



Daily Compliance Activity Report

Trade Date: 01/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AAPL	S	830	332.63	n/a	n/a	41.50	5.0
CAVU CAP ADV	028	ANF	S	15,000	51.00	n/a	10-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	30,000	22.57	n/a	n/a	900.00	3.0
LAGRANGE CAP ADV	048	AN	SS	15,000	29.09	n/a	7-Jan	750.00	5.0
BALYASNY ASSET MGMT	044	ASNA	S	50,000	27.05	n/a	n/a	2,500.00	5.0
LAGRANGE CAP ADV	048	AXL	B	15,000	14.59	n/a	7-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	BID	B	10,000	41.57	n/a	n/a	300.00	3.0
CHARTER OAK	033	BUD	B	5,000	55.83	n/a	14-Jan	250.00	5.0
CAVU CAP ADV	028	BYD	S	10,000	11.35	n/a	n/a	500.00	5.0
1798 CAP/LOMBARD ASSET	040	CAT	S	21,000	94.35	n/a	22-Oct	1,050.00	5.0
BUCK CAPITAL MGMT	001	COH	B	20,000	53.53	n/a	20-Jan	600.00	3.0
Õ Nilsa Vazquez		CREE	B	100	52.0790	n/a	n/a	0.00	0.0
SONTERRA CAP	041	CVBF	B	30,000	8.36	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	DDS	S	37,500	43.15	n/a	n/a	1,125.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	DDS	B	49,182	41.97	n/a	n/a	1,967.28	4.0
ARCHON CAPITAL	035	DRIV	B	10,000	34.41	n/a	n/a	300.00	3.0
CAVU CAP ADV	028	DRI	B	15,000	46.86	n/a	7-Jan	750.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	ES	S	15,000	5.47		n/a	n/a	600.00 4.0
NEUBERGER BERMAN	036	EXPO	B	1,700	36.36	n/a	n/a	68.00	4.0
SAC CRIB	044	FDX	S	25,000	93.54	n/a	n/a	875.00	3.5
BASIX	033	FL	B	15,000	18.34	n/a	22-Dec	450.00	3.0
CIRCLE T/SES PART	035	F	B	40,000	17.62	n/a	7-Jan	1,600.00	4.0
BUCK CAPITAL MGMT	001	GES	S	30,000	42.70	n/a	20-Jan	900.00	3.0
NEWLAND CAPITAL MGT	025	GPI	B	30,844	38.78	n/a	7-Jan	1,233.76	4.0
NEUBERGER BERMAN	036	HIBB	B	13,600	33.51	n/a	n/a	544.00	4.0
CAVU CAP ADV	028	HST	S	15,000	18.10	n/a	20-Jan	750.00	5.0
SIGMA CAP BOBBY	044	IWM	SS	20,000	78.10	n/a	n/a	700.00	3.5
LANE GATE PARTNERS LLC	012	JCI	B	1,500	38.98	n/a	20-Jan	45.00	3.0
BALYASNY ASSET MGMT	044	JCP	SS	25,000	30.38	n/a	7-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	51.42	n/a	7-Jan	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	S	10,000	42.00	n/a	14-Jan	500.00	5.0
CATAPULT	040	LEAP	S	75,000	13.15	n/a	n/a	3,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	MAN	S	6,070	64.80	n/a	n/a	242.80	4.0
NEWLAND CAPITAL MGT	025	MDR	B	25,000	19.58	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	025	MOD	B	25,000	16.23	n/a	n/a	1,000.00	4.0
FARALLON CAP MGMT	040	MSFT	B	102,300	28.22	n/a	n/a	3,069.00	3.0
CAXTON PART	040	MS	C	86,900	28.41	n/a	20-Jan	3,041.50	3.5
BUCK CAPITAL MGMT	001	MW	S	20,000	26.01	n/a	n/a	600.00	3.0
SIGMA CAP BOBBY	044	NOV	B	15,000	67.16	n/a	n/a	525.00	3.5
BUCK CAPITAL MGMT	001	OXM	S	800	24.01	n/a	n/a	24.00	3.0
CAMBIAR CAP	046	PRX	B	59,818	36.18	n/a	18-Jan	2,392.72	4.0
EMERSON CAPITAL MGMT	048	SIG	B	8,000	42.32	n/a	n/a	240.00	3.0
SIGMA CAP BOBBY	044	SPY	SS	15,000	127.88	n/a	n/a	525.00	3.5
COLUMBUS CAP MGMT LLC	084	SRI	B	17,566	15.01	n/a	n/a	878.30	5.0
PERRY PARTNERS	085	SUN	B	10,000	40.47	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	SVU	SS	50,000	7.30	n/a	n/a	2,000.00	4.0
