00	3.0
SURSUM CAPITAL	215	SHOO	B	10,000	39.63	n/a	n/a	300.00	3.0
SENATOR INVESTMENT GROUP	036	SPY	B	200,000	130.55	n/a	n/a	6,000.00	3.0
MERRILL ASSET/BLACKROCK	266	TESO	B	25,383	15.75	n/a	n/a	1,015.32	4.0
CAERUS GLOBAL	041	TGT	S	13,000	53.61	n/a	28-Jan	520.00	4.0
SAC CAPITAL/M GRONET	030	TGT	S	55,000	53.57	n/a	28-Jan	1,925.00	3.5
MERRILL ASSET/BLACKROCK	266	THFF	S	1,661	31.31	n/a	n/a	66.44	4.0
LEVEL GLOBAL SHARED ACCT	257	TIF	C	75,000	58.50	n/a	n/a	2,250.00	3.0
MERRILL ASSET/BLACKROCK	266	TTI	B	20,900	11.72	n/a	n/a	836.00	4.0
TROUBH PART	070	VALE	B	20,000	35.79	n/a	n/a	1,000.00	5.0
BALLAST CAP	040	WGO	SS	10,100	14.43	n/a	n/a	505.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	WMT	B	10,000	56.03	n/a	27-Jan	300.00	3.0
SCOPUS FUND	041	WY	SS	50,000	23.77	n/a	21-Jan	2,000.00	4.0
TRELLUS PARTNERS LP	028	WY	SS	30,000	23.71	n/a	21-Jan	1,500.00	5.0
TOTAL (Trade Date) :								94,118.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/02	BNP PARIBAS SEC (BNPPMAIN)	040	CMI	SS	10,000	106.68	n/a	2-Feb	500.00 5.0
AO,CRT	02/01	S.A.C. CAP/ORENSTEIN (SACCMSCO)	044	LUV	S	100,000	11.86	n/a	n/a	3500.00 3.5
AO,CXL	02/01	S.A.C. CAP/ORENSTEIN (SACCOREN)	044	LUV	S	100,000	11.86	n/a	n/a	3500.00 3.5
CRT	02/02	BUCK CAPITAL MGMT (BUCKJPMBS)	001	M	B	18,900	22.13	n/a	28-Jan	567.00 3.0
AO,	02/01	COLUMBUS CIRCLE (COLC3050)	036	NATI	B	6,806	44.44	n/a	n/a	272.24 4.0
AO,CRT	02/01	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	PCL	B	11,300	39.90	n/a	1-Feb	339.00 3.0
AO,CXL	02/01	SCHOTTENFELD ASSOC (SCHOASSOC)	041	PCL	B	11,300	39.90	n/a	1-Feb	339.00 3.0
AO,	02/01	COLUMBUS CIRCLE (COLC3050)	036	UTEK	B	1,356	23.80	n/a	n/a	27.12 2.0
AO,	02/01	COLUMBUS CIRCLE (COLC3050)	036	UTEK	B	4,882	23.59	n/a	n/a	195.28 4.0

TOTAL (AO, CXL, CRT) :**1,561.64**

TOTAL (Trade Date):

94,118.25

TOTAL (AO, CXL, CRT):

1,561.64

TOTAL (RUN DATE) / NFS:**95,679.89**

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