



Daily Compliance Activity Report

Trade Date: 01/21/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARTNER REINSURANCE	033	AAPL	S	9,429	326.72	n/a	n/a	377.16	4.0
PARTNER REINSURANCE	033	AA	S	10,499	15.80	n/a	n/a	419.96	4.0
PARTNER REINSURANCE	033	ABC	S	2,841	36.10	n/a	n/a	113.64	4.0
PARTNER REINSURANCE	033	ABT	S	15,889	47.92	n/a	n/a	635.56	4.0
PARTNER REINSURANCE	033	ACE	S	3,489	60.51	n/a	n/a	139.56	4.0
PARTNER REINSURANCE	033	ADBE	S	5,229	33.27	n/a	n/a	209.16	4.0
PARTNER REINSURANCE	033	ADI	S	3,070	38.77	n/a	n/a	122.80	4.0
PARTNER REINSURANCE	033	ADM	S	6,567	33.45	n/a	21-Jan	262.68	4.0
PARTNER REINSURANCE	033	ADP	S	5,070	49.04	n/a	n/a	202.80	4.0
PARTNER REINSURANCE	033	ADSK	S	2,337	41.50	n/a	n/a	93.48	4.0
PARTNER REINSURANCE	033	AEE	S	2,465	28.63	n/a	n/a	98.60	4.0
PZENA INV ADV	044	AET	B	875	33.34	n/a	n/a	30.63	3.5
MERRILL ASSET/BLACKROCK	266	ANR	B	18,900	57.97	n/a	n/a	756.00	4.0
MERRILL ASSET/BLACKROCK	266	ARC	B	7,706	7.90	n/a	n/a	308.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ASNA	S	25,000	27.20	n/a	n/a	1,250.00	5.0
PARTNER REINSURANCE	033	A	S	3,560	42.11	n/a	n/a	142.40	4.0
MELLON/BANK OF NEW YORK	046	BEC	S	43,290	72.12	n/a	n/a	1,731.60	4.0
LOCUS WOOD CAPITAL MGMT	044	BUD	B	67,000	55.81	n/a	14-Jan	2,680.00	4.0
PZENA INV ADV	044	CA	B	1,225	25.38	n/a	n/a	42.88	3.5
MELLON/BANK OF NEW YORK	046	CNO	B	112,900	6.55	n/a	n/a	4,516.00	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	53.08	n/a	20-Jan	300.00	3.0
IMPALA ASSET MMT	012	CSX	B	100,000	67.58	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	DDS	S	35,000	41.02	n/a	n/a	1,050.00	3.0
PZENA INV ADV	044	DELL	B	9,925	13.52	n/a	n/a	347.38	3.5
CAVU CAP ADV	028	DHR	B	15,000	47.03	n/a	n/a	750.00	5.0
CAVU CAP ADV	028	ETN	S	5,000	102.88	n/a	20-Jan	250.00	5.0
NEUBERGER BERMAN	036	EXPO	B	5,100	36.17	n/a	n/a	204.00	4.0
BUCK CAPITAL MGMT	001	GES	S	100,000	42.11	n/a	20-Jan	3,000.00	3.0
CRAMER ROSENTHAL/SCOTT	012	HAS	B	187,700	44.81	n/a	n/a	7,508.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	HBI	S	150,000	24.89	n/a	20-Jan	7,500.00	5.0
NEUBERGER BERMAN	036	HIBB	B	20,200	33.57	n/a	n/a	808.00	4.0
CAVU CAP ADV	028	HK	B	35,000	19.11	n/a	n/a	1,750.00	5.0
RBC CAPITAL MARKETS	040	IGT	SS	45,000	18.12	n/a	21-Jan	1,800.00	4.0
SCOPUS FUND	041	IP	B	34,800	28.14	n/a	7-Jan	1,392.00	4.0
TALKOT CAPITAL LLC	084	IP	B	5,000	27.90	n/a	7-Jan	150.00	3.0
SIGMA CAP BOBBY	044	IWM	SS	15,000	77.54	n/a	n/a	525.00	3.5
COUGAR TRADING	044	JNY	S	5,000	12.94	n/a	21-Jan	250.00	5.0
GRANITE CAPITAL	028	JPM	B	30,000	45.14	n/a	14-Jan	1,500.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	51.19	n/a	7-Jan	300.00	3.0
