

Daily Compliance Activity Report Trade Date: 02/03/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
PERRY PARTNERS	085	AES	В	53,100	12.39	n/a	n/a	2,655.00	5.0
CASTLEROCK	040	ANN	SS	69,266	23.03	n/a	n/a	2,770.64	4.0
SURSUM CAPITAL	215	ANN	SS	10,000	22.63	n/a	n/a	300.00	3.0
CIRCLE T/SES PART	035	AN	SS	10,000	29.87	n/a	31-Jan	400.00	4.0
HOLLIS CAPITAL	033	AN	SS	5,000	30.99	n/a	31-Jan	250.00	5.0
SURSUM CAPITAL	215	ARO	S	10,000	24.65	n/a	28-Jan	300.00	3.0
SURSUM CAPITAL	215	ASNA	SS	10,000	28.19	n/a	n/a	300.00	3.0
HUNTER GLOBAL INVESTOR	028	AXL	В	116,000	14.33	n/a	31-Jan	4,060.00	3.5
MERRILL ASSET/BLACKROCK	266	BRS	В	2,371	46.76	n/a	n/a	94.84	4.0
RAINIER INV MGMT	035	CELG	S	66,260	49.97	n/a	n/a	2,650.40	4.0
CASTLEROCK	040	CHS	SS	114,750	11.15	n/a	5-Feb	4,590.00	4.0
SONTERRA CAP	041	CNX	В	10,000	48.35	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	300	117.50	n/a	11-Jan	12.00	4.0
SOROS	036	CVS	В	302,300	33.15	n/a	n/a	12,092.00	4.0
BUCK CAPITAL MGMT	001	DDS	s	20,000	40.99	n/a	n/a	600.00	3.0

