



## Daily Compliance Activity Report

Trade Date: 01/14/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	ABH	S	8,681	25.41	n/a	n/a	260.43	3.0
PATTEN & PATTEN	025	AML	B	2,000	16.27	n/a	n/a	100.00	5.0
WALL STREET CAPITAL	084	ARO	S	118,075	25.09	n/a	7-Jan	5,313.40	4.5
TALKOT CAPITAL LLC	084	CBT	B	3,200	41.59	n/a	5-Jan	128.00	4.0
LANE GATE PARTNERS LLC	012	CEF	S	2,900	19.10	n/a	n/a	87.00	3.0
SURSUM CAPITAL	215	CHS	B	45,000	10.85	n/a	5-Feb	1,350.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>50,000</b>	<b>54.08</b>	<b>n/a</b>	<b>11-Jan</b>	<b>1,500.00</b>	<b>3.0</b>
MERRILL ASSET/BLACKROCK	266	CRR	S	2,400	102.77	n/a	11-Jan	96.00	4.0
CATAPULT CAP/DEFRANCO	040	CYT	B	22,400	51.04	n/a	n/a	896.00	4.0
CAXTON PART	040	DFS	B	50,000	20.28	n/a	14-Jan	1,750.00	3.5
SIGMA CAPITAL ASSOCIATES	041	DSW	SS	20,000	35.60	n/a	23-Nov	700.00	3.5
THIRD COAST CAPITAL	035	DSW	B	7,500	35.25	n/a	23-Nov	375.00	5.0
EPOCH INV MGMT	030	DVA	S	400	70.45	n/a	n/a	12.00	3.0
APEX CAPITAL MGMT.	261	EBAY	B	75,000	28.85	n/a	n/a	3,000.00	4.0
PATTEN & PATTEN	025	EWS	S	1,875	13.91	n/a	n/a	93.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Alice Longley		FCX	S	25118.3500		n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	FNSR	S	146,190	34.25	n/a	n/a	5,847.60	4.0
MERRILL ASSET/BLACKROCK	266	FOR	S	189	19.82	n/a	3-Nov	7.56	4.0
BUCK CAPITAL MGMT	001	GCO	B	34,514	37.84	n/a	n/a	1,035.42	3.0
DAVIDSON KEMPNER ADVISOR	040	GM	SS	18,975	38.37	n/a	7-Jan	948.75	5.0
CAMBIAR CAP	046	HAR	B	7,375	45.98	n/a	3-Nov	295.00	4.0
HILLIARD LYONS CAP MGMT	047	HAS	B	276	43.11	n/a	n/a	8.28	3.0
MELLON/BANK OF NEW YORK	046	HME	B	27,700	53.76	n/a	n/a	1,108.00	4.0
CATAPULT	040	HSC	SS	40,000	31.69	n/a	5-Jan	1,600.00	4.0
JETSTREAM GLOBAL FUND LP	065	HTZ	S	50,000	14.04	n/a	n/a	2,500.00	5.0
BENCHMARK	025	IIIN	S	7,500	11.92	n/a	n/a	300.00	4.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	619	62.25	n/a	n/a	24.76	4.0
DELTEC ASSET MGMT.	040	JNY	S	30,000	14.55	n/a	28-Oct	1,500.00	5.0
CAXTON PART	040	JPM	B	23,872	45.11	n/a	14-Jan	835.53	3.5
LISTED ERR	099	JPM	B	210	45.25	n/a	14-Jan	0.00	0.0
LISTED ERR	099	JPM	S	210	45.17	n/a	14-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STANDARD PACIFIC CAPITAL	040	LOW	B	100,000	24.91	n/a	13-Dec	5,000.00	5.0
PEAK INV LLC	084	MAS	B	130,000	13.95	n/a	n/a	5,200.00	4.0
CATAPULT	040	MTW	B	17,845	13.60	n/a	1-Nov	713.80	4.0
CHART WELL ADV	028	NVDA	B	204,000	23.63	n/a	n/a	8,160.00	4.0
TROUBH PART	070	NYT	S	25,000	10.15	n/a	n/a	1,250.00	5.0
HILLIARD LYONS CAP MGMT	047	PM	S	210	56.36	n/a	n/a	6.30	3.0
S.A.C. CAP/ORENSTEIN	044	PWR	SS	25,000	22.11	n/a	n/a	875.00	3.5
EPOCH INV MGMT	030	RE	S	350	83.45	n/a	n/a	10.50	3.0
MTB INV ADV	034	RRR	B	55,700	12.21	n/a	12-Jan	2,228.00	4.0
COHE & STEERS	041	RYN	S	83,583	56.95	n/a	27-Oct	3,343.32	4.0
EPOCH INV MGMT	030	SCI	S	1,250	8.42	n/a	n/a	37.50	3.0
MERRILL ASSET/BLACKROCK	266	SM	B	6,800	57.99	n/a	n/a	272.00	4.0
1798 CAP/LOMBARD ASSET	040	SPY	C	6,500	128.55	n/a	n/a	325.00	5.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	80,000	128.70	n/a	n/a	4,000.00	5.0
EPOCH INV MGMT	030	TJX	S	600	45.68	n/a	7-Jan	18.00	3.0
1798 CAP/LOMBARD ASSET	040	TKR	S	15,000	50.32	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	TMO	S	600	56.07	n/a	n/a	18.00	3.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	41.24	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	TUP	S	600	46.84	n/a	n/a	18.00	3.0
EPOCH INV MGMT	030	TXN	S	1,250	33.78	n/a	n/a	37.50	3.0
EPOCH INV MGMT	030	UNH	S	700	40.25	n/a	n/a	21.00	3.0
MADISON ST PARTNERS LLC	046	VRA	B	25,000	36.77	n/a	n/a	1,250.00	5.0
EPOCH INV MGMT	030	VTR	S	350	52.65	n/a	n/a	10.50	3.0
EPOCH INV MGMT	030	WEC	S	500	59.07	n/a	n/a	15.00	3.0
EPOCH INV MGMT	030	WFR	S	1,800	11.96	n/a	n/a	54.00	3.0
EPOCH INV MGMT	030	WM	S	850	36.69	n/a	n/a	25.50	3.0
S.A.C. CAP/ORENSTEIN	044	XLI	B	100,000	35.80	n/a	n/a	3,500.00	3.5
COBALT	041	XL	B	100,000	23.46	n/a	n/a	5,000.00	5.0
EPOCH INV MGMT	030	XOM	S	750	77.06	n/a	n/a	22.50	3.0
ONE EAST CAP ADV LP	048	XRT	SS	8,000	46.91	n/a	n/a	240.00	3.0

