



Daily Compliance Activity Report

Trade Date: 01/06/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		AEO	B	3,000	15.02	n/a	4-Jan	150.00	5.0
MA CAPITAL MGMT/MELLON ADV041		AEO	SS	3,000	15.17	n/a	4-Jan	150.00	5.0
SHEFFIELD ASSET MGMT	031	AEO	B	110,000	15.52	n/a	4-Jan	5,500.00	5.0
SURSUM CAPITAL	215	AEO	SS	20,000	14.48	n/a	4-Jan	600.00	3.0
SURSUM CAPITAL	215	ANF	SS	20,000	53.59	n/a	4-Jan	600.00	3.0
BNP PARIBAS SEC	040	ASNA	B	10,000	26.15	n/a	n/a	500.00	5.0
FIRST NY SEC/CHRIS	041	BAC	SS	15,000	14.44	n/a	6-Jan	750.00	5.0
SAC TRADING TOM LEDDY	035	BBY	B	34,950	35.55	n/a	n/a	1,223.25	3.5
Õ Nilsa Vazquez		BZH	S	2000	5.7410	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	BZ	S	25,000	8.15	n/a	n/a	750.00	3.0
CAPITAL GROWTH MGMT.	241	CMI	B	64,700	112.62	n/a	4-Jan	3,235.00	5.0
RBC CAPITAL MARKETS	040	CSX	B	25,000	66.18	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	CYN	B	3,300	62.50	n/a	n/a	132.00	4.0
SANDLER O'NEILL ASSET	031	C	B	132,300	5.01	n/a	6-Jan	2,646.00	2.0
SCHOTTENFELD ASSOC	041	C	S	10,000	4.95	n/a	6-Jan	300.00	3.0
MA CAPITAL MGMT/MELLON ADV041		DPZ	B	2,000	16.55	n/a	10-Dec	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	EAT	B	47,000	21.63	n/a	3-Jan	1,410.00	3.0
BUCK CAPITAL MGMT	001	EAT	SS	20,000	21.48	n/a	3-Jan	600.00	3.0
ADAGE CAPITAL MGMT	030	GES	SS	55,654	44.85	n/a	24-Nov	1,669.62	3.0
CAPITAL GROWTH MGMT.	241	GM	B	5,500	38.97	n/a	5-Jan	165.00	3.0
OSKIE CAPITAL MGMT	224	GNW	B	20,000	14.21	n/a	n/a	1,000.00	5.0
GRANITE CAPITAL	028	GPS	B	14,000	20.48	n/a	n/a	700.00	5.0
OSKIE CAPITAL MGMT	224	GPS	B	8,000	20.79	n/a	n/a	400.00	5.0
BALYASNY ASSET MGMT	044	GWW	C	5,000	134.29	n/a	5-Jan	250.00	5.0
COUGAR TRADING	044	GWW	B	5,000	136.61	n/a	5-Jan	250.00	5.0
COUGAR TRADING	044	GWW	SS	5,000	135.77	n/a	5-Jan	250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	HRS	B	10,700	45.52	n/a	5-Jan	535.00	5.0
BNP PARIBAS SEC	040	IPI	B	10,000	36.05	n/a	n/a	500.00	5.0
JMP ASSET MGMT	210	IPSU	B	13,215	13.03	n/a	n/a	660.75	5.0
PARAMETER CAPITAL MGMT LLC	044	JNS	S	148,000	13.44	n/a	n/a	5,920.00	4.0
COUGAR TRADING	044	JNY	B	5,000	15.80	n/a	28-Oct	250.00	5.0
S.A.C. CAP/ORENSTEIN	044	JRCC	B	50,000	26.03	n/a	n/a	1,750.00	3.5
DELTEC ASSET MGMT.	040	JWN	S	15,000	43.35	n/a	4-Jan	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	JWN	B	25,000	43.20	n/a	4-Jan	1,000.00	4.0
MATRIX ASSET ADV.	091	KO	B	2,500	63.23	n/a	23-Dec	20.00	2.0
SURSUM CAPITAL	215	KSS	SS	20,000	52.78	n/a	4-Jan	600.00	3.0
SURSUM CAPITAL	215	LTD	B	25,000	29.09	n/a	n/a	750.00	3.0
OSKIE CAPITAL MGMT	224	MTG	S	8,000	11.45	n/a	n/a	400.00	5.0
THIRD POINT MGMT	044	M	B	100,000	24.00	n/a	4-Jan	4,000.00	4.0
CATAPULT	040	NCR	B	25,000	16.57	n/a	n/a	1,000.00	4.0
MELLON/BANK OF NEW YORK	046	OMC	B	134,400	47.33	n/a	n/a	5,376.00	4.0
FIRST NY SEC/CHRIS	041	OMX	B	3,600	17.81	n/a	n/a	180.00	5.0
