



Daily Compliance Activity Report

Trade Date: 01/12/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SERENGETI MGMT	030	ACI	B	25,000	34.16	n/a	n/a	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANF	B	75,000	53.43	n/a	10-Jan	2,250.00	3.0
BUCK CAPITAL MGMT	001	ANN	B	145,000	23.75	n/a	n/a	4,350.00	3.0
CAERUS GLOBAL	041	ANN	B	20,000	23.42	n/a	n/a	800.00	4.0
FIRST NY SEC/CHRIS	041	ANN	B	10,000	24.01	n/a	n/a	500.00	5.0
PLATTE RIVER CAPITAL	240	AVP	S	64,900	29.26	n/a	7-Dec	2,596.00	4.0
LOCUS WOOD CAPITAL MGMT	044	BP	B	10,000	47.20	n/a	n/a	400.00	4.0
NEUSTRADA CAP LLC	085	BUD	B	17,300	58.15	n/a	15-Dec	519.00	3.0
CASTLE ARK	031	BWA	S	72,314	69.84	n/a	7-Jan	3,615.70	5.0
FIRST NY SEC/CHRIS	041	BZ	B	10,000	8.36	n/a	n/a	500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	BZ	B	5,000	8.37	n/a	n/a	250.00	5.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	300	14.76	n/a	n/a	15.00	5.0
KLEINHEINZ CAP PART	031	COLM	SS	20,000	59.59	n/a	n/a	1,000.00	5.0
BALLAST CAP	040	COV	B	1,900	46.90	n/a	n/a	95.00	5.0
BALLAST CAP	040	CPB	SS	1,100	35.00	n/a	n/a	55.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,900	103.09	n/a	11-Jan	76.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	CVA	SS	2,300	16.79	n/a	n/a	115.00	5.0
SENATOR INVESTMENT GROUP	036	DAN	B	38,300	18.17	n/a	7-Jan	1,149.00	3.0
PARAMETER CAPITAL MGMT LLC	044	DE	B	25,000	87.40	n/a	11-Jan	1,000.00	4.0
NCM CAPITAL MGMT	035	GILD	B	23,700	37.66	n/a	n/a	948.00	4.0
CAMBIAR CAP	046	GLW	B	100,000	19.62	n/a	6-Jan	4,000.00	4.0
BALLAST CAP	040	IGT	B	5,000	18.64	n/a	7-Dec	250.00	5.0
LISTED ERR	099	INTC	S	720	21.17	n/a	n/a	0.00	0.0
PAULSON & CO INC	041	IP	B	297,300	28.69	n/a	7-Jan	11,892.00	4.0
BALLAST CAP	040	JNY	B	4,700	14.34	n/a	28-Oct	235.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	S	15,000	28.63	n/a	7-Jan	750.00	5.0
SENATOR INVESTMENT GROUP	036	PMC	S	28,000	13.11	n/a	n/a	840.00	3.0
SENATOR INVESTMENT GROUP	036	RJET	S	69,726	7.06	n/a	n/a	2,091.78	3.0
RBC CAPITAL MARKETS	040	RRR	B	50,000	11.57	n/a	12-Jan	2,000.00	4.0
ELM RIDGE ADVISORS	044	RYN	S	60,000	56.92	n/a	27-Oct	2,400.00	4.0
MANNING & NAPIER	034	SHW	S	163,573	83.34	n/a	5-Jan	4,907.19	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	SPTN	B	3,200	16.16	n/a	n/a	160.00	5.0
LOCUS WOOD CAPITAL MGMT	044	SWK	B	10,000	68.19	n/a	n/a	400.00	4.0
BALLAST CAP	040	TIN	B	5,300	23.22	n/a	7-Jan	265.00	5.0
TOTAL (Trade Date):								51,674.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/11	LISTED ERR (LISTED ERR)	099	INTC	B	720	20.94	n/a	n/a	0.00	0.0
AO,	01/11	MANNING & NAPIER (MANNCD7024)	034	SHW	S	120	83.34	n/a	5-Jan	3.60	3.0
AO,	01/11	MANNING & NAPIER (MANNMJ4799)	034	SHW	S	30	83.34	n/a	5-Jan	0.90	3.0
AO,CXL	01/11	MANNING & NAPIER (MANNCD7106)	034	SHW	S	60	83.34	n/a	5-Jan	1.80	3.0
AO,CXL	01/11	MANNING & NAPIER (MANNCD7024)	034	SHW	S	120	83.34	n/a	5-Jan	3.60	3.0
AO,CXL	01/11	MANNING & NAPIER (&MANNMJ479)	034	SHW	S	30	83.34	n/a	5-Jan	0.90	3.0
AO,	01/11	MANNING & NAPIER (MANNMU2030)	034	SHW	S	60	83.34	n/a	5-Jan	1.80	3.0
AO,CXL	01/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WRC	S	10,000	51.22	n/a	10-Jan	300.00	3.0
AO,	01/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WRC	S	1,000	51.22	n/a	10-Jan	30.00	3.0
AO,CRT	01/11	BUCK CAPITAL MGMT (BUCKJPMBS)	001	WRC	S	9,000	51.22	n/a	10-Jan	270.00	3.0
TOTAL (AO, CXL, CRT) :										0.00	
TOTAL (Trade Date) :									51,674.67		
TOTAL (AO, CXL, CRT) :									0.00		
TOTAL (RUN DATE) / NFS:									51,674.67		

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