



Daily Compliance Activity Report

Trade Date: 02/16/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	150	361.92	n/a	n/a	4.50	3.0
GALT INVESTMENT	041	ABG	S	30,000	19.05	n/a	31-Jan	1,200.00	4.0
EPOCH INV MGMT	030	ABT	B	200	46.57	n/a	n/a	6.00	3.0
ST OF MICHIAN	047	AEO	B	180,000	15.90	n/a	4-Feb	5,400.00	3.0
EPOCH INV MGMT	030	AET	B	300	37.96	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	AMP	B	350	64.13	n/a	n/a	10.50	3.0
IMPALA ASSET MMT	012	ANR	SS	25,000	57.46	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	AWI	S	50,000	43.60	n/a	n/a	2,500.00	5.0
MILLENIUM PARTNERS	028	AXL	B	40,000	14.60	n/a	9-Feb	1,600.00	4.0
EPOCH INV MGMT	030	AXP	B	200	46.50	n/a	16-Feb	6.00	3.0
EPOCH INV MGMT	030	BA	B	200	72.23	n/a	15-Feb	6.00	3.0
RBC CAPITAL MARKETS	040	BA	SS	5,000	72.52	n/a	15-Feb	200.00	4.0
BNP PARIBAS SEC	040	BBY	SS	65,000	32.97	n/a	n/a	3,250.00	5.0
SHEFFIELD ASSET MGMT	031	BBY	S	130,000	32.64	n/a	n/a	6,500.00	5.0
EPOCH INV MGMT	030	BEN	B	150	129.55	n/a	2-Mar	4.50	3.0

