



Daily Compliance Activity Report

Trade Date: 02/15/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ST OF MICHIAN	047	AEO	B	90,000	15.83	n/a	4-Feb	2,700.00	3.0
OSKIE CAPITAL MGMT	224	AGO	B	10,000	15.42	n/a	n/a	500.00	5.0
ST OF MICHIAN	047	ALL	B	30,000	30.84	n/a	n/a	900.00	3.0
RBC CAPITAL MARKETS	040	ATK	B	10,000	71.77	n/a	n/a	400.00	4.0
MILLENIUM PARTNERS	028	AXL	B	30,000	14.49	n/a	9-Feb	1,200.00	4.0
RBC CAPITAL MARKETS	040	BA	SS	20,000	71.42	n/a	15-Feb	800.00	4.0
Õ Nilsa Vazquez		BZH	B	1000	4.9900	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	CLF	S	15,000	92.05	n/a	n/a	750.00	5.0
IMPALA ASSET MMT	012	CNX	S	193,700	46.48	n/a	n/a	9,685.00	5.0
MILLENIUM PARTNERS	028	DAN	S	30,000	18.28	n/a	31-Jan	1,200.00	4.0
CAVU CAP ADV	028	DECK	S	5,000	84.51	n/a	n/a	250.00	5.0
IMPALA ASSET MMT	012	DSW	S	50,000	39.57	n/a	11-Feb	2,500.00	5.0
IMPALA ASSET MMT	012	EMN	S	40,000	92.45	n/a	n/a	2,000.00	5.0
GEORGE WEISS	034	FL	SS	21,000	18.39	n/a	22-Dec	840.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	GD	B	4,700	77.20	n/a	15-Feb	235.00	5.0
M&I FUNDS	047	GE	S	28,159	21.36	n/a	n/a	1,126.36	4.0
SCOPUS FUND	041	GIL	SS	25,000	30.51	n/a	9-Feb	1,000.00	4.0
RBC CAPITAL MARKETS	040	GMCR	B	25,000	44.63	n/a	n/a	1,000.00	4.0
DALTON GREINER	012	GPS	B	170,000	22.74	n/a	n/a	8,500.00	5.0
ACK ASSET	028	HBI	S	32,200	25.02	n/a	28-Jan	966.00	3.0
KLEINHEINZ CAP PART	031	HBI	S	25,000	24.86	n/a	28-Jan	1,250.00	5.0
SCOPUS FUND	041	HD	B	25,000	37.59	n/a	13-Dec	1,000.00	4.0
RBC CAPITAL MARKETS	040	HRS	S	10,000	49.15	n/a	5-Jan	400.00	4.0
GREEN ARROW DOUG	040	HST	B	25,000	19.13	n/a	14-Feb	1,250.00	5.0
SENATOR INVESTMENT GROUP	036	HUN	B	250,000	18.84	n/a	n/a	7,500.00	3.0
CATAPULT	040	IPI	B	10,000	38.31	n/a	n/a	400.00	4.0
PARAMETER CAPITAL MGMT LLC	044	IR	B	60,000	47.14	n/a	10-Feb	2,400.00	4.0
LAGRANGE CAP ADV	048	IVN	SS	10,000	28.17	n/a	n/a	500.00	5.0
SOUTH POINT CAP	044	IWM	B	50,000	82.28	n/a	n/a	2,500.00	5.0
IMPALA ASSET MMT	012	KBH	B	10,900	14.40	n/a	n/a	327.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	KBR	S	6,000	33.62	n/a	n/a	300.00	5.0
RAINIER INV MGMT	035	KO	B	167,380	63.00	n/a	14-Jan	6,695.20	4.0
AVESTA CAP	229	LEN	B	100,000	20.52	n/a	n/a	3,000.00	3.0
DISIPLINED GROWTH INV.	030	LTD	S	7,450	32.54	n/a	n/a	372.50	5.0
MERRILL ASSET/BLACKROCK	266	MAC	S	3,900	49.52	n/a	n/a	156.00	4.0
OSKIE CAPITAL MGMT	224	MBI	B	15,000	11.90	n/a	n/a	750.00	5.0
CLOVIS CAPITAL	012	MMC	B	250,000	30.39	n/a	n/a	7,500.00	3.0
T. ROWE PRICE	033	MMM	B	130,800	91.99	n/a	11-Feb	5,232.00	4.0
GREEN ARROW DOUG	040	M	B	10,000	23.70	n/a	7-Feb	500.00	5.0
IMPALA ASSET MMT	012	OC	S	55,000	34.08	n/a	n/a	2,200.00	4.0
SCOPUS FUND	041	OMC	SS	12,000	48.93	n/a	n/a	480.00	4.0
AVESTA CAP	229	ORCL	B	200,000	32.75	n/a	n/a	6,000.00	3.0
GRANITE CAPITAL	028	PAG	S	16,579	20.32	n/a	15-Feb	828.95	5.0
