



Daily Compliance Activity Report

Trade Date: 02/04/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	AA	B	50,000	17.04	n/a	n/a	2,000.00	4.0
OSKIE CAPITAL MGMT	224	AA	B	50,000	17.27	n/a	n/a	2,500.00	5.0
EMERSON CAPITAL MGMT	048	AEO	B	34,000	14.84	n/a	4-Feb	1,020.00	3.0
Õ James Mitchell		AXE	B	150	67.5000	n/a	1-Feb	0.00	0.0
WEISS PECK	040	CAKE	C	9,800	30.41	n/a	11-Jan	490.00	5.0
NEW JERSEY DIV OF INV.	030	CL	B	60,000	76.06	n/a	14-Jan	2,400.00	4.0
SCOPUS FUND	041	COH	B	25,000	54.45	n/a	26-Jan	1,000.00	4.0
1798 CAP/LOMBARD ASSET	040	CSX	B	13,000	69.93	n/a	n/a	650.00	5.0
ISLE RIDGE PARTNERS	041	CTB	SS	35,000	22.10	n/a	n/a	1,400.00	4.0
NEW JERSEY DIV OF INV.	030	CYH	B	50,000	36.66	n/a	n/a	2,000.00	4.0
SCHOTTENFELD ASSOC	041	C	B	25,000	4.80	n/a	18-Jan	1,250.00	5.0
M&I FUNDS	047	DRI	B	7,316	49.12	n/a	2-Feb	292.64	4.0
NEW JERSEY DIV OF INV.	030	ECL	B	50,000	50.23	n/a	5-Jan	2,000.00	4.0
NEW JERSEY DIV OF INV.	030	EPR	B	20,000	45.61	n/a	n/a	800.00	4.0
Õ James Mitchell		FAS	B	800	30.8967	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	FCEA	S	147,913	17.36	n/a	n/a	5,916.52	4.0
NEW JERSEY DIV OF INV.	030	FDX	B	10,000	91.23	n/a	n/a	400.00	4.0
Õ James Mitchell		FITB	S	900	15.3321	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	FLS	S	9,230	127.81	n/a	n/a	369.20	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	18.05	n/a	3-Nov	400.00	4.0
TROUBH PART	070	FXI	SS	25,000	42.63	n/a	n/a	1,250.00	5.0
AVESTA CAP	229	F	SS	300,000	15.78	n/a	2-Feb	9,000.00	3.0
GRANITE CAPITAL	028	GES	B	30,000	45.41	n/a	20-Jan	1,500.00	5.0
PHILADELPHIA FINANCIAL	033	GM	SS	36,597	36.01	n/a	2-Feb	1,463.88	4.0
SOROS	036	GTE	S	44,175	9.00	n/a	n/a	1,767.00	4.0
KLEINHEINZ CAP PART	031	HBI	B	50,000	25.56	n/a	28-Jan	2,500.00	5.0
LANE GATE PARTNERS LLC	012	HD	B	2,000	36.70	n/a	13-Dec	60.00	3.0
NEW JERSEY DIV OF INV.	030	IBM	B	10,000	163.60	n/a	n/a	400.00	4.0
SOROS	036	INTC	C	350,000	21.67	n/a	n/a	14,000.00	4.0
CHARTER OAK	033	ITRI	S	50,000	63.03	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ James Mitchell		IWM	B	450	79.7564	n/a	n/a	0.00	0.0
LANE GATE PARTNERS LLC	012	JCI	B	1,000	37.88	n/a	20-Jan	30.00	3.0
LANE GATE PARTNERS LLC	012	JOE	B	2,500	27.37	n/a	n/a	75.00	3.0
PZENA INV ADV	044	JPM	S	600	44.40	n/a	14-Jan	21.00	3.5
Õ James Mitchell		KEY	S	1800	9.4842	n/a	n/a	0.00	0.0
CATAPULT	040	KNL	B	3,200	18.97	n/a	n/a	128.00	4.0
OSKIE CAPITAL MGMT	224	K	S	4,000	53.40	n/a	n/a	200.00	5.0
PZENA INV ADV	044	LLL	S	175	78.51	n/a	n/a	6.13	3.5
WEISS PECK	040	LULU	C	4,000	76.76	n/a	n/a	200.00	5.0
NEUBERGER BERMAN	036	MAC	B	44,100	48.40	n/a	n/a	1,764.00	4.0
PZENA INV ADV	044	MAS	S	4,525	13.87	n/a	n/a	158.38	3.5
PZENA INV ADV	044	MS	S	650	29.67	n/a	20-Jan	22.75	3.5
MATRIX ASSET ADV.	091	MWW	B	4,500	15.85	n/a	n/a	135.00	3.0
BUCK CAPITAL MGMT	001	M	B	40,000	22.71	n/a	4-Feb	1,200.00	3.0
SOROS	036	NCS	S	2,187	13.50	n/a	n/a	87.48	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	NDN	B	100,000	15.97	n/a	3-Feb	4,000.00	4.0
PZENA INV ADV	044	NOC	S	400	69.37	n/a	14-Jan	14.00	3.5
CATAPULT	040	NX	S	5,000	19.40	n/a	n/a	200.00	4.0