GALT INVESTMENT	041	PFCB	S	1,154	47.37	n/a	2-Dec	57.70	5.0
BALLAST CAP	040	PGR	B	10,300	20.09	n/a	n/a	515.00	5.0
ADAGE CAPITAL MGMT	030	PLCE	B	50,000	45.56	n/a	6-Jan	1,500.00	3.0
JP MORGAN VENTURES	046	PLCE	B	10,000	46.07	n/a	6-Jan	500.00	5.0
METROPOLITAN CAPITAL	044	PLCE	B	7,800	46.05	n/a	6-Jan	390.00	5.0
WAGONHOUND/NIC	289	PLCE	S	16,941	45.73	n/a	6-Jan	677.64	4.0
CAPITAL GROWTH MGMT.	241	POT	B	30,000	169.18	n/a	n/a	1,500.00	5.0
MERCHANTS GATE CAP LP	036	PVH	SS	36,400	62.00	n/a	3-Dec	1,456.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	PVH	S	20,400	61.11	n/a	3-Dec	816.00	4.0
SURSUM CAPITAL	215	PVH	B	15,000	60.98	n/a	3-Dec	450.00	3.0
LEVEL GLOBAL SHARED ACCT	257	ROST	S	50,000	64.48	n/a	n/a	1,500.00	3.0
DSG CAPITAL	012	RRR	B	3,698	10.55	n/a	25-Oct	184.90	5.0
DAVIDSON KEMPNER ADVISOR	040	RS	S	7,000	52.94	n/a	n/a	350.00	5.0
COHE & STEERS	041	RYN	S	29,600	56.69	n/a	27-Oct	1,184.00	4.0
GALT INVESTMENT	041	SCSS	S	25,000	10.35	n/a	n/a	1,000.00	4.0
MANNING & NAPIER	034	SHW	S	17,248	83.06	n/a	5-Jan	517.44	3.0
SURSUM CAPITAL	215	SKS	S	60,000	11.34	n/a	n/a	1,800.00	3.0
SANDLER CAPITAL	028	SNI	S	105,000	48.61	n/a	n/a	6,300.00	6.0
BNP PARIBAS SEC	040	SSCC	B	10,000	27.17	n/a	15-Dec	400.00	4.0
NOMURA CAPITAL	029	SSCC	S	10,000	27.02	n/a	15-Dec	300.00	3.0
THIRD COAST CAPITAL	035	SUP	S	10,000	20.75	n/a	3-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	SVU	SS	20,000	9.19	n/a	n/a	400.00	2.0
RBC CAPITAL MARKETS	040	TCK	B	25,000	63.23	n/a	n/a	1,000.00	4.0
CASTLE ARK	031	TDC	B	58,400	43.36	n/a	n/a	2,920.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	55.07	n/a	6-Jan	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	TGT	B	98,170	55.31	n/a	6-Jan	3,926.80	4.0
LEVIN CAPITAL STRATEGIES	012	TGT	B	160,000	55.02	n/a	6-Jan	4,800.00	3.0
SAC CAPITAL/M GRONET	030	TGT	B	45,000	55.26	n/a	6-Jan	1,575.00	3.5
MERRILL ASSET/BLACKROCK	266	THG	S	21,194	46.25	n/a	n/a	847.76	4.0
ELM RIDGE ADVISORS	044	TIN	S	200	22.75	n/a	15-Dec	8.00	4.0
MILLENIUM PARTNERS	028	TIN	S	20,000	22.44	n/a	15-Dec	800.00	4.0
SURSUM CAPITAL	215	TJX	SS	20,000	45.42	n/a	4-Jan	600.00	3.0
SURSUM CAPITAL	215	TLB	B	50,000	7.65	n/a	n/a	1,500.00	3.0
SURSUM CAPITAL	215	TLB	S	50,000	7.57	n/a	n/a	1,500.00	3.0
BALLAST CAP	040	TPX	SS	3,000	41.30	n/a	n/a	150.00	5.0
OSKIE CAPITAL MGMT	224	VSTO	B	10,000	71.97	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WRC	SS	25,000	52.77	n/a	9-Nov	875.00	3.5
BMO NESBITT BURNS	041	WY	S	25,000	20.16	n/a	29-Oct	1,250.00	5.0
TOTAL (Trade Date) :								93,173.86	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	MANNING & NAPIER (MANNGR9878)	034	BSX	S	4,140	7.47	n/a	n/a	124.20 3.0
AO,	01/05	MANNING & NAPIER (MANNGR7114)	034	BSX	S	550	7.47	n/a	n/a	16.50 3.0
AO,	01/05	MANNING & NAPIER (MANNCD1419)	034	BSX	S	900	7.47	n/a	n/a	27.00 3.0
AO,	01/05	MANNING & NAPIER (MANNCD2372)	034	BSX	S	450	7.47	n/a	n/a	13.50 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ3056)	034	BSX	S	11,340	7.47	n/a	n/a	340.20 3.0
