



Daily Compliance Activity Report

Trade Date: 01/05/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSKIE CAPITAL MGMT	224	AMTD	S	15,000	19.05	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	54.96	n/a	4-Jan	600.00	3.0
DENVER INST. ADV	046	ANF	S	17,200	55.06	n/a	4-Jan	688.00	4.0
BALYASNY ASSET MGMT	044	ASNA	B	25,000	26.25	n/a	n/a	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ATVI	S	400	12.30	n/a	n/a	16.00	4.0
MILLRACE FUND LP	028	AXL	SS	55,000	14.04	n/a	3-Jan	2,200.00	4.0
OSKIE CAPITAL MGMT	224	AXL	S	20,000	14.35	n/a	3-Jan	1,000.00	5.0
TRELLUS PARTNERS LP	028	AXL	SS	9,900	14.40	n/a	3-Jan	495.00	5.0
MERRILL ASSET/BLACKROCK	266	BEC	S	14,600	76.27	n/a	n/a	584.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	30.56	n/a	7-Dec	600.00	3.0
BUCK CAPITAL MGMT	001	BJ	SS	10,000	46.40	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	266	BPFH	B	7,000	6.89	n/a	n/a	280.00	4.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	30,000	17.48	n/a	n/a	1,500.00	5.0
MELLON/BANK OF NEW YORK	046	CYN	B	6,000	63.01	n/a	n/a	240.00	4.0
MERRILL ASSET/BLACKROCK	266	CYN	B	500	62.40	n/a	n/a	20.00	4.0
METROPOLITAN CAPITAL	044	DAN	S	23,735	18.02	n/a	3-Jan	1,186.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	DG	SS	15,000	29.40	n/a	16-Dec	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	B	25,000	16.49	n/a	10-Dec	875.00	3.5
BUCK CAPITAL MGMT	001	EAT	SS	10,000	21.00	n/a	3-Jan	300.00	3.0
WAGONHOUND/NIC	289	EDC	B	5,400	42.67	n/a	n/a	162.00	3.0
ASCEND PARTNERS	033	FDO	SS	59,350	45.51	n/a	5-Jan	2,967.50	5.0
HARRIER HAWK MGMT	028	FDO	B	12,900	45.58	n/a	5-Jan	516.00	4.0
LEVIN CAPITAL STRATEGIES	012	FDO	SS	75,000	45.52	n/a	5-Jan	2,250.00	3.0
RBC CAPITAL MARKETS	040	FLR	B	10,000	65.31	n/a	n/a	400.00	4.0
HARVEST MGMT	029	FL	S	15,000	19.13	n/a	22-Dec	750.00	5.0
RAINIER INV MGMT	035	FMC	B	23,660	77.85	n/a	8-Dec	946.40	4.0
OSKIE CAPITAL MGMT	224	GM	B	5,000	37.87	n/a	5-Jan	250.00	5.0
JP MORGAN VENTURES	046	GPS	B	15,000	21.66	n/a	n/a	750.00	5.0
PARAMETER CAPITAL MGMT LLC	044	HCP	S	27,000	37.01	n/a	n/a	1,080.00	4.0
NEWLAND CAPITAL MGT	025	ICO	B	12,500	8.35	n/a	n/a	500.00	4.0
JMP ASSET MGMT	210	IPSU	B	1,339	12.98	n/a	n/a	66.95	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	125,000	28.08	n/a	15-Dec	6,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ITW	B	10,000	54.28	n/a	3-Jan	500.00	5.0
CADIAN CAPITAL	041	JNY	S	100,000	15.51	n/a	28-Oct	3,000.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	S	7,300	40.51	n/a	16-Dec	365.00	5.0
METROPOLITAN CAPITAL	044	LEA	S	3,800	105.07	n/a	3-Jan	190.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	9.94	n/a	8-Nov	3,750.00	5.0
ASCEND PARTNERS	033	MCD	SS	62,421	74.73	n/a	5-Jan	3,121.05	5.0
WAGONHOUND/NIC	289	MSM	S	3,695	65.00	n/a	n/a	147.80	4.0
S.A.C. CAP/ORENSTEIN	044	MWV	SS	30,000	27.01	n/a	28-Oct	1,050.00	3.5
WEINTRAUB CAPITAL MGT.	040	PCAR	B	20,000	57.65	n/a	3-Jan	800.00	4.0
PROSPECTOR PARTNERS LLC	036	PEP	B	6,500	66.06	n/a	n/a	260.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	PKG	S	10,067	26.25	n/a	15-Dec	393.18	3.9
