



## Daily Compliance Activity Report

Trade Date: 12/30/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	APC	B	845	75.53	n/a	14-Dec	42.25	5.0
RBC CAPITAL MARKETS	040	CAKE	S	15,000	31.05	n/a	2-Dec	600.00	4.0
MOORE CAPITAL	028	CAR	SS	5,000	15.32	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	CHS	S	30,000	12.00	n/a	5-Feb	1,500.00	5.0
LAGRANGE CAP ADV	048	DHX	SS	10,000	14.45	n/a	n/a	500.00	5.0
SAC CHICAGO ANDREW	031	JCP	SS	10,000	32.44	n/a	30-Nov	350.00	3.5
1798 CAP/LOMBARD ASSET	040	JOYG	B	5,000	87.38	n/a	16-Dec	250.00	5.0
RBC CAPITAL MARKETS	040	KFT	B	50,000	31.49	n/a	n/a	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	B	300	96.75	n/a	29-Oct	9.00	3.0
SCOPUS FUND	041	MSM	B	50,000	65.87	n/a	n/a	2,000.00	4.0
LAGRANGE CAP ADV	048	PAG	S	900	17.49	n/a	25-Oct	45.00	5.0
RBC CAPITAL MARKETS	040	PFCB	B	20,000	49.28	n/a	2-Dec	800.00	4.0
MAIRS AND POWER INV	030	PFE	S	40,000	17.50	n/a	n/a	2,000.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>PKG</b>	<b>B</b>	<b>10,000</b>	<b>25.98</b>	<b>n/a</b>	<b>15-Dec</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	PKG	S	10,000	25.90	n/a	15-Dec	0.00	0.0
RBC CAPITAL MARKETS	040	SPLS	B	15,000	22.95	n/a	n/a	600.00	4.0
1798 CAP/LOMBARD ASSET	040	SWC	B	15,000	21.51	n/a	n/a	750.00	5.0
METROPOLITAN CAPITAL	044	TEX	S	22,300	31.08	n/a	22-Oct	1,115.00	5.0
BMO NESBITT BURNS	041	WY	S	12,961	18.96	n/a	29-Oct	1,296.10	10.0
PATTEN & PATTEN	025	WY	B	1,100	18.94	n/a	29-Oct	55.00	5.0
1798 CAP/LOMBARD ASSET	040	XLU	SS	20,000	31.35	n/a	n/a	1,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>15,112.35</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/29	BUCK CAPITAL MGMT (BUCKJPMBS)	001	M	S	9,900	25.26	n/a	30-Nov	297.00 3.0
AO,CXL	12/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	10,000	25.26	n/a	30-Nov	300.00 3.0
AO,CRT	12/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	100	25.26	n/a	30-Nov	3.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	15,112.35
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>15,112.35</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