AO,	01/05	MANNING & NAPIER (MANNCD0261)	034	BSX	S	1,550	7.47	n/a	n/a	46.50 3.0
AO,	01/05	MANNING & NAPIER (MANNJS5072)	034	BSX	S	480	7.47	n/a	n/a	14.40 3.0
AO,	01/05	MANNING & NAPIER (MANNJS1062)	034	BSX	S	370	7.47	n/a	n/a	11.10 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ3401)	034	BSX	S	1,630	7.47	n/a	n/a	48.90 3.0
AO,	01/05	MANNING & NAPIER (MANNCD2370)	034	BSX	S	2,380	7.47	n/a	n/a	71.40 3.0
AO,	01/05	MANNING & NAPIER (MANNCD2371)	034	BSX	S	790	7.47	n/a	n/a	23.70 3.0
AO,	01/05	MANNING & NAPIER (MANNGR1804)	034	BSX	S	400	7.47	n/a	n/a	12.00 3.0
AO,	01/05	MANNING & NAPIER (MANNMJ0323)	034	BSX	S	850	7.47	n/a	n/a	25.50 3.0
AO,	01/05	MANNING & NAPIER (MANNMJ8642)	034	BSX	S	190	7.47	n/a	n/a	5.70 3.0
AO,	01/05	MANNING & NAPIER (MANNCD4093)	034	BSX	S	670	7.47	n/a	n/a	20.10 3.0
AO,	01/05	MANNING & NAPIER (MANNGR8542)	034	BSX	S	340	7.47	n/a	n/a	10.20 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ1950)	034	BSX	S	230	7.47	n/a	n/a	6.90 3.0
AO,	01/05	MANNING & NAPIER (MANNCD4411)	034	BSX	S	3,590	7.47	n/a	n/a	107.70 3.0
AO,	01/05	MANNING & NAPIER (MANNMJ2042)	034	BSX	S	590	7.47	n/a	n/a	17.70 3.0
AO,	01/05	MANNING & NAPIER (MANNGR0289)	034	BSX	S	560	7.47	n/a	n/a	16.80 3.0
AO,	01/05	MANNING & NAPIER (MANNGR4227)	034	BSX	S	2,250	7.47	n/a	n/a	67.50 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ0975)	034	BSX	S	790	7.47	n/a	n/a	23.70 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ1656)	034	BSX	S	300	7.47	n/a	n/a	9.00 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ4810)	034	BSX	S	420	7.47	n/a	n/a	12.60 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ8458)	034	BSX	S	100	7.47	n/a	n/a	3.00 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ1655)	034	BSX	S	510	7.47	n/a	n/a	15.30 3.0
AO,	01/05	MANNING & NAPIER (MANNCD2387)	034	BSX	S	360	7.47	n/a	n/a	10.80 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	MANNING & NAPIER (MANNGR4710)	034	BSX	S	13,150	7.47	n/a	n/a	394.50 3.0
AO,	01/05	MANNING & NAPIER (MANNCD1478)	034	BSX	S	610	7.47	n/a	n/a	18.30 3.0
AO,	01/05	MANNING & NAPIER (MANNMJ8640)	034	BSX	S	180	7.47	n/a	n/a	5.40 3.0
AO,	01/05	MANNING & NAPIER (MANNCD6433)	034	BSX	S	1,400	7.47	n/a	n/a	42.00 3.0
AO,	01/05	MANNING & NAPIER (MANNMJ2326)	034	BSX	S	220	7.47	n/a	n/a	6.60 3.0
AO,	01/05	MANNING & NAPIER (MANNMJ2325)	034	BSX	S	630	7.47	n/a	n/a	18.90 3.0
AO,	01/05	MANNING & NAPIER (MANNGR4669)	034	BSX	S	11,150	7.47	n/a	n/a	334.50 3.0
AO,	01/05	MANNING & NAPIER (MANNGR2425)	034	BSX	S	450	7.47	n/a	n/a	13.50 3.0
AO,	01/05	MANNING & NAPIER (MANNGR1790)	034	BSX	S	270	7.47	n/a	n/a	8.10 3.0
AO,	01/05	MANNING & NAPIER (MANNGR8301)	034	BSX	S	570	7.47	n/a	n/a	17.10 3.0
AO,	01/05	MANNING & NAPIER (MANNCD6453)	034	BSX	S	1,050	7.47	n/a	n/a	31.50 3.0
