



## Daily Compliance Activity Report

Trade Date: 12/28/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	ADM	S	10,000	30.01	n/a	16-Dec	500.00	5.0
LAGRANGE CAP ADV	048	AN	SS	2,802	28.15	n/a	29-Oct	140.10	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>30,000</b>	<b>30.15</b>	<b>n/a</b>	<b>7-Dec</b>	<b>900.00</b>	<b>3.0</b>
CHARTER OAK	033	BUD	B	25,000	57.04	n/a	15-Dec	1,250.00	5.0
STRONG/MARK GRONET	030	CMO	S	20,000	12.96	n/a	n/a	800.00	4.0
STRONG/MARK GRONET	030	CRAY	B	30,000	7.04	n/a	n/a	900.00	3.0
STRONG/MARK GRONET	030	CXS	B	4,000	13.00	n/a	n/a	160.00	4.0
MILLENNIUM-ANDEW	031	DO	S	10,000	64.37	n/a	n/a	600.00	6.0
TROUBH PART	070	DV	S	10,000	47.43	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	EMN	S	10,000	82.80	n/a	n/a	500.00	5.0
TROUBH PART	070	ESI	S	5,000	63.20	n/a	n/a	250.00	5.0
TYEE/TYGH	035	EXPE	S	100,000	25.55	n/a	n/a	4,000.00	4.0
SAXON WOODS ADVISORS	242	FOR	S	13,333	19.18	n/a	3-Nov	533.32	4.0
RBC CAPITAL MARKETS	040	GES	B	10,000	47.06	n/a	24-Nov	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	070	GM	B	25,000	35.32	n/a	6-Dec	1,250.00	5.0
MILLENNIUM-ANDEW	031	ITRI	S	3,500	54.28	n/a	n/a	175.00	5.0
COHE & STEERS	041	JOE	S	11,881	22.18	n/a	n/a	356.43	3.0
ACK ASSET	028	KS	B	44,242	15.50	n/a	n/a	1,327.26	3.0
SURSUM CAPITAL	215	LTD	B	20,000	30.94	n/a	n/a	600.00	3.0
RBC CAPITAL MARKETS	040	MCD	B	25,000	76.23	n/a	8-Dec	1,000.00	4.0
COHE & STEERS	041	PCL	B	22,282	37.56	n/a	26-Oct	891.28	4.0
SURSUM CAPITAL	215	PG	SS	20,000	64.60	n/a	20-Dec	600.00	3.0
SNYDER CAPITAL	033	POWI	B	30,000	40.75	n/a	n/a	1,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>SS</b>	<b>20,000</b>	<b>20.60</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
MILLENNIUM-ANDEW	031	SHAW	S	5,394	34.50	n/a	n/a	269.70	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SIG</b>	<b>B</b>	<b>10,000</b>	<b>43.11</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
SAXON WOODS ADVISORS	242	SPF	S	13,500	4.39	n/a	n/a	540.00	4.0
WEINTRAUB CAPITAL MGT.	040	SSCC	S	11,500	25.46	n/a	15-Dec	460.00	4.0
RBC CAPITAL MARKETS	040	WAG	B	10,000	39.07	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EGS ASSOCIATES LP	091	WMS	B	5,700	45.46	n/a	23-Dec	342.00	6.0
RBC CAPITAL MARKETS	040	WRC	S	15,000	55.10	n/a	9-Nov	600.00	4.0
<b>TOTAL (Trade Date):</b>							<b>22,345.09</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/27	MANNING & NAPIER (MANNMJ4811)	034	V	B	10	70.40	n/a	21-Dec	0.30 3.0
AO,CXL	12/27	MANNING & NAPIER (MANNMJ4811)	034	V	B	10	70.40	n/a	21-Dec	0.30 3.0
CRT	12/28	EGS ASSOCIATES LP (EGASBANC O)	091	WMS	B	5,700	45.46	n/a	23-Dec	342.00 6.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>342.00</b>

TOTAL (Trade Date) :	22,345.09
TOTAL (AO, CXL, CRT) :	342.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>22,687.09</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