RBC CAPITAL MARKETS	040	MCD	S	20,000	75.04	n/a	20-Jan	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	70,000	27.23	n/a	21-Jan	3,500.00	5.0
IMPALA ASSET MMT	012	NAT	B	30,000	24.25	n/a	n/a	1,200.00	4.0
EMERSON CAPITAL MGMT	048	PERY	B	1,059	27.10	n/a	n/a	31.77	3.0
MERRILL ASSET/BLACKROCK	266	PRA	S	8,100	58.60	n/a	n/a	324.00	4.0
MADISON ST PARTNERS LLC	046	PVH	S	5,900	57.44	n/a	20-Jan	295.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	QCOM	S	19,912	51.23	n/a	n/a	696.93	3.5
MERRILL ASSET/BLACKROCK	266	RE	S	5,700	83.09	n/a	n/a	228.00	4.0
RBC CAPITAL MARKETS	040	SCSS	B	30,000	10.29	n/a	n/a	1,200.00	4.0
ROARING BLUE LION MGMT	012	SLM	B	33,000	14.21	n/a	20-Jan	1,320.00	4.0
MERRILL ASSET/BLACKROCK	266	SM	B	5,800	57.26	n/a	n/a	232.00	4.0
BERMAN CAPITAL MGMT	046	SPY	S	20,000	128.95	n/a	n/a	600.00	3.0
NOMURA CAPITAL	029	SPY	SS	21,775	128.59	n/a	n/a	653.25	3.0
COLUMBUS CAP MGMT LLC	084	SRI	B	7,434	15.32	n/a	n/a	371.70	5.0
1798 CAP/LOMBARD ASSET	040	SWC	B	5,000	21.43	n/a	n/a	250.00	5.0
FIRST NEW YORK LEDDY	035	S	S	60,000	4.29	n/a	n/a	2,400.00	4.0
ASCEND PARTNERS	033	TGT	B	75,000	55.98	n/a	7-Jan	3,750.00	5.0
DENVER INST. ADV	046	TJX	B	100,000	47.25	n/a	7-Jan	4,000.00	4.0
S.A.C. CAP/ORENSTEIN	044	TYC	SS	25,000	44.27	n/a	5-Jan	875.00	3.5
COOPER CREEK PART	028	UFS	SS	3,600	82.08	n/a	n/a	144.00	4.0
SCHOTTENFELD ASSOC	041	UFS	S	14,000	81.24	n/a	n/a	900.00	9.0
SENATOR INVESTMENT GROUP	036	VAL	B	25,000	35.96	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	WEN	B	70,105	4.80	n/a	7-Jan	2,453.69	3.5
TRELLUS PARTNERS LP	028	WMS	B	50,000	45.58	n/a	21-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	30,000	50.93	n/a	20-Jan	900.00	3.0
SACC-SCHWARTZ	044	WY	SS	10,000	22.21	n/a	21-Jan	350.00	3.5
SCHOTTENFELD ASSOC	041	WY	B	20,000	22.01	n/a	21-Jan	600.00	3.0
PARTNER REINSURANCE	033	XRAY	S	1,461	35.84	n/a	n/a	58.44	4.0
SAC CHICAGO ANDREW	031	XRT	B	100,000	46.74	n/a	n/a	3,500.00	3.5
TOTAL (Trade Date):								83,401.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/20	FARALLON CAP MGMT (FARABULK F)	040	MSFT	B	100,000	28.22	n/a	n/a	3000.00 3.0
AO,CRT	01/20	FARALLON CAP MGMT (FARABULK F)	040	MSFT	B	97,700	28.22	n/a	n/a	2931.00 3.0
AO,CXL	01/18	FARALLON CAP MGMT (FARACS)	040	TGT	B	118,000	55.03	n/a	7-Jan	4720.00 4.0
AO,CRT	01/18	FARALLON CAP MGMT (FARABULK F)	040	TGT	B	118,000	55.03	n/a	7-Jan	4720.00 4.0

TOTAL (AO, CXL, CRT) :**-69.00**

TOTAL (Trade Date) :

83,401.31

TOTAL (AO, CXL, CRT) :

-69.00

TOTAL (RUN DATE) / NFS:**83,332.31**

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