



## Daily Compliance Activity Report

Trade Date: 01/24/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
DAVIDSON KEMPNER ADVISOR	040	ACI	C	50,000	32.54	n/a	n/a	2,500.00 5.0
OSKIE CAPITAL MGMT	224	AGO	B	10,000	15.88	n/a	n/a	500.00 5.0
IMPALA ASSET MMT	012	ALK	B	1,000	59.88	n/a	n/a	50.00 5.0
HUNTER GLOBAL INVESTOR	028	AMT	S	39,800	50.88	n/a	n/a	1,990.00 5.0
DAVIDSON KEMPNER ADVISOR	040	ANR	SS	29,000	55.43	n/a	n/a	1,450.00 5.0
SURSUM CAPITAL	215	ARO	B	5,000	25.19	n/a	7-Jan	150.00 3.0
ISLE RIDGE PARTNERS	041	AXL	SS	24,400	14.89	n/a	7-Jan	976.00 4.0
CAXTON PART	040	AXP	B	50,000	45.79	n/a	18-Jan	1,750.00 3.5
ST OF MICHIAN	047	BAX	S	200,000	49.76	n/a	n/a	6,000.00 3.0
HUNTER GLOBAL INVESTOR	028	CCI	S	47,200	42.38	n/a	n/a	2,360.00 5.0
IMPALA ASSET MMT	012	CENX	S	125,945	14.58	n/a	n/a	3,778.35 3.0
OSKIE CAPITAL MGMT	224	CLF	S	9,000	82.22	n/a	n/a	450.00 5.0
PROSPECTOR PARTNERS LLC	036	CMCSK	S	10,000	22.14	n/a	n/a	400.00 4.0
SENATOR INVESTMENT GROUP	036	CMI	B	15,000	103.04	n/a	4-Jan	450.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	COH	B	17,000	53.54	n/a	20-Jan	680.00	4.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	14.27	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	CSX	S	5,500	67.68	n/a	n/a	275.00	5.0
NEUBERGER BERMAN	036	DDR	B	16,800	13.67	n/a	n/a	672.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>S</b>	<b>30,000</b>	<b>40.68</b>	<b>n/a</b>	<b>n/a</b>	<b>900.00</b>	<b>3.0</b>
NEUBERGER BERMAN	036	EXPO	B	3,000	36.25	n/a	n/a	120.00	4.0
BASIX	033	FDO	SS	12,000	43.46	n/a	21-Jan	360.00	3.0
SURSUM CAPITAL	215	GPS	S	35,000	20.09	n/a	n/a	1,050.00	3.0
COOKBIELER	028	HBI	B	77,800	24.22	n/a	20-Jan	3,112.00	4.0
NEUBERGER BERMAN	036	HIBB	B	9,800	33.53	n/a	n/a	392.00	4.0
NEUBERGER BERMAN	036	HST	B	12,600	18.14	n/a	20-Jan	504.00	4.0
SURSUM CAPITAL	215	HWD	B	10,000	10.97	n/a	n/a	300.00	3.0
IMPALA ASSET MMT	012	INT	S	11,400	35.71	n/a	n/a	456.00	4.0
ARMATURE CAPITAL	041	IP	B	20,000	28.75	n/a	7-Jan	800.00	4.0
ISLE RIDGE PARTNERS	041	JBHT	S	25,000	41.30	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	JCP	B	132,525	32.03	n/a	7-Jan	3,975.75	3.0
SCOPUS FUND	041	JNY	S	25,800	12.33	n/a	21-Jan	1,032.00	4.0
SURSUM CAPITAL	215	JNY	B	20,000	12.47	n/a	21-Jan	600.00	3.0
OSKIE CAPITAL MGMT	224	JPM	B	5,000	45.01	n/a	14-Jan	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>20,000</b>	<b>51.57</b>	<b>n/a</b>	<b>7-Jan</b>	<b>600.00</b>	<b>3.0</b>
JET CAPITAL/CHRIS	041	LO	S	100,000	73.52	n/a	n/a	3,000.00	3.0
SCOPUS FUND	041	LPX	S	3,600	9.76	n/a	8-Nov	144.00	4.0
ROSEDALE CAPITAL	046	LXK	S	10,000	35.98	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	MWV	B	8,000	28.46	n/a	21-Jan	400.00	5.0
SURSUM CAPITAL	215	M	SS	10,000	23.41	n/a	10-Jan	300.00	3.0
ISLE RIDGE PARTNERS	041	NSC	B	25,000	64.10	n/a	n/a	1,000.00	4.0