WATERFRONT CAP	028	PETM	B	50,000	41.42	n/a	n/a	2,000.00	4.0
SURSUM CAPITAL	215	PG	S	10,000	63.67	n/a	28-Jan	300.00	3.0
PZENA INV ADV	044	PNC	S	125	61.94	n/a	n/a	4.38	3.5
SURSUM CAPITAL	215	PVH	SS	10,000	61.77	n/a	1-Feb	300.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	RICK	B	3,500	9.05	n/a	n/a	175.00	5.0
PZENA INV ADV	044	RNR	S	200	66.63	n/a	n/a	7.00	3.5
SURSUM CAPITAL	215	SHOO	B	20,000	41.40	n/a	n/a	600.00	3.0
CADIAN CAPITAL	041	SKX	B	125,000	22.84	n/a	n/a	3,750.00	3.0
Õ James Mitchell		SLM	S	500	14.4437	n/a	2-Feb	0.00	0.0
HUNTER GLOBAL INVESTOR	028	SPW	B	93,700	82.83	n/a	n/a	4,685.00	5.0
Õ James Mitchell		SPY	B	380	130.9267	n/a	n/a	0.00	0.0
TROUBH PART	070	SPY	B	50,000	131.00	n/a	n/a	2,500.00	5.0
TROUBH PART	070	SPY	SS	25,000	130.92	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LITESPEED	028	SSCC	S	135,000	38.37	n/a	7-Jan	4,050.00	3.0
Õ James Mitchell		STI	S	400	31.2900	n/a	n/a	0.00	0.0
PZENA INV ADV	044	STT	S	200	46.24	n/a	20-Jan	7.00	3.5
PZENA INV ADV	044	TEL	S	900	36.64	n/a	n/a	31.50	3.5
TRELLUS PARTNERS LP	028	TEN	SS	20,000	39.68	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	B	14,716	15.75	n/a	n/a	588.64	4.0
PZENA INV ADV	044	TMK	S	425	63.59	n/a	n/a	14.88	3.5
OSKIE CAPITAL MGMT	224	UAL	S	10,000	25.37	n/a	n/a	500.00	5.0
PZENA INV ADV	044	UBS	S	1,600	18.36	n/a	n/a	56.00	3.5
ISLE RIDGE PARTNERS	041	UNP	B	30,000	94.05	n/a	n/a	1,200.00	4.0
CAERUS GLOBAL	041	VFC	B	5,000	86.51	n/a	20-Jan	200.00	4.0
MATRIX ASSET ADV.	091	VLO	S	2,500	26.51	n/a	n/a	100.00	4.0
PZENA INV ADV	044	VLO	S	650	26.48	n/a	n/a	22.75	3.5
Õ James Mitchell		VMC	B	250	42.9008	n/a	n/a	0.00	0.0
SAC CHICAGO ANDREW	031	WAG	B	38,732	42.22	n/a	n/a	1,355.62	3.5
CATAPULT	040	WRC	B	25,000	54.28	n/a	20-Jan	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	WSH	S	500	37.49	n/a	n/a	17.50	3.5
LEVEL GLOBAL SHARED ACCT	257	WSM	S	50,000	33.93	n/a	n/a	1,500.00	3.0
PZENA INV ADV	044	XOM	S	425	83.13	n/a	n/a	14.88	3.5
PZENA INV ADV	044	ZMH	S	400	60.34	n/a	n/a	14.00	3.5
TOTAL (Trade Date) :								94,815.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/02	GREEN ARROW DOUG (GADRMS)	040	CAR	B	78,300	14.30	n/a	n/a	3132.00 4.0
AO,CRT	02/02	GREEN ARROW DOUG (GADRMS)	040	CAR	B	12,600	14.15	n/a	n/a	504.00 4.0
AO,CRT	02/02	GREEN ARROW DOUG (GADRMS)	040	CAR	B	31,100	14.14	n/a	n/a	1244.00 4.0
AO,CXL	02/02	GREEN ARROW DOUG (GADRMLICS)	040	CAR	B	78,300	14.30	n/a	n/a	3132.00 4.0
AO,CXL	02/02	GREEN ARROW DOUG (GADRMLICS)	040	CAR	B	12,600	14.15	n/a	n/a	504.00 4.0
AO,CXL	02/02	GREEN ARROW DOUG (GADRMLICS)	040	CAR	B	31,100	14.14	n/a	n/a	1244.00 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	FL	S	125,200	17.69	n/a	22-Dec	5008.00 4.0
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	FL	S	125,200	17.69	n/a	22-Dec	5008.00 4.0
AO,CRT	02/03	GREEN ARROW DOUG (GADRMS)	040	JWN	SS	40,000	41.96	n/a	4-Feb	1600.00 4.0
AO,CXL	02/03	GREEN ARROW DOUG (GADRMLICS)	040	JWN	SS	40,000	41.96	n/a	4-Feb	1600.00 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	MOD	B	96,700	16.69	n/a	n/a	3868.00 4.0