AO,	01/05	MANNING & NAPIER (MANNOMNIBU)	034	BSX	S	1,138,290	7.47	n/a	n/a	34148.70 3.0
AO,	01/05	MANNING & NAPIER (MANNMU1900)	034	BSX	S	216,680	7.47	n/a	n/a	6500.40 3.0
AO,	01/05	MANNING & NAPIER (MANNGR4159)	034	BSX	S	2,290	7.47	n/a	n/a	68.70 3.0
AO,	01/05	MANNING & NAPIER (MANNGR4169)	034	BSX	S	5,580	7.47	n/a	n/a	167.40 3.0
AO,	01/05	MANNING & NAPIER (MANNJS0121)	034	BSX	S	370	7.47	n/a	n/a	11.10 3.0
AO,	01/05	MANNING & NAPIER (MANNJS0120)	034	BSX	S	140	7.47	n/a	n/a	4.20 3.0
AO,	01/05	MANNING & NAPIER (MANNGR7089)	034	BSX	S	100	7.47	n/a	n/a	3.00 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ4177)	034	BSX	S	180	7.47	n/a	n/a	5.40 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ8459)	034	BSX	S	240	7.47	n/a	n/a	7.20 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ6215)	034	BSX	S	10,860	7.47	n/a	n/a	325.80 3.0
AO,	01/05	MANNING & NAPIER (MANNGR1781)	034	BSX	S	1,200	7.47	n/a	n/a	36.00 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ2200)	034	BSX	S	11,360	7.47	n/a	n/a	340.80 3.0
AO,	01/05	MANNING & NAPIER (MANNEQ4118)	034	BSX	S	350	7.47	n/a	n/a	10.50 3.0
AO,	01/05	MANNING & NAPIER (MANNGR3070)	034	BSX	S	250	7.47	n/a	n/a	7.50 3.0
AO,	01/05	MANNING & NAPIER (MANNCD1179)	034	BSX	S	1,400	7.47	n/a	n/a	42.00 3.0
AO,	01/05	MANNING & NAPIER (MANNGR3069)	034	BSX	S	210	7.47	n/a	n/a	6.30 3.0
AO,	01/05	MANNING & NAPIER (MANNGR3068)	034	BSX	S	560	7.47	n/a	n/a	16.80 3.0
AO,	01/05	MANNING & NAPIER (MANNGR2095)	034	BSX	S	12,730	7.47	n/a	n/a	381.90 3.0
AO,	01/05	MANNING & NAPIER (MANNGR3071)	034	BSX	S	1,010	7.47	n/a	n/a	30.30 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/05	MANNING & NAPIER (MANNCD4410)	034	BSX	S	1,100	7.47	n/a	n/a	33.00	3.0
AO,	01/05	MANNING & NAPIER (MANNGR2108)	034	BSX	S	440	7.47	n/a	n/a	13.20	3.0
AO,	01/05	MANNING & NAPIER (MANNGR2132)	034	BSX	S	2,280	7.47	n/a	n/a	68.40	3.0
AO,	01/05	MANNING & NAPIER (MANNGR2128)	034	BSX	S	11,490	7.47	n/a	n/a	344.70	3.0
AO,	01/05	MANNING & NAPIER (MANNGR2130)	034	BSX	S	2,900	7.47	n/a	n/a	87.00	3.0
AO,	01/05	MANNING & NAPIER (MANNGR2129)	034	BSX	S	2,900	7.47	n/a	n/a	87.00	3.0
AO,	01/05	MANNING & NAPIER (MANNGR2131)	034	BSX	S	8,450	7.47	n/a	n/a	253.50	3.0
AO,	01/05	MANNING & NAPIER (MANNMJ1279)	034	BSX	S	230	7.47	n/a	n/a	6.90	3.0
AO,CXL	01/05	NEWLAND CAPITAL MGT (NEWLGS)	025	ICO	B	12,500	8.35	n/a	n/a	500.00	4.0
AO,CRT	01/05	NEWLAND CAPITAL MGT (NEWLGS)	025	ICO	B	12,500	8.35	n/a	n/a	375.00	3.0
AO,	01/05	JMP ASSET MGMT (JMPAGS)	210	IPSU	B	576	12.98	n/a	n/a	28.80	5.0
AO,CXL	01/05	JMP ASSET MGMT (JMPABOABA)	210	IPSU	B	1,339	12.98	n/a	n/a	66.95	5.0
AO,CRT	01/05	JMP ASSET MGMT (JMPABOABA)	210	IPSU	B	763	12.98	n/a	n/a	38.15	5.0
TOTAL (AO, CXL, CRT) :										44,875.00	
TOTAL (Trade Date) :										93,173.86	
TOTAL (AO, CXL, CRT) :										44,875.00	
TOTAL (RUN DATE) / NFS :										138,048.86	

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