

## **Daily Compliance Activity Report** Trade Date: 01/31/2011

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ARMATURE CAPITAL	041	ADM	В	40,000	33.07	n/a	31-Jan	1,600.00	4.0
WINSLOW CAPITAL	030	AMT	В	3 <b>,</b> 700	51.18	n/a	n/a	111.00	3.0
SURSUM CAPITAL	215	ANN	SS	5,000	21.59	n/a	n/a	150.00	3.0
SEVEN LOCKS CAPITAL	025	APA	В	16,000	115.38	n/a	11-Jan	480.00	3.0
WINSLOW CAPITAL	030	АРН	В	1,500	55.14	n/a	n/a	45.00	3.0
MERRILL ASSET/BLACKROCK	266	ARC	В	6 <b>,</b> 350	7.90	n/a	n/a	254.00	4.0
TRELLUS PARTNERS LP	028	AXL	С	30,000	14.53	n/a	31-Jan	1,500.00	5.0
TRELLUS PARTNERS LP	028	AXL	SS	30,000	14.43	n/a	31-Jan	1,500.00	5.0
WINSLOW CAPITAL	030	А	В	2 <b>,</b> 900	41.56	n/a	n/a	87.00	3.0
WINSLOW CAPITAL	030	BEN	В	1,500	121.66	n/a	2-Mar	45.00	3.0
LATEFF MGMT	035	BLL	S	500	71.40	n/a	n/a	175.00	35.0
WINSLOW CAPITAL	030	BTU	В	1,800	62.86	n/a	n/a	54.00	3.0
WINSLOW CAPITAL	030	BWA	В	1,700	68.07	n/a	31-Jan	51.00	3.0
NOMURA CAPITAL	029	CHMT	S	5,000	16.56	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	CLF	В	3,000	84.69	n/a	n/a	90.00	3.0

Acc	count	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WIN	ISLOW CAPITAL	030	CME	В	400	307.75	n/a	14-Jan	12.00	3.0
SUR	RSUM CAPITAL	215	СОН	SS	5,000	53.90	n/a	26-Jan	150.00	3.0
SUR	RSUM CAPITAL	215	COLM	SS	5,000	61.23	n/a	n/a	150.00	3.0
WIN	ISLOW CAPITAL	030	CRM	В	900	128.60	n/a	n/a	27.00	3.0
MER	RRILL ASSET/BLACKROCK	266	CRR	S	2,500	116.00	n/a	11-Jan	100.00	4.0
	CAPITAL MGMT/MELLON ADV	V041 289	DAN DAN	SS S	4,000 114,654	17.47 17.60	n/a n/a	31-Jan 31-Jan	200.00 4,586.16	5.0 4.0
PAR	RAMETER CAPITAL MGMT LLO	C044	DB	В	40,000	58.56	n/a	n/a	1,600.00	4.0
SUR	RSUM CAPITAL	215	DECK	В	20,000	73.57	n/a	n/a	600.00	3.0
WIN	NSLOW CAPITAL	030	DE	В	2,500	90.81	n/a	11-Jan	75.00	3.0
WIN	JSLOW CAPITAL	030	DG	В	3 <b>,</b> 700	28.00	n/a	21-Jan	111.00	3.0
WIN	JSLOW CAPITAL	030	DHR	В	6 <b>,</b> 500	45.99	n/a	n/a	195.00	3.0
COU	JGAR TRADING	044	DLTR	SS	5,000	50.60	n/a	21-Jan	250.00	5.0
MIL	LENNIUM PARTNERS ICSUS	041	DRYS	В	100,000	4.83	n/a	n/a	5,000.00	5.0
SAN	NDLER CAPITAL	028	DSW	С	40,000	33.56	n/a	21-Jan	2,400.00	6.0
CAT	CAPULT	040	DY	В	60,000	16.17	n/a	n/a	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
MERCHANTS GATE CAP LP	036	ECA	В	175 <b>,</b> 900	32.18	n/a	n/a	7,036.00	4.0
WINSLOW CAPITAL	030	ECL	В	2,000	49.63	n/a	5-Jan	60.00	3.0
WINSLOW CAPITAL	030	EL	В	1,700	80.97	n/a	14-Jan	51.00	3.0
WINSLOW CAPITAL	030	EMC	В	12,100	24.64	n/a	n/a	363.00	3.0
WINSLOW CAPITAL	030	EW	В	600	84.48	n/a	n/a	18.00	3.0
NEUBERGER BERMAN	036	EXPO	В	3,700	36.86	n/a	n/a	148.00	4.0