SILLIARD LYONS CAP MGMT 047 DOV S 907 64.86 n/a n/a 27.21 3 **COOPER CREEK PART 028 DPZ SS 15,000 16.20 n/a 7-Jan 600.00 4 **CENNEDY CAPITAL 046 DPZ S 31,300 16.12 n/a 7-Jan 1,252.00 4 **LENNEDY CAPITAL 046 DPZ S 31,300 16.12 n/a 7-Jan 1,252.00 4 **LENNEDY CAPITAL MGMT/MELLON ADVO41 DPZ B 4,000 16.55 n/a 7-Jan 200.00 5 **LAINIER INV MGMT 035 FLS S 43,140 127.63 n/a n/a 1,725.60 4 **CORWARD MGMT 033 FL S 125,200 17.69 n/a 22-Dec 5,008.00 4 **CORWARD MGMT 033 FL S 125,200 17.69 n/a 22-Dec 5,008.00 4 **CORWARD MGMT 035 GES B 40,000 15.58 n/a 2-Feb 1,600.00 4 **CHOMAS WEISEL ASSET MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 **CURSUM CAPITAL 215 GET S 10,000 34.84 n/a n/a 300.00 3 **CURSUM CAPITAL 044 GM S 253,000 35.32 n/a 2-Feb 10,120.00 4 **CANA CAPITAL 044 GM S 253,000 49.88 n/a 3-Feb 3,000.00 6 **CORWARD MGMT 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 5 **CURSUM CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 3,250.00 5 **CURSUM CAPITAL 044 IP B 100,000 29.06 n/a 3-Feb 4,000.00 4 **CENTIALUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 **CURSUM CAPITAL MGMT 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shi
COOPER CREEK PART 028 DPZ SS 15,000 16.20 n/a 7-Jan 600.00 40 600.00 40 600.00 40 600.00 40 600.00 40 600.00 40 600.00 40 600.00 40 600.00 60.00	HILLTOP PARK ASSOC	086	DIS	S	100,000	40.41	n/a	n/a	5,000.00	5.0
ENNEDY CAPITAL 046 DPZ S 31,300 16.12 n/a 7-Jan 1,252.00 44 A CAPITAL MGMT/MELLON ADV041 DPZ B 4,000 16.55 n/a 7-Jan 200.00 5 N/A 22-Dec 5,008.00 4 N/A 22-Dec	HILLIARD LYONS CAP MGMT	047	DOV	S	907	64.86	n/a	n/a	27.21	3.0
EXAMPLE AND MEMORY MEMO	COOPER CREEK PART	028	DPZ	SS	15,000	16.20	n/a	7-Jan	600.00	4.0
CAINIER INV MGMT 035 FLS S 43,140 127.63 n/a n/a 1,725.60 4 CORWARD MGMT 033 FL S 125,200 17.69 n/a 22-Dec 5,008.00 4 CORWARD MGMT 035 FLS S 125,200 17.69 n/a 22-Dec 5,008.00 4 CHOMAS WEISEL ASSET MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CORWARD MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CORWARD MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CORWARD MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CORWARD MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CORWARD MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CORWARD MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CORWARD MGMT 035 GES B 12,240 43.95 n/a 300.00 4 CORWARD MGMT 035 GES B 12,240 43.95 n/a 300.00 4 CORWARD MGMT 035 GES B 12,240 43.95 n/a 300.00 4 CORWARD MGMT 035 GES B 12,240 43.95 n/a 300.00 4 CORWARD MGMT 035 GES B 12,240 43.95 n/a 300.00 4 CORWARD MGMT 035 GES B 12,240 43.95 n/a 300.00 4 CORWARD MGMT 035 GES B 12,240 17.69 n/a 300.00 4 CORWA	KENNEDY CAPITAL	046	DPZ	S	31,300	16.12	n/a	7-Jan	1,252.00	4.0
TORWARD MGMT 033 FL S 125,200 17.69 n/a 22-Dec 5,008.00 4 HILLENIUM PARTNERS 028 F B 40,000 15.58 n/a 2-Feb 1,600.00 4 HOMAS WEISEL ASSET MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 HURSUM CAPITAL 215 GET S 10,000 34.84 n/a n/a 300.00 3 HANA CAPITAL 044 GM S 253,000 35.32 n/a 2-Feb 10,120.00 4 HANDLER CAPITAL 028 HAR S 50,000 49.88 n/a 3-Feb 3,000.00 6 HOMO NESBITT BURNS 041 IP B 25,000 28.69 n/a 3-Feb 3,250.00 5 HOMO NESBITT BURNS 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 5 HOM CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 4 HRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 HEINTRAUB CAPITAL MGT. 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	MA CAPITAL MGMT/MELLON AD	0V041	DPZ	В	4,000	16.55	n/a	7-Jan	200.00	5.0
HILLENIUM PARTNERS 028 F B 40,000 15.58 n/a 2-Feb 1,600.00 4 CHOMAS WEISEL ASSET MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CHOMAS WEISEL ASSET MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 CHANA CAPITAL 215 GET S 10,000 34.84 n/a n/a 300.00 3 CHANA CAPITAL 044 GM S 253,000 35.32 n/a 2-Feb 10,120.00 4 CHANA CAPITAL 028 HAR S 50,000 49.88 n/a 3-Feb 3,000.00 6 CHANA CAPITAL 028 HAR S 50,000 28.69 n/a 3-Feb 1,250.00 5 CHANA CAPITAL 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 5 CHANA CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 4 CHANA CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 650.00 5 CHANA CAPITAL 044 IP B 13,000 29.06 n/a 3-Feb 650.00 5 CHANA CAPITAL 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	RAINIER INV MGMT	035	FLS	S	43,140	127.63	n/a	n/a	1,725.60	4.0
THOMAS WEISEL ASSET MGMT 035 GES B 12,240 43.95 n/a 20-Jan 367.20 3 SURSUM CAPITAL 215 GET S 10,000 34.84 n/a n/a 300.00 3 TANA CAPITAL 044 GM S 253,000 35.32 n/a 2-Feb 10,120.00 4 TANDLER CAPITAL 028 HAR S 50,000 49.88 n/a 3-Feb 3,000.00 6 TANDLER CAPITAL 041 IP B 25,000 28.69 n/a 3-Feb 1,250.00 5 TESFB GLOBAL PROPRIETARY 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 5 TO CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 4 TRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 TEINTRAUB CAPITAL MGT. 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	FORWARD MGMT	033	FL	S	125,200	17.69	n/a	22-Dec	5,008.00	4.0
SURSUM CAPITAL 215 GET S 10,000 34.84 n/a n/a 300.00 3 FANA CAPITAL 044 GM S 253,000 35.32 n/a 2-Feb 10,120.00 4 FANDLER CAPITAL 028 HAR S 50,000 49.88 n/a 3-Feb 3,000.00 6 FINE GROUND STANDARD STAN	MILLENIUM PARTNERS	028	F	В	40,000	15.58	n/a	2-Feb	1,600.00	4.
TANA CAPITAL 044 GM S 253,000 35.32 n/a 2-Feb 10,120.00 4 SANDLER CAPITAL 028 HAR S 50,000 49.88 n/a 3-Feb 3,000.00 6 SMO NESBITT BURNS 041 IP B 25,000 28.69 n/a 3-Feb 1,250.00 5 SEFB GLOBAL PROPRIETARY 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 5 OC CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 4 STRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 STRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 STRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 5,000.00 4	THOMAS WEISEL ASSET MGMT	035	GES	В	12,240	43.95	n/a	20-Jan	367.20	3.
ANDLER CAPITAL 028 HAR S 50,000 49.88 n/a 3-Feb 3,000.00 6 MONESBITT BURNS 041 IP B 25,000 28.69 n/a 3-Feb 1,250.00 5 CSFB GLOBAL PROPRIETARY 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 5 CC CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 4 CRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 DEINTRAUB CAPITAL MGT. 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	SURSUM CAPITAL	215	GET	S	10,000	34.84	n/a	n/a	300.00	3.
MO NESBITT BURNS 041 IP B 25,000 28.69 n/a 3-Feb 1,250.00 5 SFB GLOBAL PROPRIETARY 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 5 OC CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 4 SRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 JEINTRAUB CAPITAL MGT. 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	JANA CAPITAL	044	GM	S	253 , 000	35.32	n/a	2-Feb	10,120.00	4.
SFB GLOBAL PROPRIETARY 041 IP B 65,000 29.69 n/a 3-Feb 3,250.00 50C CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 40C CAPITAL D28 IP B 13,000 29.06 n/a 3-Feb 650.00 50C CAPITAL MGT. 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 40C CAPITAL MGT.	SANDLER CAPITAL	028	HAR	S	50,000	49.88	n/a	3-Feb	3,000.00	6.
C CAPITAL 044 IP B 100,000 28.99 n/a 3-Feb 4,000.00 4 CRELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 CRELTUS PARTNERS LP 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	BMO NESBITT BURNS	041	IP	В	25 , 000	28.69	n/a	3-Feb	1,250.00	5.
RELLUS PARTNERS LP 028 IP B 13,000 29.06 n/a 3-Feb 650.00 5 REINTRAUB CAPITAL MGT. 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	CSFB GLOBAL PROPRIETARY	041	IP	В	65,000	29.69	n/a	3-Feb	3,250.00	5.
WEINTRAUB CAPITAL MGT. 040 IP B 125,000 29.23 n/a 3-Feb 5,000.00 4	DC CAPITAL	044	IP	В	100,000	28.99	n/a	3-Feb	4,000.00	4.
	TRELLUS PARTNERS LP	028	IP	В	13,000	29.06	n/a	3-Feb	650.00	5.
SURSUM CAPITAL 215 JNY S 50,000 12.65 n/a 21-Jan 1,500.00 3	WEINTRAUB CAPITAL MGT.	040	IP	В	125,000	29.23	n/a	3-Feb	5,000.00	4.
	SURSUM CAPITAL	215	JNY	S	50,000	12.65	n/a	21-Jan	1,500.00	3.