1798 CAP/LOMBARD ASSET	040	SWC	B	5,000	21.87	n/a	n/a	250.00	5.0
COUGAR TRADING	044	TGT	B	5,000	55.69	n/a	7-Jan	250.00	5.0
COUGAR TRADING	044	TGT	S	5,000	55.44	n/a	7-Jan	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	100,000	39.71	n/a	n/a	3,000.00	3.0
SIGMA CAP BOBBY	044	TYC	SS	10,000	44.08	n/a	5-Jan	350.00	3.5
SENATOR INVESTMENT GROUP	036	VAL	B	37,200	35.78	n/a	n/a	1,116.00	3.0
Õ Ann Bettendorf Freeman		VMW	B	100	88.4400	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	VRX	SS	4,000	35.00	n/a	n/a	400.00	10.0
TRUSTCO/SUNTRUST	040	WEN	B	50,000	4.86	n/a	7-Jan	1,750.04	3.5
TOTAL (Trade Date):								49,853.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/19	NOMURA CAPITAL (NOMUGMCA)	029	ABH	S	350	26.72	n/a	n/a	10.50 3.0
AO,	01/19	NOMURA CAPITAL (NOMUBARC)	029	ABH	S	275	26.72	n/a	n/a	8.25 3.0
AO,	01/19	NOMURA CAPITAL (NOMU7N1Q)	029	ABH	S	400	26.72	n/a	n/a	12.00 3.0
AO,	01/19	NOMURA CAPITAL (NOMU7N1R)	029	ABH	S	250	26.72	n/a	n/a	7.50 3.0
AO,	01/19	NOMURA CAPITAL (NOMUSAG)	029	ABH	S	50	26.72	n/a	n/a	1.50 3.0
AO,	01/19	NOMURA CAPITAL (NOMUCOSMOS)	029	ABH	S	25	26.72	n/a	n/a	0.75 3.0
AO,	01/19	NOMURA CAPITAL (NOMUL3)	029	ABH	S	75	26.72	n/a	n/a	2.25 3.0
AO,	01/19	NOMURA CAPITAL (NOMUEB6J)	029	ABH	S	200	26.72	n/a	n/a	6.00 3.0
AO,	01/19	NOMURA CAPITAL (NOMULASERS)	029	ABH	S	200	26.72	n/a	n/a	6.00 3.0
AO,	01/19	NOMURA CAPITAL (NOMUAYCB)	029	ABH	S	3,000	26.72	n/a	n/a	90.00 3.0
AO,	01/19	NOMURA CAPITAL (NOMUSPH)	029	ABH	S	75	26.72	n/a	n/a	2.25 3.0
AO,	01/19	NOMURA CAPITAL (NOMUMCERS)	029	ABH	S	100	26.72	n/a	n/a	3.00 3.0
AO,	01/19	NOMURA CAPITAL (NOMU7N1Q)	029	CHMT	S	750	16.00	n/a	n/a	22.50 3.0
AO,	01/19	NOMURA CAPITAL (NOMU7N1R)	029	CHMT	S	525	16.00	n/a	n/a	15.75 3.0
AO,	01/19	NOMURA CAPITAL (NOMUSW7Y)	029	CHMT	S	725	16.00	n/a	n/a	21.75 3.0
AO,	01/19	NOMURA CAPITAL (NOMUNOMIR)	029	CHMT	S	125	16.00	n/a	n/a	3.75 3.0
AO,	01/19	NOMURA CAPITAL (NOMUL3)	029	CHMT	S	125	16.00	n/a	n/a	3.75 3.0
AO,	01/19	NOMURA CAPITAL (NOMUEB6J)	029	CHMT	S	350	16.00	n/a	n/a	10.50 3.0
AO,	01/19	NOMURA CAPITAL (NOMULASERS)	029	CHMT	S	350	16.00	n/a	n/a	10.50 3.0
AO,	01/19	NOMURA CAPITAL (NOMUAYCB)	029	CHMT	S	925	16.00	n/a	n/a	27.75 3.0
AO,	01/19	NOMURA CAPITAL (NOMUSPH)	029	CHMT	S	125	16.00	n/a	n/a	3.75 3.0
AO,	01/19	WADDELL AND REED (WADD097)	047	DXCM	B	89,870	15.17	n/a	n/a	3594.80 4.0
CRT	01/20	CIRCLE T/SES PART (CIRCMAIN)	035	F	B	40,000	17.62	n/a	7-Jan	1600.00 4.0
CRT	01/20	SIGMA CAP BOBBY (SIBEML)	044	IWM	SS	20,000	78.10	n/a	n/a	700.00 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/20	FARALLON CAP MGMT (FARABULK F)	040	MSFT	B	100,000	28.22	n/a	n/a	3000.00 3.0
CRT	01/20	SIGMA CAP BOBBY (SIBEML)	044	SPY	SS	15,000	127.88	n/a	n/a	525.00 3.5
CRT	01/20	BMO NESBITT BURNS (BMONFLIP)	041	VRX	SS	4,000	35.00	n/a	n/a	400.00 10.0
TOTAL (AO, CXL, CRT) :										10,089.80
TOTAL (Trade Date) :										49,853.90
TOTAL (AO, CXL, CRT) :										10,089.80
TOTAL (RUN DATE) / NFS:										59,943.70

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