BUCK CAPITAL MGMT	001	PVH	B	7,100	61.05	n/a	1-Feb	213.00	3.0
GREEN ARROW DOUG	040	QQQQ	B	60,000	58.46	n/a	n/a	3,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	RCL	S	5,400	47.33	n/a	n/a	270.00	5.0
CASTLEROCK	040	RIMM	SS	30,632	65.09	n/a	n/a	1,225.28	4.0
BUCK CAPITAL MGMT	001	RL	S	3,000	124.67	n/a	10-Feb	90.00	3.0
MFP INVESTORS	085	RURL	B	8,500	13.97	n/a	n/a	425.00	5.0
MERRILL ASSET/BLACKROCK	266	SAFT	S	7,299	49.26	n/a	n/a	291.96	4.0
IMPALA ASSET MMT	012	SMH	S	75,000	35.96	n/a	n/a	3,000.00	4.0
GREEN ARROW DOUG	040	SPLS	B	15,000	22.04	n/a	n/a	750.00	5.0
SOUTH POINT CAP	044	SPY	B	25,000	133.04	n/a	n/a	1,250.00	5.0
LITESPEED	028	SSCC	S	55,000	39.55	n/a	7-Jan	1,650.00	3.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.49	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	TEX	S	5,000	36.94	n/a	11-Feb	200.00	4.0
TRELLUS PARTNERS LP	028	TEX	B	20,000	36.83	n/a	11-Feb	1,000.00	5.0
CAMBIAR CAP	046	TGT	B	50,000	54.01	n/a	4-Feb	2,000.00	4.0
MERRILL ASSET/BLACKROCK	266	THFF	S	1,000	31.98	n/a	n/a	40.00	4.0
COOPER CREEK PART	028	TIN	B	25,000	25.50	n/a	8-Feb	1,000.00	4.0
IMPALA ASSET MMT	012	TIN	S	13,333	25.29	n/a	8-Feb	533.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	TJX	S	8,050	49.28	n/a	7-Feb	402.50	5.0
IMPALA ASSET MMT	012	URI	S	70,000	32.28	n/a	n/a	2,800.00	4.0
OSKIE CAPITAL MGMT	224	WFC	B	10,000	33.67	n/a	14-Feb	500.00	5.0
BERMAN CAPITAL MGMT	046	WMT	S	30,000	54.96	n/a	27-Jan	900.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	54.78	n/a	20-Jan	600.00	3.0
LEVEL GLOBAL SHARED ACCT	257	WSM	S	100,000	38.06	n/a	n/a	3,000.00	3.0
T. ROWE PRICE	033	WY	S	140,700	24.84	n/a	4-Feb	5,628.00	4.0
CAXTON PART	040	XOM	S	51,591	83.21	n/a	n/a	1,805.72	3.5
IRIDIAN ASSET MGMT.	036	YHOO	S	303,912	17.15	n/a	n/a	9,117.36	3.0
TOTAL (Trade Date) :							130,586.15		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/14	OWL CREEK INV (OWLCJPM)	085	BP	B	558,300	46.11	n/a	n/a	16749.00 3.0
AO,	02/14	OWL CREEK INV (OWLCDB)	085	CVX	S	145,400	96.30	n/a	n/a	4362.00 3.0
AO,CXL	02/14	NEWLAND CAPITAL MGT (NEWLGS)	025	KOG	B	25,000	6.33	n/a	n/a	1000.00 4.0
AO,CRT	02/14	NEWLAND CAPITAL MGT (NEWLGS)	025	KOG	B	25,000	6.33	n/a	n/a	750.00 3.0
AO,CXL	02/14	NEWLAND CAPITAL MGT (NEWLGS)	025	OMN	B	15,000	7.06	n/a	n/a	600.00 4.0
AO,CRT	02/14	NEWLAND CAPITAL MGT (NEWLGS)	025	OMN	B	15,000	7.06	n/a	n/a	450.00 3.0
AO,	02/14	GRANITE CAPITAL (GRANBULK)	028	PAG	S	20,000	19.45	n/a	15-Feb	1000.00 5.0
AO,CXL	02/14	CATAPULT (CATAML)	040	URI	S	28,000	31.57	n/a	n/a	1120.00 4.0
AO,CRT	02/14	CATAPULT CAP/DEFRANCO (CATDML)	040	URI	S	28,000	31.57	n/a	n/a	1120.00 4.0

TOTAL (AO, CXL, CRT) :**21,711.00**

TOTAL (Trade Date) :**130,586.15****TOTAL (AO, CXL, CRT) :****21,711.00**

TOTAL (RUN DATE) / NFS :**152,297.15**

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