NICOLAS APPELEGATE	084	PRU	B	19,200	60.78	n/a	n/a	384.00	2.0
JET CAPITAL/CHRIS	041	RMBS	S	25,000	20.24	n/a	n/a	750.00	3.0
DSG CAPITAL	012	RRR	B	6,402	10.24	n/a	25-Oct	192.06	3.0
OSKIE CAPITAL MGMT	224	RRR	S	10,000	10.40	n/a	25-Oct	500.00	5.0
MANNING & NAPIER	034	SHW	S	78,632	83.49	n/a	5-Jan	2,358.96	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADALY INV MGMT	031	SLM	B	40,000	12.84	n/a	5-Jan	1,600.00	4.0
COLUMBUS CAP MGMT LLC	084	SRI	B	50,000	16.44	n/a	n/a	2,500.00	5.0
NOMURA CAPITAL	029	SSCC	S	5,000	25.99	n/a	15-Dec	150.00	3.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	25,000	25.96	n/a	15-Dec	1,000.00	4.0
BUCK CAPITAL MGMT	001	SVU	SS	40,000	9.17	n/a	n/a	800.00	2.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.63	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	B	30,000	4.56	n/a	n/a	1,500.00	5.0
PARAMETER CAPITAL MGMT LLC	044	TEX	B	75,000	30.25	n/a	22-Oct	3,000.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	250,000	58.89	n/a	4-Jan	7,500.00	3.0
NICOLAS APPELEGATE	084	TGT	B	31,200	58.95	n/a	4-Jan	624.00	2.0
MERRILL ASSET/BLACKROCK	266	THG	S	8,880	46.25	n/a	n/a	355.20	4.0
CIRCLE T/SES PART	035	TLB	S	25,000	7.91	n/a	n/a	1,000.00	4.0
STRONG/MARK GRONET	030	TLB	B	100,740	7.88	n/a	n/a	3,022.20	3.0
MERRILL ASSET/BLACKROCK	266	TTI	B	15,500	11.31	n/a	n/a	620.00	4.0
NICOLAS APPELEGATE	084	TXN	B	52,100	32.64	n/a	n/a	1,042.00	2.0
JETSTREAM GLOBAL FUND LP	065	URI	S	40,000	24.03	n/a	n/a	2,000.00	5.0
BALYASNY ASSET MGMT	044	VRA	S	10,000	35.75	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	WBS	B	30,000	20.61	n/a	n/a	1,200.00	4.0
CAXTON PART	040	WY	B	100,000	20.01	n/a	29-Oct	3,500.02	3.5
WEINTRAUB CAPITAL MGT.	040	WY	S	150,000	19.88	n/a	29-Oct	6,000.00	4.0
TOTAL (Trade Date) :								86,999.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ANF	S	12,100	54.96	n/a	4-Jan	363.00 3.0
AO,CXL	12/31	LISTED ERR (LISTED ERR)	099	CTXS	B	20,300	68.18	n/a	n/a	0.00 0.0
AO,CXL	12/31	LISTED ERR (LISTED ERR)	097	CTXS	S	20,300	68.18	n/a	n/a	0.00 0.0
AO,CXL	12/31	WINSLOW CAPITAL (WINS41)	030	CTXS	B	20,300	68.18	n/a	n/a	609.00 3.0
AO,CRT	12/31	WINSLOW CAPITAL (WINS41)	030	CTXS	B	20,300	68.18	n/a	n/a	609.00 3.0
AO,CXL	01/04	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	CVGI	B	50,000	16.84	n/a	n/a	1500.00 3.0
AO,CRT	01/04	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	CVGI	B	50,000	16.84	n/a	n/a	2500.00 5.0
AO,CXL	01/04	SIGMA CAP BOBBY (SIBEML)	044	MAR	B	25,000	41.07	n/a	7-Dec	0.00 0.0
AO,CRT	01/04	SIGMA CAP BOBBY (SIBEML)	044	MAR	B	25,000	41.07	n/a	7-Dec	875.00 3.5
AO,CXL	01/04	BALLAST CAP (BALLJPMPB)	040	SVU	B	7,800	8.91	n/a	n/a	390.00 5.0
AO,CRT	01/04	BALLAST CAP (BALLJPMPB)	040	SVU	B	7,800	8.91	n/a	n/a	234.00 3.0
TOTAL (AO, CXL, CRT) :										2,082.00
TOTAL (Trade Date):										86,999.07
TOTAL (AO, CXL, CRT):										2,082.00
TOTAL (RUN DATE) / NFS:										89,081.07

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