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	MOD	B	96,700	16.69	n/a	n/a	3868.00 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	NETL	S	95,700	39.23	n/a	n/a	3828.00 4.0
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	NETL	S	95,700	39.23	n/a	n/a	3828.00 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	NTCT	B	9,200	23.96	n/a	n/a	368.00 4.0
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	NTCT	B	9,200	23.96	n/a	n/a	368.00 4.0
AO,CXL	02/01	SCOPUS FUND (SCOPGS)	041	PCL	B	2,964	40.53	n/a	1-Feb	118.56 4.0
AO,CRT	02/01	SCOPUS FUND (SCOPGS)	041	PCL	B	4,446	40.53	n/a	1-Feb	177.84 4.0
AO,CXL	02/01	SCOPUS FUND (SCOPUBS)	041	PCL	B	19,836	40.53	n/a	1-Feb	793.44 4.0
AO,CRT	02/01	SCOPUS FUND (SCOPUBS)	041	PCL	B	18,354	40.53	n/a	1-Feb	734.16 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	RADS	S	76,600	18.67	n/a	n/a	3064.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	RADS	S	76,600	18.67	n/a	n/a	3064.00 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	SBNY	S	46,500	52.12	n/a	n/a	1860.00 4.0
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	SBNY	S	46,500	52.12	n/a	n/a	1860.00 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	SLGN	B	23,800	37.50	n/a	n/a	952.00 4.0
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	SLGN	B	23,800	37.50	n/a	n/a	952.00 4.0
AO,CRT	02/03	FORWARD MGMT (FORWSCEQFD)	033	SONO	S	10,700	33.78	n/a	n/a	428.00 4.0
AO,CXL	02/03	FORWARD MGMT (FORWLGCAPE)	033	SONO	S	10,700	33.78	n/a	n/a	428.00 4.0
AO,CXL	02/01	SCOPUS FUND (SCOPGS)	041	SPLS	S	7,800	22.71	n/a	n/a	312.00 4.0
AO,CRT	02/01	SCOPUS FUND (SCOPGS)	041	SPLS	S	11,700	22.71	n/a	n/a	468.00 4.0
AO,CXL	02/01	SCOPUS FUND (SCOPUBS)	041	SPLS	S	52,200	22.71	n/a	n/a	2088.00 4.0
AO,CRT	02/01	SCOPUS FUND (SCOPUBS)	041	SPLS	S	48,300	22.71	n/a	n/a	1932.00 4.0
AO,	02/03	WAGONHOUND/NIC (WAGOX41B)	289	WAB	B	2,805	54.99	n/a	n/a	112.20 4.0
AO,	02/03	WAGONHOUND/NIC (WAGONIC)	289	WAB	B	3,046	54.99	n/a	n/a	121.84 4.0
AO,CXL	02/03	CAXTON PART (CAXTKF02MS)	040	WY	S	14,809	23.33	n/a	4-Feb	518.32 3.5
AO,CXL	02/03	CAXTON PART (CAXTJPMOM)	040	WY	S	5,496	23.33	n/a	4-Feb	192.36 3.5
AO,CXL	02/03	CAXTON PART (CAXTKFXXMS)	040	WY	S	96,774	23.33	n/a	4-Feb	3387.09 3.5
AO,CXL	02/03	CAXTON PART (CAXTKFZEMS)	040	WY	S	4,854	23.33	n/a	4-Feb	169.89 3.5
AO,CXL	02/03	CAXTON PART (CAXTKFCIMS)	040	WY	S	15,348	23.33	n/a	4-Feb	537.18 3.5
AO,CXL	02/03	CAXTON PART (CAXTKF01M)	040	WY	S	3,128	23.33	n/a	4-Feb	109.48 3.5
AO,CXL	02/03	CAXTON PART (CAXTKF01M)	040	WY	S	6,591	23.33	n/a	4-Feb	230.69 3.5
AO,CXL	02/02	SCOPUS FUND (SCOPGS)	041	WY	SS	6,500	23.77	n/a	4-Feb	260.00 4.0
AO,CRT	02/02	SCOPUS FUND (SCOPGS)	041	WY	SS	4,499	23.77	n/a	4-Feb	179.96 4.0
AO,CXL	02/02	SCOPUS FUND (SCOPUBS)	041	WY	SS	43,500	23.77	n/a	4-Feb	1740.00 4.0
AO,CRT	02/02	SCOPUS FUND (SCOPUBS)	041	WY	SS	45,501	23.77	n/a	4-Feb	1820.04 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									-4,910.97
TOTAL (Trade Date) :									94,815.13
TOTAL (AO, CXL, CRT) :									-4,910.97
TOTAL (RUN DATE) / NFS :									89,904.16

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