SURSUM CAPITAL	215	FDX	S	5,000	90.50	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	FLR	В	3,200	69.01	n/a	n/a	96.00	3.0
WINSLOW CAPITAL	030	FTI	В	3,000	93.85	n/a	n/a	90.00	3.0
AVESTA CAP	229	F	SS	200,000	16.01	n/a	31-Jan	6,000.00	3.0
CYRUS CAPITAL	025	F	SS	100,000	16.38	n/a	31-Jan	4,000.00	4.0
HOLLIS CAPITAL	033	F	S	10,000	16.17	n/a	31-Jan	500.00	5.0
L.R.BURTSCHY & CO	029	F	S	25,000	16.60	n/a	31-Jan	1,500.00	6.0
WINSLOW CAPITAL	030	F	В	8,500	16.11	n/a	31-Jan	255.00	3.0
SURSUM CAPITAL	215	GCO	SS	5,000	37.04	n/a	n/a	150.00	3.0
GREEN ARROW DOUG	040	GE	SS	25,000	20.20	n/a	n/a	1,250.00	5.0
CIRCLE T/SES PART	035	GM	SS	20,000	36.33	n/a	31-Jan	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. (	S/Shr.
WAGONHOUND/NIC	289	GPI	S	28 <b>,</b> 787	37.77	n/a	31-Jan	1,151.48	4.0
SURSUM CAPITAL	215	GPS	S	15,000	19.36	n/a	n/a	450.00	3.0
WINSLOW CAPITAL	030	GS	В	2,000	162.97	n/a	19-Jan	60.00	3.0
WINSLOW CAPITAL	030	HAL	В	2,900	44.59	n/a	n/a	87.00	3.0
WINSLOW CAPITAL	030	HPQ	В	2,600	45.42	n/a	n/a	78.00	3.0
PARAMETER CAPITAL MGMT 1	LLC044	ICE	S	10,000	119.92	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	ICE	В	900	119.23	n/a	n/a	27.00	3.0
BMO NESBITT BURNS	041	IP	В	11,000	28.99	n/a	7-Jan	440.00	4.0
WEINTRAUB CAPITAL MGT.	040	IP	В	300,000	28.92	n/a	7-Jan	12,000.00	4.0
PARAMETER CAPITAL MGMT 1	LLC044	ITW	SS	25 <b>,</b> 000	53.84	n/a	3-Jan	1,000.00	4.0
WINSLOW CAPITAL	030	ITW	В	3,900	54.20	n/a	3-Jan	117.00	3.0
SURSUM CAPITAL	215	JAH	В	5,000	34.04	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	JPM	В	4,500	44.92	n/a	14-Jan	135.00	3.0
SURSUM CAPITAL	215	KSS	SS	15,000	51.21	n/a	28-Jan	450.00	3.0
SAGE ASSET MGMT	012	KS	S	29,038	17.37	n/a	n/a	1,451.90	5.0
BASIX	033	LEA	S	20,000	105.14	n/a	31-Jan	600.00	3.0
COUGAR TRADING	044	LEA	В	2,500	104.54	n/a	31-Jan	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	105.07	n/a	31-Jan	300.00	3.0
OSKIE CAPITAL MGMT	224	LEA	В	3,000	104.67	n/a	31-Jan	150.00	5.0
TRELLUS PARTNERS LP	028	LEA	В	10,000	105.39	n/a	31-Jan	500.00	5.0
WAGONHOUND/NIC	289	LEA	S	5,328	105.02	n/a	31-Jan	213.12	4.0
CIRCLE T/SES PART	035	MGM	S	10,000	14.83	n/a	31-Jan	400.00	4.0
LATEFF MGMT	035	MRO	S	500	45.60	n/a	n/a	150.00	30.0
EGS ASSOCIATES LP	091	M	SS	5,000	23.02	n/a	28-Jan	300.00	6.0
SIGMA CAPITAL ASSOCIATES	041	М	S	50,000	23.11	n/a	28-Jan	1,750.00	3.5
SURSUM CAPITAL	215	М	SS	30,000	23.10	n/a	28-Jan	900.00	3.0
THE JAY GOLDMAN	028	М	SS	25,000	23.12	n/a	28-Jan	1,000.00	4.0
WINSLOW CAPITAL	030	NKE	В	1,500	81.84	n/a	n/a	45.00	3.0
MERRILL ASSET/BLACKROCK	266	OAS	S	25,000	32.30	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	OXY	В	1,900	95.87	n/a	n/a	57.00	3.0
