



## Daily Compliance Activity Report

Trade Date: 01/07/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	ARO	B	25,000	24.81	n/a	7-Jan	750.00	3.0
RBC CAPITAL MARKETS	040	BA	S	20,000	69.34	n/a	22-Nov	800.00	4.0
TRUST CO/COWEN/CALF.	040	BHI	S	88,680	56.63	n/a	n/a	4,434.00	5.0
BMO NESBITT BURNS	041	BWS	S	2,900	13.08	n/a	n/a	174.00	6.0
GEORGE WEISS	034	BZ	B	50,000	8.15	n/a	n/a	1,500.00	3.0
SURSUM CAPITAL	215	CHRS	S	127,900	3.45	n/a	n/a	3,837.00	3.0
SAC TRADING TOM LEDDY	035	CL	B	30,000	78.06	n/a	8-Nov	1,050.00	3.5
SURSUM CAPITAL	215	COH	SS	15,000	52.77	n/a	27-Oct	450.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>SS</b>	<b>50,000</b>	<b>28.72</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>3.0</b>
DELTEC ASSET MGMT.	040	CSCO	B	10,000	20.95	n/a	n/a	500.00	5.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	15,000	17.46	n/a	n/a	750.00	5.0
STANDARD PACIFIC CAPITAL	040	CX	B	200,000	10.64	n/a	n/a	10,000.00	5.0
MELLON/BANK OF NEW YORK	046	CYBX	S	2,900	33.97	n/a	n/a	116.00	4.0
WAGONHOUND/NIC	289	C	B	30,000	4.99	n/a	6-Jan	600.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	DG	SS	29,500	29.85	n/a	16-Dec	1,180.00	4.0
CAVU CAP ADV	028	DRI	B	15,000	46.84	n/a	7-Jan	750.00	5.0
CATAPULT	040	EMN	B	5,000	87.61	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	FCX	SS	10,000	115.73	n/a	n/a	400.00	4.0
MILLENIUM PARTNERS	028	FDX	B	20,000	93.54	n/a	n/a	800.00	4.0
BASIX	033	FL	B	54,000	18.93	n/a	22-Dec	1,620.00	3.0
STELLIAM INV ADV	034	FTO	S	17,500	18.53	n/a	n/a	875.00	5.0
OSKIE CAPITAL MGMT	224	F	B	10,000	18.18	n/a	7-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>20,000</b>	<b>42.81</b>	<b>n/a</b>	<b>24-Nov</b>	<b>600.00</b>	<b>3.0</b>
SCHOTTENFELD ASSOC	041	GES	B	10,000	42.89	n/a	24-Nov	300.00	3.0
OSKIE CAPITAL MGMT	224	GNW	B	10,000	14.23	n/a	n/a	500.00	5.0
SURSUM CAPITAL	215	GPS	B	35,000	20.47	n/a	n/a	1,050.00	3.0
OSKIE CAPITAL MGMT	224	HEES	B	10,000	12.00	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	IP	S	25,000	27.96	n/a	7-Jan	1,250.00	5.0
S.A.C. CAP/ORENSTEIN	044	IP	SS	100,000	28.03	n/a	7-Jan	3,500.00	3.5
SCOPUS FUND	041	JCI	SS	60,000	40.23	n/a	5-Jan	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	JNY	S	54,900	14.57	n/a	28-Oct	2,745.00	5.0
OSKIE CAPITAL MGMT	224	JPM	S	9,000	44.03	n/a	7-Jan	450.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>42.37</b>	<b>n/a</b>	<b>7-Jan</b>	<b>300.00</b>	<b>3.0</b>
LEVIN CAPITAL STRATEGIES	012	LEA	B	25,000	105.99	n/a	7-Jan	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	40,000	10.03	n/a	8-Nov	2,000.00	5.0
KACELA CAPITAL	034	M	B	45,000	23.39	n/a	7-Jan	1,800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>B</b>	<b>20,000</b>	<b>4.98</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>2.0</b>
ARMATURE CAPITAL	041	OI	B	50,000	31.32	n/a	n/a	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	OMC	B	374,256	46.95	n/a	n/a	14,970.24	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>S</b>	<b>10,000</b>	<b>27.24</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
WEISS PECK	040	PAG	S	44,920	16.38	n/a	7-Jan	2,246.00	5.0
ROTHSCHILD ASSET	040	PII	B	9,939	71.74	n/a	n/a	397.56	4.0