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**TOTAL (Trade Date):**

**75,573.90**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/13	TCWK (TCWK4085)	040	AAPL	S	16,600	345.93	n/a	n/a	830.00 5.0
AO,	01/13	TRUST CO OF THE WEST/NY (TCWK4478)	040	FLS	S	2,100	117.96	n/a	n/a	105.00 5.0
AO,	01/13	TRUST CO OF THE WEST/NY (TCWK4626)	040	FLS	S	6,900	117.96	n/a	n/a	345.00 5.0
AO,	01/13	TRUST CO OF THE WEST/NY (TCWK4752)	040	FLS	S	895	117.96	n/a	n/a	44.75 5.0
AO,	01/13	TRUST CO OF THE WEST/NY (TCWK4812)	040	FLS	S	340	117.96	n/a	n/a	17.00 5.0
AO,	01/13	TRUST CO OF THE WEST/NY (TCWK4814)	040	FLS	S	280	117.96	n/a	n/a	14.00 5.0
AO,	01/13	TRUST CO OF THE WEST/NY (TCWK4824)	040	FLS	S	660	117.96	n/a	n/a	33.00 5.0
CRT	01/14	DELTEC ASSET MGMT. (DELTMAIN)	040	JNY	S	30,000	14.55	n/a	28-Oct	1500.00 5.0
AO,	01/11	MANNING & NAPIER (MANNMJ1018)	034	SHW	S	270	83.34	n/a	5-Jan	8.10 3.0
AO,CXL	01/11	MANNING & NAPIER (MANNMJ1018)	034	SHW	S	270	83.34	n/a	5-Jan	8.10 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,888.75</b>

TOTAL (Trade Date) :	75,573.90
TOTAL (AO, CXL, CRT) :	2,888.75

<b>TOTAL (RUN DATE) / NFS :</b>	<b>78,462.65</b>
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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