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IMPALA ASSET MMT	012	CISG	SS	150,000	17.77	n/a	n/a	6,000.00	4.0
EPOCH INV MGMT	030	CMCSK	B	700	23.46	n/a	n/a	21.00	3.0
GALT INVESTMENT	041	CPKI	B	25,000	17.88	n/a	14-Feb	1,000.00	4.0
EPOCH INV MGMT	030	CSC	B	150	47.69	n/a	n/a	4.50	3.0
MILLENIUM PARTNERS	028	DAN	S	40,000	18.36	n/a	31-Jan	1,600.00	4.0
SCOPUS FUND	041	DAN	S	30,000	18.49	n/a	31-Jan	1,200.00	4.0
EPOCH INV MGMT	030	DD	B	250	54.43	n/a	25-Jan	7.50	3.0
EPOCH INV MGMT	030	DELL	B	650	15.30	n/a	n/a	19.50	3.0
EPOCH INV MGMT	030	DELL	S	2,800	15.27	n/a	n/a	84.00	3.0
EPOCH INV MGMT	030	DHR	S	1,250	51.60	n/a	n/a	37.50	3.0
COUGAR TRADING	044	DLTR	B	10,000	54.21	n/a	21-Jan	500.00	5.0
COUGAR TRADING	044	DLTR	SS	5,000	53.54	n/a	21-Jan	250.00	5.0
EPOCH INV MGMT	030	DVA	B	150	79.95	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	DVA	S	1,000	80.00	n/a	n/a	30.00	3.0
EPOCH INV MGMT	030	DVN	B	200	86.70	n/a	11-Jan	6.00	3.0
EPOCH INV MGMT	030	DVN	S	550	87.27	n/a	11-Jan	16.50	3.0
CAERUS GLOBAL	041	EAT	SS	40,943	23.91	n/a	26-Jan	1,637.72	4.0
EPOCH INV MGMT	030	ENDP	B	450	35.00	n/a	16-Feb	13.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	ERTS	B	300	19.57	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	ERTS	S	1,750	19.50	n/a	n/a	52.50	3.0
IMPALA ASSET MMT	012	FCX	B	50,000	55.21	n/a	n/a	2,500.00	5.0
LAGRANGE CAP ADV	048	FII	S	7,400	27.90	n/a	2-Mar	370.00	5.0
CHILTON CAPITAL MGMT.	036	F	S	200,000	16.02	n/a	2-Feb	6,000.00	3.0
EPOCH INV MGMT	030	GLW	B	650	22.34	n/a	11-Feb	19.50	3.0
EPOCH INV MGMT	030	GLW	S	2,650	22.45	n/a	11-Feb	79.50	3.0
WAGONHOUND/NIC	289	GS	S	9,851	168.77	n/a	14-Feb	394.04	4.0
SURSUM CAPITAL	215	HIBB	B	24,600	32.36	n/a	n/a	738.00	3.0
IMPALA ASSET MMT	012	ICON	B	100,000	20.51	n/a	n/a	4,000.00	4.0
EPOCH INV MGMT	030	IGT	B	500	17.25	n/a	27-Jan	15.00	3.0
EPOCH INV MGMT	030	IGT	S	2,100	17.23	n/a	27-Jan	63.00	3.0
EPOCH INV MGMT	030	IR	B	150	47.82	n/a	10-Feb	4.50	3.0
DENVER INST. ADV	046	JOSB	S	52,950	46.66	n/a	n/a	2,118.00	4.0
CAXTON PART	040	JPM	B	25,773	47.76	n/a	16-Feb	902.07	3.5
SURSUM CAPITAL	215	JWN	S	10,000	46.73	n/a	7-Feb	300.00	3.0
HOTCHKIS & WILEY	035	KEY	S	145,600	9.60	n/a	n/a	7,280.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	LEA	B	9,000	111.87	n/a	2-Feb	360.00	4.0
M&I FUNDS	047	LEA	B	2,515	109.11	n/a	2-Feb	100.60	4.0
EPOCH INV MGMT	030	LH	B	200	88.30	n/a	n/a	6.00	3.0
EPOCH INV MGMT	030	LH	S	650	88.11	n/a	n/a	19.50	3.0
BUCK CAPITAL MGMT	001	LL	S	20,000	28.12	n/a	n/a	600.00	3.0
SONTERRA CAP	041	LMT	SS	50,000	80.84	n/a	15-Feb	2,000.00	4.0
EPOCH INV MGMT	030	MET	B	400	47.26	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	MET	S	1,400	47.34	n/a	n/a	42.00	3.0
EPOCH INV MGMT	030	MSFT	B	850	27.02	n/a	n/a	25.50	3.0
EPOCH INV MGMT	030	MSFT	S	3,650	27.01	n/a	n/a	109.50	3.0
WAGONHOUND/NIC	289	MS	B	50,010	30.66	n/a	14-Feb	2,000.40	4.0
RIDGECREST INV MGMT LLC	028	MWV	B	10,000	30.32	n/a	26-Jan	500.00	5.0
CASTLE ARK	031	NFLX	S	47,770	239.07	n/a	n/a	2,388.50	5.0
AVESTA CAP	229	NOK	SS	100,000	9.05	n/a	n/a	3,000.00	3.0
EPOCH INV MGMT	030	NOV	B	200	79.58	n/a	n/a	6.00	3.0
EPOCH INV MGMT	030	OKE	B	250	61.81	n/a	n/a	7.50	3.0
EPOCH INV MGMT	030	ORCL	B	450	32.74	n/a	n/a	13.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENNANT CAP MGMT	029	ORI	S	150,160	12.80	n/a	n/a	4,504.80	3.0
LAGRANGE CAP ADV	048	PAG	B	10,000	21.20	n/a	15-Feb	500.00	5.0
BUTTE CAPITAL MGMT LLC	084	PCAR	B	10,000	52.92	n/a	2-Feb	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	PCAR	B	60,000	53.21	n/a	2-Feb	3,000.00	5.0
HUNTER GLOBAL INVESTOR	028	PH	SS	136,431	91.16	n/a	21-Jan	6,821.55	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	60.39	n/a	1-Feb	300.00	3.0
LANE GATE PARTNERS LLC	012	RRR	B	4,200	13.23	n/a	12-Jan	126.00	3.0
MFP INVESTORS	085	RURL	B	5,500	13.99	n/a	n/a	275.00	5.0
CAERUS GLOBAL	041	SHLD	S	12,500	88.70	n/a	n/a	500.00	4.0
LITESPEED	028	SSCC	S	55,000	39.91	n/a	7-Jan	1,650.00	3.0
CLOVIS CAPITAL	012	SWY	B	75,000	22.08	n/a	n/a	2,250.00	3.0
FIRST NEW YORK NICK	029	S	S	10,000	4.47	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	53.79	n/a	4-Feb	600.00	3.0
MERRILL ASSET/BLACKROCK	266	THFF	S	10,000	32.05	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	TIE	S	20,000	20.46	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	TRN	B	40,000	31.48	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	UNP	S	10,000	97.96	n/a	n/a	500.00	5.0
LANE GATE PARTNERS LLC	012	URI	B	1,700	32.95	n/a	n/a	51.00	3.0
FARALLON CAP MGMT	040	WFC	S	200,000	32.92	n/a	14-Feb	8,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	26,000	53.97	n/a	20-Jan	780.00	3.0
T. ROWE PRICE	033	WY	S	93,700	25.20	n/a	4-Feb	3,748.00	4.0
TOTAL (Trade Date):							107,821.18		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/16	SONTERRA CAP (SONTGSRBUK)	041	LMT	SS	50,000	80.84	n/a	15-Feb	2000.00 4.0
CRT	02/16	LITESPEED (LITEUBS)	028	SSCC	S	55,000	39.91	n/a	7-Jan	1650.00 3.0
TOTAL (AO, CXL, CRT) :										3,650.00

TOTAL (Trade Date):	107,821.18
TOTAL (AO, CXL, CRT):	3,650.00

TOTAL (RUN DATE) / NFS:	111,471.18
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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