

Daily Compliance Activity Report Trade Date: 12/28/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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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	29-0ct	140.10	5.0
BUCK CAPITAL MGMT	001	BIG	В	30,000	30.15	n/a	7-Dec	900.00	3.0
CHARTER OAK	033	BUD	В	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	В	30,000	7.04	n/a	n/a	900.00	3.0
STRONG/MARK GRONET	030	CXS	В	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	В	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	В	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	В	44,242	15.50	n/a	n/a	1,327.26	3.0
SURSUM CAPITAL	215	LTD	В	20,000	30.94	n/a	n/a	600.00	3.0
RBC CAPITAL MARKETS	040	MCD	В	25,000	76.23	n/a	8-Dec	1,000.00	4.0
COHE & STEERS	041	PCL	В	22,282	37.56	n/a	26-0ct	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	В	30,000	40.75	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	PSS	SS	20,000	20.60	n/a	n/a	600.00	3.0
MILLENNIUM-ANDEW	031	SHAW	S	5 , 394	34.50	n/a	n/a	269.70	5.0
BUCK CAPITAL MGMT	001	SIG	В	10,000	43.11	n/a	n/a	300.00	3.0
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	В	10,000	39.07	n/a	n/a	400.00	4.0
	TROUBH PART MILLENNIUM-ANDEW COHE & STEERS ACK ASSET SURSUM CAPITAL RBC CAPITAL MARKETS COHE & STEERS SURSUM CAPITAL SNYDER CAPITAL BUCK CAPITAL MGMT MILLENNIUM-ANDEW BUCK CAPITAL MGMT SAXON WOODS ADVISORS WEINTRAUB CAPITAL MGT.	TROUBH PART 070 MILLENNIUM-ANDEW 031 COHE & STEERS 041 ACK ASSET 028 SURSUM CAPITAL 215 RBC CAPITAL MARKETS 040 COHE & STEERS 041 SURSUM CAPITAL 215 SNYDER CAPITAL 033 BUCK CAPITAL MGMT 001 MILLENNIUM-ANDEW 031 BUCK CAPITAL MGMT 001 SAXON WOODS ADVISORS 242 WEINTRAUB CAPITAL MGT. 040	TROUBH PART 070 GM MILLENNIUM-ANDEW 031 ITRI COHE & STEERS 041 JOE ACK ASSET 028 KS SURSUM CAPITAL 215 LTD RBC CAPITAL MARKETS 040 MCD COHE & STEERS 041 PCL SURSUM CAPITAL 215 PG SNYDER CAPITAL 033 POWI BUCK CAPITAL MGMT 001 PSS MILLENNIUM-ANDEW 031 SHAW BUCK CAPITAL MGMT 001 SIG SAXON WOODS ADVISORS 242 SPF WEINTRAUB CAPITAL MGT. 040 SSCC	TROUBH PART 070 GM B MILLENNIUM-ANDEW 031 ITRI S COHE & STEERS 041 JOE S ACK ASSET 028 KS B SURSUM CAPITAL 215 LTD B RBC CAPITAL MARKETS 040 MCD B COHE & STEERS 041 PCL B SURSUM CAPITAL 215 PG SS SNYDER CAPITAL 033 POWI B BUCK CAPITAL MGMT 001 PSS SS MILLENNIUM-ANDEW 031 SHAW S BUCK CAPITAL MGMT 001 SIG B SAXON WOODS ADVISORS 242 SPF S WEINTRAUB CAPITAL MGT. 040 SSCC S	TROUBH PART 070 GM B 25,000 MILLENNIUM-ANDEW 031 ITRI S 3,500 COHE & STEERS 041 JOE S 11,881 ACK ASSET 028 KS B 44,242 SURSUM CAPITAL 215 LTD B 20,000 RBC CAPITAL MARKETS 