



Daily Compliance Activity Report

Trade Date: 02/11/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
BNP PARIBAS SEC	040	AKS	B	20,000	15.92	n/a	n/a	1,000.00	5.0	
CASTLEROCK	040	AKS	SS	59,404	15.42	n/a	n/a	2,376.16	4.0	
RIDGECREST INV MGMT LLC	028	ARM	B	5,000	19.60	n/a	n/a	250.00	5.0	
MERRILL ASSET/BLACKROCK	266	BAC	B	259,800	14.76	n/a	11-Feb	10,392.00	4.0	
GLOBAL 56 LLC	060	BONT	S	2,000	14.45	n/a	n/a	100.00	5.0	
EPOCH INV MGMT	030	CAM	S	350	56.55	n/a	n/a	10.50	3.0	
CROWN CAP MGMT	084	CBEH	SS	20,000	5.82	n/a	n/a	1,000.00	5.0	
SCOPIA CAPITAL	048	CHK	B	41,943	30.72	n/a	n/a	1,677.72	4.0	
EPOCH INV MGMT	030	CNW	S	450	32.29	n/a	n/a	13.50	3.0	
EPOCH INV MGMT	030	COL	S	250	66.97	n/a	21-Jan	7.50	3.0	
EPOCH INV MGMT	030	CPO	S	450	47.93	n/a	n/a	13.50	3.0	
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	CVGI	B	10,000	16.68		n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	DAN	B	10,000	18.22	n/a	31-Jan	800.00	8.0	
EPOCH INV MGMT	030	DAN	S	1,300	18.43	n/a	31-Jan	39.00	3.0	
MTB INV ADV	034	DAN	S	10,400	18.44	n/a	31-Jan	520.00	5.0	
RIDGECREST INV MGMT LLC	028	DAN	B	15,000	18.54	n/a	31-Jan	750.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	DDS	B	25,000	42.40	n/a	n/a	875.00	3.5
EPOCH INV MGMT	030	DRQ	S	100	77.47	n/a	n/a	3.00	3.0
BASIX	033	EAT	B	23,000	24.53	n/a	26-Jan	690.00	3.0
Õ Nilsa Vazquez		FALC	S	3000	40.8008	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	FRED	SS	7,000	13.00	n/a	n/a	210.00	3.0
BALYASNY ASSET MGMT	044	F	SS	100,000	16.09	n/a	2-Feb	5,000.00	5.0
FIRST NY SEC/CHRIS	041	F	S	50,000	16.13	n/a	2-Feb	2,500.00	5.0
MTB INV ADV	034	GMAN	B	5,175	16.28	n/a	n/a	258.75	5.0
EPOCH INV MGMT	030	GPC	S	500	54.05	n/a	n/a	15.00	3.0
GEORGE WEISS	034	GPS	SS	46,000	21.36	n/a	n/a	1,840.00	4.0
ARMATURE CAPITAL	041	GR	SS	25,000	92.81	n/a	4-Feb	1,000.00	4.0
IMPALA ASSET MMT	012	HAL	S	38,600	44.20	n/a	n/a	1,930.00	5.0
ACK ASSET	028	HBI	S	1,500	25.84	n/a	28-Jan	45.00	3.0
KLEINHEINZ CAP PART	031	HBI	S	25,000	25.57	n/a	28-Jan	1,250.00	5.0
SCOPIA CAPITAL	048	HK	B	25,684	19.98	n/a	n/a	1,027.36	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	65,000	29.31	n/a	3-Feb	3,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOUTH POINT CAP	044	IR	B	200,000	47.22	n/a	10-Feb	10,000.00	5.0
SAC CHICAGO ANDREW	031	JNY	B	62,500	13.81	n/a	10-Feb	2,187.50	3.5
TRUSTCO/SUNTRUST	040	JNY	S	118,200	13.81	n/a	10-Feb	4,137.09	3.5
CROWN CAP MGMT	084	LAVA	S	35,000	6.06	n/a	n/a	1,750.00	5.0
BMO NESBITT BURNS	041	LEA	B	2,000	107.71	n/a	2-Feb	160.00	8.0
DISCIPLINED GROWTH INV.	030	LTD	S	5,400	32.91	n/a	n/a	270.00	5.0
