



Daily Compliance Activity Report

Trade Date: 12/22/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	AEGR	B	3,500	12.54	n/a	n/a	70.00	2.0
BNP PARIBAS SEC	040	ALB	SS	10,000	56.28	n/a	n/a	500.00	5.0
OSKIE CAPITAL MGMT	224	AXL	S	5,000	12.94	n/a	1-Nov	250.00	5.0
ADALY INV MGMT	031	BAC	B	25,000	13.02	n/a	17-Dec	875.00	3.5
OSKIE CAPITAL MGMT	224	BAC	S	40,000	13.35	n/a	17-Dec	2,000.00	5.0
BUCK CAPITAL MGMT	001	BID	B	10,000	45.35	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	BIG	S	30,000	29.70	n/a	7-Dec	900.00	3.0
PIONEER PATH	226	BMV	SS	100,000	26.31	n/a	n/a	3,000.00	3.0
SURVEYOR CAPITAL	041	CHK	B	35,000	25.41	n/a	n/a	1,050.00	3.0
TALPION LLC	040	CLD	S	15,000	21.30	n/a	n/a	450.00	3.0
EPOCH INV MGMT	030	CMCSK	B	8,450	20.93	n/a	n/a	253.50	3.0
EPOCH INV MGMT	030	COP	B	1,050	66.76	n/a	n/a	31.50	3.0
JMP ASSET MGMT	210	CVGW	B	9,900	23.25	n/a	n/a	495.00	5.0
TYEE/TYGH	035	EXPE	S	162,087	26.74	n/a	n/a	6,483.48	4.0
NOMURA CAPITAL	029	FDML	S	10,588	21.01	n/a	n/a	317.64	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	FDO	SS	4,000	49.23	n/a	21-Dec	160.00	4.0
BUCK CAPITAL MGMT	001	FL	S	30,000	19.57	n/a	22-Dec	900.00	3.0
EGS ASSOCIATES LP	091	FL	B	3,500	19.47	n/a	22-Dec	210.00	6.0
SAC CHICAGO ANDREW	031	FL	B	36,700	19.50	n/a	22-Dec	1,284.50	3.5
SYSTEMATIC FINANCIAL MGT	035	FL	B	100,900	19.46	n/a	22-Dec	3,027.00	3.0
Õ Doug Rogers		FOR	S	755	18.7550	n/a	3-Nov	0.00	0.0
Õ Doug Rogers		FOR	S	790	18.4633	n/a	3-Nov	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	GES	S	4,920	48.02	n/a	24-Nov	147.60	3.0
MINDSHARE CAPITAL MGMT	046	GLUU	B	38,059	2.05	n/a	n/a	761.18	2.0
CADIAN CAPITAL	041	GM	S	150,000	34.17	n/a	6-Dec	4,500.00	3.0
LAKEVIEW INV GROUP LLC	031	GNTX	SS	25,000	29.54	n/a	25-Oct	750.00	3.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	24.82	n/a	28-Oct	2,500.00	5.0
SAC TRADING TOM LEDDY	035	HBI	B	10,000	25.00	n/a	28-Oct	350.00	3.5
HOPLITE MGMT	025	HD	S	100,000	35.17	n/a	13-Dec	5,000.00	5.0
CAXTON PART	040	KSS	S	11,260	53.93	n/a	30-Nov	394.12	3.5
BUCK CAPITAL MGMT	001	LL	S	20,000	24.44	n/a	n/a	600.00	3.0
SCOPUS FUND	041	LPX	B	42,500	9.86	n/a	8-Nov	1,700.00	4.0
NOMURA CAPITAL	029	LYB	S	75,000	32.63	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSKIE CAPITAL MGMT	224	MF	S	10,000	8.51	n/a	n/a	500.00	5.0
M&I FUNDS	047	MWV	S	59,732	25.90	n/a	28-Oct	2,389.28	4.0
Õ Doug Rogers		NBRXF	B	1000	14.7100	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	OXY	B	1,400	96.69	n/a	n/a	42.00	3.0
MASTERS CAPITAL MANAGE	091	OZM	B	50,000	14.95	n/a	n/a	2,000.00	4.0
CATAPULT	040	PCAR	B	9,000	57.13	n/a	23-Nov	360.00	4.0
SURVEYOR CAPITAL	041	PFE	B	75,000	17.42	n/a	n/a	2,250.00	3.0
JMP ASSET MGMT	210	PHH	S	15,000	22.45	n/a	n/a	750.00	5.0
EPOCH INV MGMT	030	PNC	B	1,100	60.64	n/a	n/a	33.00	3.0
OSKIE CAPITAL MGMT	224	PRU	B	4,000	59.83	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	65.87	n/a	3-Dec	300.00	3.0
EPOCH INV MGMT	030	PX	B	1,900	95.80	n/a	22-Dec	57.00	3.0
NOMURA CAPITAL	029	QLTY	S	7,000	9.85	n/a	n/a	210.00	3.0
EPOCH INV MGMT	030	Q	B	10,550	7.65	n/a	n/a	316.50	3.0
CATAPULT	040	RCII	S	16,804	31.67	n/a	n/a	672.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	RDC	B	10,000	34.24	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	113.67	n/a	11-Nov	600.00	3.0
MERRILL ASSET/BLACKROCK	266	SHP	S	5,000	12.43	n/a	n/a	100.00	2.0
TALPION LLC	040	SWC	S	10,000	20.60	n/a	n/a	400.00	4.0
Õ Doug Rogers		TEX	B	700	30.3090	n/a	22-Oct	0.00	0.0
JP MORGAN VENTURES	046	TGT	SS	10,000	59.69	n/a	2-Dec	500.00	5.0
SAC CHICAGO ANDREW	031	TGT	SS	25,000	60.28	n/a	2-Dec	875.00	3.5
BUCK CAPITAL MGMT	001	TJX	S	20,000	44.41	n/a	10-Dec	600.00	3.0
THOMAS WEISEL ASSET MGMT	035	UA	S	6,777	54.52	n/a	27-Oct	203.31	3.0
CRAMER ROSENTHAL/SCOTT	012	VIAB	B	12,300	39.04	n/a	n/a	492.00	4.0
RAIL-SPLITTER	031	WIT	B	10,000	15.19	n/a	n/a	500.00	5.0
TROUBH PART	070	WLP	B	25,000	57.00	n/a	n/a	1,250.00	5.0
SURVEYOR CAPITAL	041	WMB	S	20,309	24.58	n/a	n/a	609.27	3.0
CAVU CAP ADV	028	WMT	B	12,500	53.32	n/a	17-Nov	625.00	5.0
LISTED ERR	099	WNR	B	860	10.26	n/a	n/a	0.00	0.0
LISTED ERR	099	WNR	S	860	10.26	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WRC	S	10,000	56.70	n/a	9-Nov	300.00	3.0
THOMAS WEISEL ASSET MGMT	035	WRC	S	4,160	56.75	n/a	9-Nov	124.80	3.0
RAIL-SPLITTER	031	WU	S	8,000	18.36	n/a	n/a	400.00	5.0
PIONEER PATH	226	XL	SS	40,000	21.91	n/a	n/a	1,200.00	3.0
TOTAL (Trade Date):								60,669.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	12/22	EGS ASSOCIATES LP (EGASBANC O)	091	FL	B	3,500	19.47	n/a 22-Dec	210.00 6.0

TOTAL (AO, CXL, CRT):	210.00
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TOTAL (Trade Date):	60,669.84
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TOTAL (AO, CXL, CRT):	210.00
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TOTAL (RUN DATE) / NFS:	60,879.84
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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