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
BUCK CAPITAL MGMT	001	JWN	s	20,000	42.30	n/a	28-Jan	600.00	3.0
GREEN ARROW DOUG	040	JWN	SS	40,000	41.96	n/a	28-Jan	1,600.00	4.0
SOROS	036	KGC	В	250 , 000	17.28	n/a	n/a	10,000.00	4.0
SAC CHICAGO ANDREW	031	KR	SS	75,000	21.90	n/a	n/a	2,625.00	3.5
CAERUS GLOBAL	041	KSS	В	20,000	50.99	n/a	28-Jan	800.00	4.0
SOROS	036	K	С	79 , 800	52.53	n/a	n/a	3,192.00	4.0
IRIDIAN ASSET MGMT.	036	LSI	В	35,270	6.33	n/a	n/a	1,763.50	5.0
SURSUM CAPITAL	215	LTD	SS	10,000	30.89	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	MCD	В	5,000	74.10	n/a	24-Jan	150.00	3.0
SERENGETI MGMT	030	MCO	SS	150,000	29.71	n/a	n/a	7,500.00	5.0
FORWARD MGMT	033	MOD	В	96,700	16.69	n/a	n/a	3,868.00	4.0
BNP PARIBAS SEC	040	MW	В	20,000	27.46	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	M	В	40,000	22.10	n/a	28-Jan	1,200.00	3.0
KLEINHEINZ CAP PART	031	М	В	30,000	22.50	n/a	28-Jan	1,500.00	5.0
DAIDD INVECTMENT	0.47	NIDNI	C	117,948	15 07	n / n	2 Ech	5,897.40	E 0
BAIRD INVESTMENT MA CAPITAL MGMT/MELLON 2	047	NDN	S B	2,200	15.07 15.33	n/a n/a	3-Feb 3-Feb	110.00	5.0 5.0
MA CAPITAL MGMI/MELLON	AD V U 4 I	NDN	D	Z , ZUU	10.00	11/ d	o-reb	110.00	3.0
FORWARD MGMT	033	NETL	S	95 , 700	39.23	n/a	n/a	3,828.00	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
FORWARD MGMT	033	NTCT	В	9,200	23.96	n/a	n/a	368.00	4.0	
GREEN ARROW DOUG	040	ODP	S	12,500	5.48	n/a	n/a	625.00	5.0	
HILLTOP PARK ASSOC	086	ODP	В	100,000	5.46	n/a	n/a	4,000.00	4.0	
CHART WELL ADV	098	ORCL	В	14,220	33.06	n/a	n/a	568.80	4.0	
BUCK CAPITAL MGMT	001	ОХМ	В	10,000	24.05	n/a	n/a	300.00	3.0	
LAGRANGE CAP ADV	048	PAG	S	166,700	17.06	n/a	31-Jan	8,335.00	5.0	
HILLIARD LYONS CAP MGMT	047	PCAR	В	1,154	50.48	n/a	2-Feb	34.62	3.0	
SURSUM CAPITAL	215	PSS	SS	10,000	20.76	n/a	n/a	300.00	3.0	
FORWARD MGMT	033	RADS	S	76 , 600	18.67	n/a	n/a	3,064.00	4.0	
RBC CAPITAL MARKETS	040	ROST	S	4,500	68.69	n/a	n/a	180.00	4.0	
FORWARD MGMT	033	SBNY	S	46,500	52.12	n/a	n/a	1,860.00	4.0	
FORWARD MGMT	033	SLGN	В	23,800	37.50	n/a	n/a	952.00	4.0	
FORWARD MGMT	033	SONO	S	10,700	33.78	n/a	n/a	428.00	4.0	
LITESPEED	028	SSCC	S	115,000	38.31	n/a	7-Jan	3,450.00	3.0	
CARDINAL CAPITAL	044	SSI	В	9,200	16.12	n/a	n/a	460.00	5.0	
MERRILL ASSET/BLACKROCK	266	TESO	В	13,492	15.72	n/a	n/a	539.68	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	/Shr.
SURSUM CAPITAL	215	TGT	SS	10,000	53.57	n/a	3-Feb	300.00	3.0
SURSUM CAPITAL	215	TIF	S	5,000	60.32	n/a	n/a	150.00	3.0
GREEN ARROW DOUG	040	UNM	В	50,000	25.25	n/a	n/a	2,500.00	5.0
SURSUM CAPITAL	215	URBN	SS	10,000	34.20	n/a	n/a	300.00	3.0
SOROS	036	WMT	С	100,000	55.62	n/a	27-Jan	4,000.00	4.0
CARDINAL CAPITAL	044	WST	В	7 , 500	40.72	n/a	n/a	375.00	5.0
BMO NESBITT BURNS	041	WY	S	50,000	23.32	n/a	21-Jan	2,500.00	5.0
CAXTON PART	040	WY	S	441,000	23.36	n/a	21-Jan	15,435.04	3.5
AVESTA CAP	229	YUM	S	100,000	49.29	n/a	3-Feb	3,000.00	3.0