BMO NESBITT BURNS	041	PCL	S	25,000	41.86	n/a	21-Jan	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	25,000	41.93	n/a	21-Jan	1,250.00	5.0
LATEFF MGMT	035	PFE	S	1,000	18.22	n/a	n/a	180.00	18.0
SURSUM CAPITAL	215	PG	В	5,000	63.62	n/a	28-Jan	150.00	3.0
SURSUM CAPITAL	215	PSS	SS	10,000	20.47	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	PVH	SS	5,000	58.43	n/a	20-Jan	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BUCK CAPITAL MGMT	001	RL	В	20,000	105.92	n/a	20-Jan	600.00	3.0
SURSUM CAPITAL	215	SHOO	В	5,000	38.56	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	SLB	В	3,700	87.76	n/a	n/a	111.00	3.0
WINSLOW CAPITAL	030	SNI	В	2,500	46.24	n/a	n/a	75.00	3.0
PARAMETER CAPITAL MGMT LL	C044	STI	В	50,000	29.77	n/a	n/a	2,000.00	4.0
TRUST CO OF THE WEST/NY	040	STX	В	9,731	13.81	n/a	n/a	389.24	4.0
TRUST CO/COWEN/CALF.	040	STX	В	3,015	13.81	n/a	n/a	120.60	4.0
FIRST NEW YORK LEDDY	035	S	В	20,000	4.46	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	266	TESO	В	3,423	14.74	n/a	n/a	136.92	4.0
COUGAR TRADING	044	TGT	S	5,000	54.65	n/a	28-Jan	250.00	5.0
SURSUM CAPITAL	215	TGT	S	20,000	54.62	n/a	28-Jan	600.00	3.0
SIGMA CAPITAL ASSOCIATES	041	TIF	В	50,000	58.33	n/a	n/a	1,750.00	3.5
M&T FUNDS	047	ТJХ	S	8.663	47.50	n/a	28-Jan	346.52	4.0
SURSUM CAPITAL	215	TJX	SS	5,000	47.30	n/a	28-Jan	150.00	3.0
THIRD COAST CAPITAL	035	TLB	S	90,000	5.56	n/a	n/a	4,500.00	5.0
DSM CAPITAL PARTNERS	085	TWC	В	23,585	68.53	n/a	n/a	1,179.25	5.0
WINSLOW CAPITAL	030	TXN	В	3,500	34.01	n/a	n/a	105.00	3.0
	BUCK CAPITAL MGMT  SURSUM CAPITAL  WINSLOW CAPITAL  WINSLOW CAPITAL  WINSLOW CAPITAL  PARAMETER CAPITAL MGMT LL  TRUST CO OF THE WEST/NY TRUST CO/COWEN/CALF.  FIRST NEW YORK LEDDY  MERRILL ASSET/BLACKROCK  COUGAR TRADING SURSUM CAPITAL  SIGMA CAPITAL ASSOCIATES  M&I FUNDS SURSUM CAPITAL  THIRD COAST CAPITAL  DSM CAPITAL PARTNERS	BUCK CAPITAL MGMT 001  SURSUM CAPITAL 215  WINSLOW CAPITAL 030  WINSLOW CAPITAL 030  PARAMETER CAPITAL MGMT LLC044  TRUST CO OF THE WEST/NY 040 TRUST CO/COWEN/CALF. 040  FIRST NEW YORK LEDDY 035  MERRILL ASSET/BLACKROCK 266  COUGAR TRADING 044 SURSUM CAPITAL 215  SIGMA CAPITAL ASSOCIATES 041  M&I FUNDS 047 SURSUM CAPITAL 215  THIRD COAST CAPITAL 035  DSM CAPITAL PARTNERS 085	BUCK CAPITAL MGMT 001 RL  SURSUM CAPITAL 215 SHOO  WINSLOW CAPITAL 030 SLB  WINSLOW CAPITAL 030 SNI  PARAMETER CAPITAL MGMT LLC044 STI  TRUST CO OF THE WEST/NY 040 STX TRUST CO/COWEN/CALF. 040 STX  FIRST NEW YORK LEDDY 035 S  MERRILL ASSET/BLACKROCK 266 TESO  COUGAR TRADING 044 TGT SURSUM CAPITAL 215 TGT  SIGMA CAPITAL ASSOCIATES 041 TIF  M&I FUNDS 047 TJX SURSUM CAPITAL 215 TJX  