KACELA CAPITAL	034	LTD	S	110,000	32.94	n/a	n/a	4,400.00	4.0
EPOCH INV MGMT	030	MAS	S	1,300	14.22	n/a	n/a	39.00	3.0
SURVEYOR CAPITAL	041	MSFT	S	100,000	27.34	n/a	n/a	3,000.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	29.49	n/a	26-Jan	1,250.00	5.0
PERRY PARTNERS	085	MWV	B	67,573	29.94	n/a	26-Jan	3,378.65	5.0
SCOPUS FUND	041	MWV	B	25,000	29.90	n/a	26-Jan	1,000.00	4.0
BMO NESBITT BURNS	041	NDN	B	4,000	16.57	n/a	3-Feb	120.00	3.0
GREEN ARROW DOUG	040	NDN	B	25,000	16.54	n/a	3-Feb	1,000.00	4.0
EPOCH INV MGMT	030	NYX	S	750	37.74	n/a	n/a	22.50	3.0
DISCIPLINED GROWTH INV.	030	RCL	S	3,900	48.17	n/a	n/a	195.00	5.0
GEORGE WEISS	034	SBUX	B	30,000	33.33	n/a	27-Jan	900.00	3.0
SIGMA CAPITAL ASSOCIATES	041	SKX	SS	25,000	22.46	n/a	n/a	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOUTH POINT CAP	044	SPY	B	25,000	133.19	n/a	n/a	1,250.00	5.0
LITESPEED	028	SSCC	S	30,000	39.28	n/a	7-Jan	900.00	3.0
BMO NESBITT BURNS	041	SVU	S	10,000	8.17	n/a	n/a	300.00	3.0
MTB INV ADV	034	SXCI	B	4,150	51.06	n/a	n/a	207.50	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.54	n/a	n/a	800.00	4.0
LISTED ERR	099	S	B	20,000	4.60	n/a	n/a	0.00	0.0
LISTED ERR	099	S	S	20,000	4.54	n/a	n/a	0.00	0.0
MTB INV ADV	034	TEN	S	5,150	43.34	n/a	n/a	257.50	5.0
DISIPLINED GROWTH INV.	030	TJX	S	6,200	50.90	n/a	7-Feb	310.00	5.0
MERRILL ASSET/BLACKROCK	266	TMO	B	28,100	57.16	n/a	n/a	1,124.00	4.0
MERRILL ASSET/BLACKROCK	266	TTI	B	19,700	12.18	n/a	n/a	788.00	4.0
LISTED ERR	099	TTI	SS	278	12.20	n/a	n/a	0.00	0.0
SCOPUS FUND	041	UFS	B	400	90.20	n/a	n/a	16.00	4.0
RBC CAPITAL MARKETS	040	VALE	S	30,000	34.40	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	V	S	250	74.97	n/a	3-Feb	7.50	3.0
EPOCH INV MGMT	030	WAB	S	350	57.02	n/a	n/a	10.50	3.0
MERRILL ASSET/BLACKROCK	266	WLL	S	7,000	122.05	n/a	n/a	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	400,000	55.70	n/a	27-Jan	14,000.00	3.5
EPOCH INV MGMT	030	WM	S	600	38.14	n/a	n/a	18.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	55.66	n/a	20-Jan	300.00	3.0
EPOCH INV MGMT	030	WRC	S	300	56.08	n/a	20-Jan	9.00	3.0
IMPALA ASSET MMT	012	WYN	S	16,400	29.42	n/a	n/a	656.00	4.0
EPOCH INV MGMT	030	XOM	S	450	82.86	n/a	n/a	13.50	3.0
EPOCH INV MGMT	030	YHOO	S	900	16.81	n/a	n/a	27.00	3.0
TOTAL (Trade Date):								96,403.23	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									96,403.23
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									96,403.23
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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