040 MCD B 25,000 COHE & STEERS 041 PCL B 22,282 SURSUM CAPITAL 215 PG SS 20,000 SNYDER CAPITAL 033 POWI B 30,000 BUCK CAPITAL MGMT 001 PSS SS 20,000 MILLENNIUM-ANDEW 031 SHAW S 5,394 BUCK CAPITAL MGMT 001 SIG B 10,000 SAXON WOODS ADVISORS 242 SPF S 13,500 WEINTRAUB CAPITAL MGT. 040 SSCC S 11,500	TROUBH PART 070 GM B 25,000 35.32 MILLENNIUM-ANDEW 031 ITRI S 3,500 54.28 COHE & STEERS 041 JOE S 11,881 22.18 ACK ASSET 028 KS B 44,242 15.50 SURSUM CAPITAL 215 LTD B 20,000 30.94 RBC CAPITAL MARKETS 040 MCD B 25,000 76.23 COHE & STEERS 041 PCL B 22,282 37.56 SURSUM CAPITAL 215 PG SS 20,000 64.60 SNYDER CAPITAL 033 POWI B 30,000 40.75 BUCK CAPITAL MGMT 001 PSS SS 20,000 20.60 MILLENNIUM-ANDEW 031 SHAW S 5,394 34.50 BUCK CAPITAL MGMT 001 SIG B 10,000 43.11 SAXON WOODS ADVISORS 242 SPF S 13,500 4.39 WEINTRAUB CAPITAL MGT. 040 SSCC S 11,500 25.46	TROUBH PART 070 GM B 25,000 35.32 n/a MILLENNIUM-ANDEW 031 ITRI S 3,500 54.28 n/a COHE & STEERS 041 JOE S 11,881 22.18 n/a ACK ASSET 028 KS B 44,242 15.50 n/a SURSUM CAPITAL 215 LTD B 20,000 30.94 n/a RBC CAPITAL MARKETS 040 MCD B 25,000 76.23 n/a COHE & STEERS 041 PCL B 22,282 37.56 n/a SURSUM CAPITAL 215 PG SS 20,000 64.60 n/a SURSUM CAPITAL 033 POWI B 30,000 40.75 n/a BUCK CAPITAL MGMT 001 PSS SS 20,000 20.60 n/a MILLENNIUM-ANDEW 031 SHAW S 5,394 34.50 n/a BUCK CAPITAL MGMT 001 SIG B 10,000 43.11 n/a SAXON WOODS ADVISORS 242 SPF S 13,500 4.39 n/a WEINTRAUB CAPITAL MGT. 040 SSCC S 11,500 25.46 n/a	TROUBH PART 070 GM B 25,000 35.32 n/a 6-Dec MILLENNIUM-ANDEW 031 ITRI S 3,500 54.28 n/a n/a COHE & STEERS 041 JOE S 11,881 22.18 n/a n/a ACK ASSET 028 KS B 44,242 15.50 n/a n/a SURSUM CAPITAL 215 LTD B 20,000 30.94 n/a n/a RBC CAPITAL MARKETS 040 MCD B 25,000 76.23 n/a 8-Dec COHE & STEERS 041 PCL B 22,282 37.56 n/a 26-Oct SURSUM CAPITAL 215 PG SS 20,000 64.60 n/a 20-Dec SNYDER CAPITAL 033 POWI B 30,000 40.75 n/a n/a BUCK CAPITAL MGMT 001 PSS SS 20,000 20.60 n/a n/a MILLENNIUM-ANDEW 031 SHAW S 5,394 34.50 n/a n/a BUCK CAPITAL MGMT 001 SIG B 10,000 43.11 n/a n/a BUCK CAPITAL MGMT 001 SIG B 10,000 43.11 n/a n/a SAXON WOODS ADVISORS 242 SPF S 13,500 4.39 n/a 15-Dec	TROUBH PART 070 GM B 25,000 35.32

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
EGS ASSOCIATES LP	091	WMS	В	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

TOTAL (Trade Date): 22,345.09

Cancel/Corrects and As-Of Trades

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

TOTAL (RUN DATE) / NFS:	22,687.09
TOTAL (AO, CXL, CRT):	342.00
TOTAL (Trade Date):	22,345.09

Legend:

O: 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