THIRD COAST CAPITAL 035 TLB  DSM CAPITAL PARTNERS 085 TWC	BUCK CAPITAL MGMT  O01  RL  B  SURSUM CAPITAL  215  SHOO  B  WINSLOW CAPITAL  030  SLB  B  WINSLOW CAPITAL  030  SNI  B  PARAMETER CAPITAL MGMT LLC044  STI  B  TRUST CO OF THE WEST/NY  TRUST CO/COWEN/CALF.  040  STX  B  FIRST NEW YORK LEDDY  035  S  B  MERRILL ASSET/BLACKROCK  266  TESO  B  COUGAR TRADING  SURSUM CAPITAL  215  TGT  S  SIGMA CAPITAL ASSOCIATES  041  TIF  B  M&I FUNDS  O47  TJX  S  SURSUM CAPITAL  215  TJX  S  SURSUM CAPITAL  215  TJX  S  SURSUM CAPITAL  035  TLB  S  DSM CAPITAL PARTNERS  085  TWC  B	BUCK CAPITAL MGMT 001 RL B 20,000  SURSUM CAPITAL 215 SHOO B 5,000  WINSLOW CAPITAL 030 SLB B 3,700  WINSLOW CAPITAL 030 SNI B 2,500  PARAMETER CAPITAL MGMT LLC044 STI B 50,000  TRUST CO OF THE WEST/NY 040 STX B 9,731  TRUST CO/COWEN/CALF. 040 STX B 3,015  FIRST NEW YORK LEDDY 035 S B 20,000  MERRILL ASSET/BLACKROCK 266 TESO B 3,423  COUGAR TRADING 044 TGT S 5,000  SURSUM CAPITAL 215 TGT S 20,000  SIGMA CAPITAL ASSOCIATES 041 TIF B 50,000  M&I FUNDS 047 TJX S 8,663  SURSUM CAPITAL 215 TJX SS 5,000  THIRD COAST CAPITAL 035 TLB S 90,000	BUCK CAPITAL MGMT 001 RL B 20,000 105.92  SURSUM CAPITAL 215 SHOO B 5,000 38.56  WINSLOW CAPITAL 030 SLB B 3,700 87.76  WINSLOW CAPITAL 030 SNI B 2,500 46.24  PARAMETER CAPITAL MGMT LLC044 STI B 50,000 29.77  TRUST CO OF THE WEST/NY 040 STX B 9,731 13.81  TRUST CO/COWEN/CALF. 040 STX B 3,015 13.81  FIRST NEW YORK LEDDY 035 S B 20,000 4.46  MERRILL ASSET/BLACKROCK 266 TESO B 3,423 14.74  COUGAR TRADING 044 TGT S 5,000 54.65  SURSUM CAPITAL 215 TGT S 20,000 54.62  SIGMA CAPITAL ASSOCIATES 041 TIF B 50,000 58.33  MAI FUNDS 047 TJX S 8,663 47.50  SURSUM CAPITAL 215 TJX S 5,000 47.30  THIRD COAST CAPITAL 035 TLB S 90,000 5.56  DSM CAPITAL PARTNERS 085 TWC B 23,585 68.53	BUCK CAPITAL MGMT	BUCK CAPITAL MGMT 001 RL B 20,000 105.92	BUCK CAPITAL MCMT 001 RL B 20,000 105.92

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ADAGE CAPITAL MGMT	030	UA	S	132,121	59.92	n/a	28-Jan	3,963.63	3.0
SURSUM CAPITAL	215	UA	В	5,000	59.90	n/a	28-Jan	150.00	3.0
1798 CAP/LOMBARD ASSET	040	UNP	В	13,000	94.51	n/a	n/a	650.00	5.0
WINSLOW CAPITAL	030	UNP	В	3,800	94.42	n/a	n/a	114.00	3.0
SURSUM CAPITAL	215	URBN	В	5,000	33.99	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	UTX	В	2,800	80.96	n/a	n/a	84.00	3.0
WINSLOW CAPITAL	030	VAR	В	1,600	68.75	n/a	n/a	48.00	3.0
LEVEL GLOBAL SHARED ACCT	257	VFC	С	20,000	82.29	n/a	20-Jan	600.00	3.0
WINSLOW CAPITAL	030	V	В	2,500	69.75	n/a	27-Jan	75.00	3.0
AVESTA CAP	229	WAG	S	50,000	40.53	n/a	n/a	1,500.00	3.0
