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## **Daily Compliance Activity Report** Trade Date: 02/07/2011

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢,	/Shr.
RBC CAPITAL MARKETS	040	ADM	S	75 <b>,</b> 000	35.99	n/a	1-Feb	3,000.00	4.0
COUGAR TRADING	044	ALV	В	2,500	75.14	n/a	2-Feb	125.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANN	S	21,000	24.00	n/a	n/a	630.00	3.0
HILLIARD LYONS CAP MGMT	047	ATVI	S	9,159	11.80	n/a	n/a	274.77	3.0
COUGAR TRADING MILLRACE FUND LP	044	AXL AXL	B B	2,500 7,000	14.67 14.65	n/a n/a	31-Jan 31-Jan	125.00 280.00	5.0
COUGAR TRADING	044	BWA	В	5,000	69.96	n/a	31-Jan	250.00	5.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	70,800	14.84	n/a	n/a	3,540.00	5.0
MILLENIUM SUB A/C NEW VER	NON085	CDXS	В	50,000	10.74	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	DAN	В	2,500	17.30	n/a	31-Jan	125.00	5.0
KENNEDY CAPITAL	046	DPZ	S	50,000	16.54	n/a	7-Jan	2,000.00	4.0
James Mitchell		F	S	1850 1	6.2508	n/a	2-Feb	0.00	0.0
BARROW HANLEY MEWHINNEY	031	GE GE	B SS	61,000 100,000	20.97	n/a n/a	n/a n/a	2,135.00 3,500.00	3.5 3.5
SENATOR INVESTMENT GROUP	036	GM	S	75,000	36.95	n/a	2-Feb	2,250.00	3.0
	RBC CAPITAL MARKETS  COUGAR TRADING  SYSTEMATIC FINANCIAL MGT  HILLIARD LYONS CAP MGMT  COUGAR TRADING MILLRACE FUND LP  COUGAR TRADING  JETSTREAM GLOBAL FUND LP  MILLENIUM SUB A/C NEW VER  COUGAR TRADING  KENNEDY CAPITAL  James Mitchell  BARROW HANLEY MEWHINNEY S.A.C. CAP/ORENSTEIN	RBC CAPITAL MARKETS 040  COUGAR TRADING 044  SYSTEMATIC FINANCIAL MGT 035  HILLIARD LYONS CAP MGMT 047  COUGAR TRADING 044  MILLRACE FUND LP 028  COUGAR TRADING 044  JETSTREAM GLOBAL FUND LP 065  MILLENIUM SUB A/C NEW VERNON085  COUGAR TRADING 044  KENNEDY CAPITAL 046  James Mitchell  BARROW HANLEY MEWHINNEY 031  S.A.C. CAP/ORENSTEIN 044	RBC CAPITAL MARKETS 040 ADM  COUGAR TRADING 044 ALV  SYSTEMATIC FINANCIAL MGT 035 ANN  HILLIARD LYONS CAP MGMT 047 ATVI  COUGAR TRADING 044 AXL MILLRACE FUND LP 028 AXL  COUGAR TRADING 044 BWA  JETSTREAM GLOBAL FUND LP 065 CAR  MILLENIUM SUB A/C NEW VERNON085 CDXS  COUGAR TRADING 044 DAN  KENNEDY CAPITAL 046 DPZ  James Mitchell F  BARROW HANLEY MEWHINNEY 031 GE S.A.C. CAP/ORENSTEIN 044 GE	RBC CAPITAL MARKETS 040 ADM S  COUGAR TRADING 044 ALV B  SYSTEMATIC FINANCIAL MGT 035 ANN S  HILLIARD LYONS CAP MGMT 047 ATVI S  COUGAR TRADING 044 AXL B MILLRACE FUND LP 028 AXL B  COUGAR TRADING 044 BWA B  JETSTREAM GLOBAL FUND LP 065 CAR S  MILLENIUM SUB A/C NEW VERNON085 CDXS B  COUGAR TRADING 044 DAN B  KENNEDY CAPITAL 046 DPZ S  James Mitchell F S  BARROW HANLEY MEWHINNEY 031 GE B S.A.C. CAP/ORENSTEIN 044 GE SS	RBC CAPITAL MARKETS 040 ADM S 75,000  COUGAR TRADING 044 ALV B 2,500  SYSTEMATIC FINANCIAL MGT 035 ANN S 21,000  HILLIARD LYONS CAP MGMT 047 ATVI S 9,159  COUGAR TRADING 044 AXL B 2,500  MILLRACE FUND LP 028 AXL B 7,000  COUGAR TRADING 044 BWA B 5,000  JETSTREAM GLOBAL FUND LP 065 CAR S 70,800  MILLENIUM SUB A/C NEW VERNON085 CDXS B 50,000  COUGAR TRADING 044 DAN B 2,500  KENNEDY CAPITAL 046 DPZ S 50,000  James Mitchell F S 1850 1  BARROW HANLEY MEWHINNEY 031 GE B 61,000  S.A.C. CAP/ORENSTEIN 044 GE SS 100,000	REC CAPITAL MARKETS 040 ADM S 75,000 35.99  COUGAR TRADING 044 ALV B 2,500 75.14  SYSTEMATIC FINANCIAL MGT 035 ANN S 21,000 24.00  HILLIARD LYONS CAP MGMT 047 ATVI S 9,159 11.80  COUGAR TRADING 044 AXL B 2,500 14.67  MILLRACE FUND LP 028 AXL B 7,000 14.65  COUGAR TRADING 044 BWA B 5,000 69.96  JETSTREAM GLOBAL FUND LP 065 CAR S 70,800 14.84  MILLENIUM SUB A/C NEW VERNON085 CDXS B 50,000 10.74  COUGAR TRADING 044 DAN B 2,500 17.30  KENNEDY CAPITAL 046 DPZ S 50,000 16.54  James Mitchell F S 1850 16.2508  BARROW HANLEY MEWHINNEY 031 GE B 61,000 20.97  S.A.C. CAP/ORENSTEIN 044 GE SS 100,000 20.83	RBC CAPITAL MARKETS 040 ADM S 75,000 35.99 n/a  COUGAR TRADING 044 ALV B 2,500 75.14 n/a  SYSTEMATIC FINANCIAL MGT 035 ANN S 21,000 24.00 n/a  HILLIARD LYONS CAP MGMT 047 ATVI S 9,159 11.80 n/a  COUGAR TRADING 044 AXL B 2,500 14.67 n/a  MILLRACE FUND LP 028 AXL B 7,000 14.65 n/a  COUGAR TRADING 044 BWA B 5,000 69.96 n/a  JETSTREAM GLOBAL FUND LP 065 CAR S 70,800 14.84 n/a  MILLENIUM SUB A/C NEW VERNON085 CDXS B 50,000 10.74 n/a  COUGAR TRADING 044 DAN B 2,500 17.30 n/a  KENNEDY CAPITAL 046 DPZ S 50,000 16.54 n/a  James Mitchell F S 1850 16.2508 n/a  BARROW HANLEY MEWHINNEY 031 GE B 61,000 20.97 n/a  S.A.C. CAP/ORENSTEIN 044 GE SS 100,000 20.83 n/a	RBC CAPITAL MARKETS 040 ADM S 75,000 35.99	RBC CAPITAL MARKETS 040 ADM S 75,000 35.99