PROSPECTOR PARTNERS LLC	036	NYT	S	10,000	10.45	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>B</b>	<b>10,000</b>	<b>23.48</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
LATEFF MGMT	035	PKG	S	3,500	28.94	n/a	7-Jan	420.00	12.0
NEUBERGER BERMAN	036	PLD	B	16,000	14.27	n/a	n/a	640.00	4.0
CATAPULT CAP/DEFRANCO	040	PNR	B	36,140	36.41	n/a	n/a	1,445.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLENHILL CAPITAL	036	QCOM	S	42,500	51.01	n/a	n/a	2,125.00	5.0
PORTER-ORLIN	044	QQQQ	B	150,000	56.35	n/a	n/a	7,500.00	5.0
PLATTE RIVER CAPITAL	240	RF	S	59,810	7.24	n/a	n/a	2,392.40	4.0
MILLENIUM PARTNERS	028	RKT	B	20,000	59.11	n/a	n/a	800.00	4.0
T. ROWE PRICE	033	RRC	B	77,000	46.60	n/a	11-Jan	3,080.00	4.0
OSKIE CAPITAL MGMT	224	RSH	B	13,500	15.54	n/a	n/a	675.00	5.0
HUNTER GLOBAL INVESTOR	028	SBAC	S	49,600	40.27	n/a	n/a	1,984.00	4.0
NEUBERGER BERMAN	036	SKT	B	4,600	50.15	n/a	n/a	184.00	4.0
HOLLIS CAPITAL	033	SSCC	S	5,000	35.60	n/a	7-Jan	250.00	5.0
MFP INVESTORS	085	SSCC	B	30,000	34.91	n/a	7-Jan	1,500.00	5.0
NOMURA CAPITAL	029	SSCC	S	5,000	35.05	n/a	7-Jan	150.00	3.0
IMPALA ASSET MMT	012	SWFT	S	14,300	13.69	n/a	n/a	429.00	3.0
IMPALA ASSET MMT	012	TEX	S	22,000	31.16	n/a	22-Oct	880.00	4.0
SURSUM CAPITAL	215	TGT	B	10,000	55.76	n/a	7-Jan	300.00	3.0
SURSUM CAPITAL	215	TIF	S	5,000	58.13	n/a	n/a	150.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		TIN	B	15,000	23.69		n/a 7-Jan	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DENVER INST. ADV	046	TJX	B	161,122	47.61	n/a	7-Jan	6,444.88	4.0
IMPALA ASSET MMT	012	UAL	B	15,000	24.00	n/a	n/a	600.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	B	50,000	36.15	n/a	n/a	1,500.00	3.0
IMPALA ASSET MMT	012	WAB	SS	19,000	53.32	n/a	n/a	950.00	5.0
TRUSTCO/SUNTRUST	040	WEN	B	45,300	4.79	n/a	7-Jan	1,585.50	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WMT</b>	<b>B</b>	<b>100,000</b>	<b>55.66</b>	<b>n/a</b>	<b>17-Nov</b>	<b>3,000.00</b>	<b>3.0</b>
PLATTE RIVER CAPITAL	240	WMT	B	15,000	55.90	n/a	17-Nov	600.00	4.0
RBC CAPITAL MARKETS	040	WMT	SS	15,000	55.73	n/a	17-Nov	600.00	4.0
IMPALA ASSET MMT	012	WYN	S	14,400	28.56	n/a	n/a	576.00	4.0
BMO NESBITT BURNS	041	XLB	SS	7,000	37.97	n/a	n/a	350.00	5.0
ISLE RIDGE PARTNERS	041	XLI	B	40,000	36.09	n/a	n/a	1,600.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>89,788.48</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/24	ROSEDALE CAPITAL (ROSEGS)	046	LXK	S	10,000	35.98	n/a	n/a	500.00 5.0
AO,CRT	01/21	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	UFS	S	10,000	81.24	n/a	n/a	300.00 3.0
AO,CXL	01/21	SCHOTTENFELD ASSOC (SCHOASSOC)	041	UFS	S	10,000	81.24	n/a	n/a	300.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>500.00</b>
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TOTAL (Trade Date) :	89,788.48
TOTAL (AO, CXL, CRT) :	500.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>90,288.48</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