BMO NESBITT BURNS	041	PKG	B	9,000	27.50	n/a	7-Jan	360.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	27.51	n/a	7-Jan	1,000.00	5.0
METROPOLITAN CAPITAL	044	PLCE	B	6,200	44.81	n/a	6-Jan	310.00	5.0
BMO NESBITT BURNS	041	PSS	B	6,000	20.59	n/a	n/a	360.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	QID	S	10,000	11.14	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	266	RE	S	3,500	82.43	n/a	n/a	140.00	4.0
MERRILL ASSET/BLACKROCK	266	RGA	B	7,100	56.57	n/a	n/a	284.00	4.0
SENATOR INVESTMENT GROUP	036	RJET	S	50,000	7.35	n/a	n/a	1,500.00	3.0
DSG CAPITAL	012	RRR	S	10,100	11.89	n/a	25-Oct	505.00	5.0
MANNING & NAPIER	034	SHW	S	6,800	83.01	n/a	5-Jan	204.00	3.0
RBC CAPITAL MARKETS	040	SPR	S	10,000	20.98	n/a	5-Nov	400.00	4.0
COLUMBUS CAP MGMT LLC	084	SRI	B	50,000	16.47	n/a	n/a	2,500.00	5.0
HOLLIS CAPITAL	033	SSCC	S	10,000	26.82	n/a	7-Jan	500.00	5.0
GEORGE WEISS	034	SVN	B	30,000	21.42	n/a	n/a	1,200.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.59	n/a	n/a	800.00	4.0
CASTLE ARK	031	TDC	B	177,661	44.03	n/a	n/a	8,883.05	5.0
COUGAR TRADING	044	TGT	B	10,000	54.99	n/a	7-Jan	500.00	5.0
MERRILL ASSET/BLACKROCK	266	THG	S	14,761	46.16	n/a	n/a	590.44	4.0
SURSUM CAPITAL	215	TIF	S	15,000	58.96	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	TIN	S	9,000	22.55	n/a	7-Jan	360.00	4.0
SURSUM CAPITAL	215	TLB	S	51,997	7.55	n/a	n/a	1,559.91	3.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	64,200	40.07	n/a	n/a	1,926.00	3.0
MILLENIUM PARTNERS	028	UPS	S	25,000	72.51	n/a	n/a	1,000.00	4.0
SURSUM CAPITAL	215	URBN	S	30,000	35.66	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	VFC	SS	20,000	81.97	n/a	22-Oct	600.00	3.0
OSKIE CAPITAL MGMT	224	WFC	S	10,000	31.83	n/a	6-Jan	500.00	5.0
MERRILL ASSET/BLACKROCK	266	WLL	S	7,000	112.07	n/a	n/a	280.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	49.78	n/a	9-Nov	1,500.00	3.0
CAERUS GLOBAL	041	WRC	B	25,000	49.80	n/a	9-Nov	1,000.00	4.0
LATEFF MGMT	035	WRIPRF	B	2,000	22.68	n/a	n/a	250.00	12.5
TOTAL (Trade Date):								101,907.20	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/06	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	C	S	10,000	4.95	n/a	6-Jan	300.00 3.0
AO,CXL	01/06	SCHOTTENFELD ASSOC (SCHOASSOC)	041	C	S	10,000	4.95	n/a	6-Jan	300.00 3.0
AO,CXL	01/06	ADAGE CAPITAL MGMT (ADAGCSFB)	030	GES	SS	55,654	44.85	n/a	24-Nov	1669.62 3.0
AO,CRT	01/06	ADAGE CAPITAL MGMT (ADAGESHORT)	030	GES	SS	55,654	44.85	n/a	24-Nov	1669.62 3.0
AO,CXL	01/06	MATRIX ASSET ADV. (MATXVALLMH)	091	KO	B	2,000	63.23	n/a	23-Dec	0.00 0.0
AO,CRT	01/06	MATRIX ASSET ADV. (MATXVALLMH)	091	KO	B	2,000	63.23	n/a	23-Dec	80.00 4.0
AO,	01/06	MERCHANTS GATE CAP LP (MERGGSPB)	036	PVH	SS	36,400	62.00	n/a	3-Dec	1456.00 4.0
AO,CXL	01/06	MERCHANTS GATE CAP LP (MERGUBSPB)	036	PVH	SS	36,400	62.00	n/a	3-Dec	1456.00 4.0
AO,	01/06	LEVIN CAPITAL STRATEGIES (LEVSILTPOB)	012	TGT	B	2,945	55.02	n/a	7-Jan	88.35 3.0
AO,CXL	01/06	LEVIN CAPITAL STRATEGIES (LEVSILTRS)	012	TGT	B	2,945	55.02	n/a	7-Jan	88.35 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>80.00</b>

TOTAL (Trade Date) :	101,907.20
TOTAL (AO, CXL, CRT) :	80.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>101,987.20</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