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	ı.¢/Shr.	
BNP PARIBAS SEC	040	HD	В	60,000	36.64	n/a	13-Dec	3,000.00	5.0	
RBC CAPITAL MARKETS	040	HOT	S	15,000	62.37	n/a	4-Feb	600.00	4.0	
JETSTREAM GLOBAL FUND LP	065	HTZ	В	5,000	15.26	n/a	n/a	250.00	5.0	
FIRST NY SEC/CHRIS	041	KSS	В	10,000	51.72	n/a	7-Feb	500.00	5.0	
RBC CAPITAL MARKETS	040	K	В	10,000	53.41	n/a	n/a	400.00	4.0	
TPG-AXON	040	LUV	С	120,000	12.02	n/a	n/a	4,800.00	4.0	
RBC CAPITAL MARKETS	040	MCD	S	20,000	73.39	n/a	7-Feb	800.00	4.0	
BARROW HANLEY MEWHINNEY	031	MDT	В	32,400	39.50	n/a	n/a	1,134.00	3.5	
FIRST NY SEC/CHRIS	041	MGM	В	25,000	15.15	n/a	31-Jan	1,250.00	5.0	
ASCEND PARTNERS	033	M	В	100,000	23.47	n/a	7-Feb	5,000.00	5.0	
FIRST NY SEC/CHRIS	041	М	В	10,000	23.29	n/a	7-Feb	500.00	5.0	
SOROS	036	NCS	S	79,874	13.54	n/a	n/a	3,194.96	4.0	
HILLIARD LYONS CAP MGMT	047	NKE	В	1,348	86.68	n/a	n/a	40.44	3.0	
BALLAST CAP	040	ORLY	В	6,200	57.75	n/a	n/a	310.00	5.0	
BAIRD INVESTMENT	047	PCAR	В	7,825	51.31	n/a	2-Feb	391.25	5.0	
SCOPUS FUND	041	PCL	В	8 <b>,</b> 325	41.02	n/a	1-Feb	333.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
RBC CAPITAL MARKETS	040	RCL	В	5,000	45.67	n/a	n/a	200.00	4.0
LISTED ERR	099	RCL	В	904	46.36	n/a	n/a	0.00	0.0
LISTED ERR	099	RCL	SS	904	45.70	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	SBUX	В	25,000	32.40	n/a	27-Jan	1,250.00	5.0
ISLE RIDGE PARTNERS	041	SPLS	S	50,000	22.38	n/a	n/a	1,500.00	3.0
LITESPEED	028	SSCC	S	70,000	38.80	n/a	7-Jan	2,100.00	3.0
MERRILL ASSET/BLACKROCK	266	THFF	S	10,589	31.33	n/a	n/a	423.56	4.0
RBC CAPITAL MARKETS	040	UPS	SS	1,036	73.85	n/a	n/a	41.44	4.0
ENTRUST CAPITAL	040	VFC	В	25,200	86.83	n/a	20-Jan	1,260.00	5.0
SIGMA CAPITAL ASSOCIATES	041	VFC	В	63 <b>,</b> 789	86.87	n/a	20-Jan	2,232.62	3.5
CRAMER ROSENTHAL/SCOTT	012	VIAB	В	11,600	43.93	n/a	n/a	464.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WSM	S	50,000	34.59	n/a	n/a	1,500.00	3.0
SCHOTTENFELD ASSOC	041	WY	В	23,600	22.72	n/a	4-Feb	708.00	3.0

TOTAL (Trade Date): 54,418.04

Туре	Date Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):							0.00
TOTAL	(Trade Date):						54,4	18.04
TOTAL	(AO, CXL, CRT):							0.00
	(2000 2000)							10.04
TOTAL	(RUN DATE) / NFS:						54,4	18.04

## Legend:

O: 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