TRUST CO OF THE WEST/NY	040	WDC	В	8,380	33.91	n/a	n/a	419.00	5.0
TRUST CO/COWEN/CALF.	040	WDC	В	2,920	33.91	n/a	n/a	146.00	5.0
WINSLOW CAPITAL	030	WLT	В	1,300	130.51	n/a	n/a	39.00	3.0
DSM CAPITAL PARTNERS	085	WMT	S	28,400	55.76	n/a	27-Jan	1,420.00	5.0
SURSUM CAPITAL	215	WMT	В	10,000	56.05	n/a	27-Jan	300.00	3.0
SURSUM CAPITAL	215	WMT	S	20,000	56.00	n/a	27-Jan	600.00	3.0
SURSUM CAPITAL	215	WRC	SS	10,000	50.67	n/a	20-Jan	300.00	3.0
BMO NESBITT BURNS	041	WY	S	10,000	23.11	n/a	21-Jan	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
WINSLOW CAPITAL	030	YUM	В	2,600	46.66	n/a	31-Jan	78.00 3.0
SURSUM CAPITAL	215	ZUMZ	S	20,000	23.03	n/a	n/a	600.00 3.0

TOTAL (Trade Date): 100,282.82

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	01/28	SCOPUS FUND (SCOPGS)	041	F	В	9,100	16.38	n/a	31-Jan	364.00	4.0
AO, CRT	01/28	SCOPUS FUND (SCOPGS)	041	F	В	10,501	16.38	n/a	31-Jan	420.04	4.0
AO,CXL	01/28	SCOPUS FUND (SCOPUBS)	041	F	В	60,900	16.38	n/a	31-Jan	2436.00	4.0
AO, CRT	01/28	SCOPUS FUND (SCOPUBS)	041	F	В	59,499	16.38	n/a	31-Jan	2379.96	4.0
CRT	01/31	EGS ASSOCIATES LP (EGASBANC O)	091	M	SS	5,000	23.02	n/a	28-Jan	300.00	6.0
AO CDE	01/00	ADAGE GARTENI MOME (ADAGETREIT)	0.2.0	CIII D	F.	60.000	70 60	- / -	- / -	1000 00	2 0
AO,CRT	01/28	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	SHLD	В	60,000	78.69	n/a	n/a	1800.00	3.0
AO,CXL	01/28	ADAGE CAPITAL MGMT (ADAGCSFB)	030	SHLD	В	60,000	78.69	n/a	n/a	1800.00	3.0
AO,	01/28	NOMURA CAPITAL (NOMUGMCA)	029	SSCC	S	225	37.56	n/a	7-Jan	6.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUBARC)	029	SSCC	S	175	37.56	n/a	7-Jan	5.25	3.0
AO,	01/28	NOMURA CAPITAL (NOMU7N1Q)	029	SSCC	S	275	37.56	n/a	7-Jan	8.25	3.0
AO,	01/28	NOMURA CAPITAL (NOMU7N1R)	029	SSCC	S	150	37.56	n/a	7-Jan	4.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMUSAG)	029	SSCC	S	25	37.56	n/a	7-Jan	0.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUNOMIR)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMUL3)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMULASERS)	029	SSCC	S	125	37.56	n/a	7-Jan	3.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUAYCB)	029	SSCC	S	325	37.56	n/a	7-Jan	9.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUSPH)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMUMCERS)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
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TOTAL	(AO, C	CXL, CR	ጥ) •	345.00
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TOTAL (Trade Date): 100,282.82
TOTAL (AO, CXL, CRT): 345.00

TOTAL (RUN DATE) / NFS: 100,627.82

## 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