TOTAL (Trade Date): 176,283.93

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	02/02	GREEN ARROW DOUG (GADRMLICS)	040	CAR	В	78 , 300	14.21	n/a	n/a	3132.00	4.0
AO,	02/02	GREEN ARROW DOUG (GADRMLICS)	040	CAR	В	78,300	14.30	n/a	n/a	3132.00	4.0
AO,CXL	02/02	NOKOMIS PARTNERS (NOKOCONJPM)	031	FINL	В	20,119	15.23	n/a	n/a	0.00	0.0
AO,CRT	02/02	NOKOMIS PARTNERS (NOKOCONJPM)	031	FINL	В	20,119	15.23	n/a	n/a	402.38	2.0
AO,	02/02	FRIESS MGMT (FRISFCE)	033	GM	S	1,400	36.08	n/a	2-Feb	56.00	4.0
AO,CXL	02/02	FRIESS MGMT (FRISLANC)	033	GM	S	1,400	36.08	n/a	2-Feb	56.00	4.0
AO,	02/02	COLUMBUS CIRCLE (COLC3050)	036	NATI	В	2,723	45.95	n/a	n/a	108.92	4.0
CRT	02/03	LITESPEED (LITEUBS)	028	SSCC	S	115,000	38.31	n/a	7-Jan	3450.00	3.0
AO,	02/02	COLUMBUS CIRCLE (COLC3050)	036	UTEK	В	627	24.16	n/a	n/a	25.08	4.0
TOTAL	OTAL (AO, CXL, CRT): 3,986.38										

OTAL (RUN DATE) / NFS:	180,270.31
OTAL (AO, CXL, CRT):	3,986.38
OTAL (Trade Date):	176,283.93

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