

Daily Compliance Activity Report Trade Date: 01/13/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Shares Price		Research	Comm.¢/Shr.	mm.¢/Shr.	
BALLAST CAP	040	ABB	В	7,000	23.46	n/a	n/a	350.00 5.0		
SERENGETI MGMT	030	ACI	В	50,000	34.40	n/a	n/a	2,500.00 5.0		
OSKIE CAPITAL MGMT	224	ARM	В	5,000	22.00	n/a	n/a	250.00 5.0		
BNP PARIBAS SEC	040	ASNA	S	10,000	26.54	n/a	n/a	500.00 5.0		
TRELLUS PARTNERS LP	028	AXL	SS	20,000	15.63	n/a	7-Jan	1,000.00 5.0		
SAC CHICAGO ANDREW	031	BIG	S	50,000	32.13	n/a	7-Dec	1,750.00 3.5		
FIRST NEW YORK LEDDY	035	BSX	В	25,000	7.44	n/a	n/a	1,000.00 4.0		
BALLAST CAP	040	CAG	SS	1,775	23.32	n/a	n/a	88.75 5.0		
1798 CAP/LOMBARD ASSET	040	CAT	В	5,000	94.38	n/a	22-0ct	250.00 5.0		
FRONTPOINT	266	DECK	В	34,100	80.45	n/a	n/a	1,705.00 5.0		
NEUSTRADA CAP LLC	085	FLIR	В	34,500	29.07	n/a	n/a	1,035.00 3.0		
PECONIC PARTNERS	036	F	S	200,000	18.57	n/a	7-Jan	10,000.00 5.0		
ROSEDALE CAPITAL	046	F	S	30,000	18.86	n/a	7-Jan	1,200.00 4.0		
PROSPECTOR PARTNERS LLC	036	GLD	S	8,200	134.81	n/a	n/a	328.00 4.0		
OSKIE CAPITAL MGMT	224	GM	В	5,000	38.67	n/a	7-Jan	250.00 5.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
SAC CAPITAL/M GRONET	030	HD	В	60,000	35.10	n/a	13-Dec	2,100.00	3.5	
CATAPULT	040	IGT	SS	29,700	18.90	n/a	13-Jan	1,188.00	4.0	
MERRILL ASSET/BLACKROCK	266	IPCC	S	743	62.25	n/a	n/a	29.72	4.0	
KACELA CAPITAL	034	KR	SS	50,000	21.53	n/a	n/a	2,000.00	4.0	
SANDLER O'NEILL ASSET	031	LAZ	S	5,023	42.15	n/a	16-Dec	251.15	5.0	
LEVIN CAPITAL STRATEGIES	012	LEA	S	7,600	107.00	n/a	7-Jan	228.00	3.0	
ENTRUST CAPITAL	040	LMT	S	12,500	74.11	n/a	20-Oct	625.00	5.0	
CSFB GLOBAL PROPRIETARY	041	LPX	В	15,000	9.59	n/a	8-Nov	750.00	5.0	
WATERFRONT CAP	028	MCD	SS	20,000	72.81	n/a	7-Jan	800.00	4.0	
ST OF MICHIAN	047	MRK	В	230,000	34.65	n/a	n/a	6,900.00	3.0	
LISTED ERR	099	MRK	В	70,000	34.65	n/a	n/a	0.00	0.0	
LISTED ERR	099	MRK	s	70,000	34.78	n/a	n/a	0.00	0.0	
PORTER-ORLIN	044	NXG	S	200,000	2.79	n/a	n/a	6,000.00	3.0	
VISIUM/BALY BOBBY	044	PFCB	С	12,500	47.33	n/a	7-Jan	625.00	5.0	
ROARING BLUE LION MGMT	012	PLCE	S	8,140	45.12	n/a	13-Jan	325.60	4.0	
SURSUM CAPITAL	215	PLCE	S	20,000	44.91	n/a	13-Jan	600.00	3.0	
OSKIE CAPITAL MGMT	224	PMI	В	50,000	3.89	n/a	n/a	2,500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr.
CAMBIAR CAP	046	PRX	В	36,849	35.99	n/a	12-Jan	1,473.96	4.0
SANDLER CAPITAL	028	RBN	S	60,000	42.22	n/a	n/a	3,600.00	6.0
CATAPULT	040	RRTS	S	20,000	13.59	n/a	n/a	800.00	4.0
COHE & STEERS	041	RYN	S	18,816	56.97	n/a	27-0ct	752.64	4.0
ARCHON CAPITAL	035	SONC	SS	20,000	10.99	n/a	n/a	600.00	3.0
OSKIE CAPITAL MGMT	224	SPR	В	5,000	22.22	n/a	5-Nov	250.00	5.0
BALLAST CAP	040	SYY	SS	1,325	30.47	n/a	n/a	66.25	5.0
BALLAST CAP	040	TFX	В	850	55.82	n/a	n/a	42.50	5.0
BUCK CAPITAL MGMT	001	TGT	В	10,000	55.76	n/a	7-Jan	300.00	3.0
BALLAST CAP	040	TIN	В	5,250	23.22	n/a	7-Jan	262.50	5.0
MISSOURI VALLEY PART	046	TROW	В	29,095	67.26	n/a	n/a	1,454.75	5.0
BNP PARIBAS SEC	040	UFS	S	5,000	78.91	n/a	n/a	250.00	5.0
1798 CAP/LOMBARD ASSET	040	UNP	В	8,000	98.58	n/a	n/a	400.00	5.0
BALLAST CAP	040	WGO	SS	2,625	15.55	n/a	n/a	131.25	5.0
WATERFRONT CAP	028	WMT	В	27,000	55.01	n/a	17-Nov	1,080.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
MERCHANTS GATE CAP LP	036	WSM	С	50,000	33.03	n/a	n/a	2,000.00 4.0
BNP PARIBAS SEC	040	WY	S	10,000	21.48	n/a	29-Oct	500.00 5.0

TOTAL (Trade Date): 61,093.07

Туре	Date Account	RR # Symbol	B/S Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):					0.00
	(Trade Date): (AO, CXL, CRT):				61,0	93.07 0.00
TOTAL	(RUN DATE) / NFS:				61,0	93.07

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.

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