



Daily Compliance Activity Report

Trade Date: 01/10/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	ACW	S	30,000	16.01	n/a	n/a	900.00	3.0
BNP PARIBAS SEC	040	ALB	B	10,000	54.51	n/a	n/a	500.00	5.0
PARAMETER CAPITAL MGMT LLC044		AMG	B	5,900	102.58	n/a	2-Mar	236.00	4.0
HOPLITE MGMT	025	APOL	B	50,000	36.00	n/a	n/a	2,500.00	5.0
LAGRANGE CAP ADV	048	AXL	SS	30,000	15.12	n/a	7-Jan	1,500.00	5.0
OSKIE CAPITAL MGMT	224	AXL	S	40,000	15.15	n/a	7-Jan	2,000.00	5.0
SAC CHICAGO ANDREW	031	BBY	B	33,000	35.38	n/a	n/a	1,155.00	3.5
NOMURA CAPITAL	029	CHMT	S	4,000	16.00	n/a	n/a	120.00	3.0
BNP PARIBAS SEC	040	CMI	B	5,000	110.74	n/a	4-Jan	250.00	5.0
PARAMETER CAPITAL MGMT LLC044		COF	B	30,985	45.92	n/a	7-Jan	1,239.40	4.0
OHIO PERS	047	CSCO	B	80,000	20.79	n/a	n/a	2,400.00	3.0
SENATOR INVESTMENT GROUP	036	CSX	B	50,000	67.79	n/a	n/a	1,500.00	3.0
METROPOLITAN CAPITAL	044	DAN	S	17,500	18.50	n/a	7-Jan	875.00	5.0
CATAPULT	040	FTO	S	25,000	18.43	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	45,300	37.02	n/a	n/a	1,359.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	GES	B	5,000	43.00	n/a	24-Nov	150.00	3.0
SAC COHEN	044	GE	S	250,000	18.56	n/a	n/a	8,750.00	3.5
NOMURA CAPITAL	029	GGC	S	3,000	24.65	n/a	n/a	90.00	3.0
OHIO PERS	047	GLW	S	86,000	19.17	n/a	6-Jan	2,580.00	3.0
DELTEC ASSET MGMT.	040	HPQ	B	13,756	44.76	n/a	n/a	687.80	5.0
SENATOR INVESTMENT GROUP	036	IWM	SS	174,500	78.83	n/a	n/a	5,235.00	3.0
SCOPUS FUND	041	JCI	SS	50,000	40.84	n/a	5-Jan	2,000.00	4.0
SURSUM CAPITAL	215	JNY	S	50,000	14.29	n/a	28-Oct	1,500.00	3.0
MA CAPITAL MGMT/MELLON ADV041		JWN	B	2,000	41.87	n/a	7-Jan	100.00	5.0
MA CAPITAL MGMT/MELLON ADV041		JWN	S	2,000	42.18	n/a	7-Jan	100.00	5.0
LAGRANGE CAP ADV	048	KMX	SS	10,000	32.40	n/a	n/a	500.00	5.0
METROPOLITAN CAPITAL	044	LEA	S	3,400	108.07	n/a	7-Jan	170.00	5.0
SURSUM CAPITAL	215	LIZ	S	88,612	5.79	n/a	7-Oct	2,658.36	3.0
LANE GATE PARTNERS LLC	012	MOO	B	1,500	54.22	n/a	n/a	45.00	3.0
PROSPECTOR PARTNERS LLC	036	NYT	S	10,000	9.99	n/a	n/a	400.00	4.0
JETSTREAM GLOBAL FUND LP	065	PH	B	9,400	86.26	n/a	3-Jan	470.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	PMUG	S	12,000	13.98	n/a	n/a	360.00	3.0
CAMBIAR CAP	046	PRX	B	33,300	35.99	n/a	10-Jan	1,332.00	4.0
NOMURA CAPITAL	029	QLTY	S	5,000	9.74	n/a	n/a	150.00	3.0
BALLAST CAP	040	RSG	SS	1,700	29.30	n/a	n/a	85.00	5.0
MANNING & NAPIER	034	SHW	S	51,600	83.02	n/a	5-Jan	1,548.00	3.0
SONTERRA CAP	041	SVU	SS	100,000	8.56	n/a	n/a	3,000.00	3.0
BALLAST CAP	040	SYX	SS	1,700	30.38	n/a	n/a	85.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.54	n/a	n/a	800.00	4.0
CRAMER ROSENTHAL/SCOTT	012	TGT	B	84,200	55.25	n/a	7-Jan	3,368.00	4.0
ELM RIDGE ADVISORS	044	TIN	S	37,000	22.82	n/a	7-Jan	1,480.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	50,000	7.41	n/a	n/a	1,000.00	2.0
SURSUM CAPITAL	215	URBN	SS	15,000	35.82	n/a	n/a	450.00	3.0
PARAMETER CAPITAL MGMT LLC	044	VMC	B	20,000	40.78	n/a	n/a	800.00	4.0
BALLAST CAP	040	WGO	SS	3,500	14.52	n/a	n/a	175.00	5.0
CAPITAL GROWTH MGMT.	241	WLT	S	190,000	132.22	n/a	n/a	9,500.00	5.0

TOTAL (Trade Date):

67,103.56

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/07	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	GES	B	10,000	42.89	n/a	24-Nov	300.00 3.0
AO,CXL	01/07	SCHOTTENFELD ASSOC (SCHOASSOC)	041	GES	B	10,000	42.89	n/a	24-Nov	300.00 3.0
AO,	01/07	NOMURA CAPITAL (NOMULASERS)	029	QLTY	S	900	9.97	n/a	n/a	27.00 3.0
AO,CXL	01/07	DSG CAPITAL (DSGCJEFF)	012	RRR	S	10,100	11.89	n/a	25-Oct	505.00 5.0
AO,CRT	01/07	DSG CAPITAL (DSGCJEFF)	012	RRR	S	10,100	11.89	n/a	25-Oct	303.00 3.0
CRT	01/10	SONTERRA CAP (SONTGSRBUCK)	041	SVU	SS	100,000	8.56	n/a	n/a	3000.00 3.0
AO,	01/07	BUCK CAPITAL MGMT (BUCKJPMBS)	001	WRC	B	41,300	49.78	n/a	10-Jan	1239.00 3.0
AO,CXL	01/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WRC	B	50,000	49.78	n/a	10-Jan	1500.00 3.0
AO,CRT	01/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WRC	B	8,700	49.78	n/a	10-Jan	261.00 3.0
TOTAL (AO, CXL, CRT) :										2,825.00

TOTAL (Trade Date) :	67,103.56
TOTAL (AO, CXL, CRT) :	2,825.00

TOTAL (RUN DATE) / NFS :	69,928.56
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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