

Daily Compliance Activity Report Trade Date: 02/08/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
MELLON/BANK OF NEW YORK	046	ACN	S	21,315	52.67	n/a	n/a	852.60	4.0
EPOCH INV MGMT	030	ALR	В	150	39.60	n/a	n/a	4.50	3.0
BUCK CAPITAL MGMT	001	ARO	В	100,000	25.24	n/a	4-Feb	3,000.00	3.0
PLATTE RIVER CAPITAL	240	AVP	S	33 , 450	28.10	n/a	8-Feb	1,338.00	4.0
CATAPULT CAP/DEFRANCO	040	AXL	SS	103,000	13.97	n/a	31-Jan	4,120.00	4.0
RIDGECREST INV MGMT LLC	028	AXL	S	15,000	14.30	n/a	31-Jan	750.00	5.0
SCHOTTENFELD ASSOC	041	AXL	В	15,000	14.15	n/a	31-Jan	450.00	3.0
LISTED ERR	099	AXL	В	68,453	13.91	n/a	31-Jan	0.00	0.0
LISTED ERR	099	AXL	S	68,453	13.91	n/a	31-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	S	135,300	39.06	n/a	8-Feb	4,059.00	3.0
GREEN ARROW DOUG	040	BIG	S	90,760	38.51	n/a	8-Feb	3,630.40	4.0
WADDELL AND REED	047	CAT	В	276 , 110	100.28	n/a	28-Jan	11,044.40	4.0
SAC TRADING TOM LEDDY	035	COST	SS	28 , 551	74.80	n/a	n/a	999.29	3.5
MERRILL ASSET/BLACKROCK	266	CRR	S	1,100	117.50	n/a	11-Jan	44.00	4.0
JENNISON	070	CSCO	S	650,000	21.94	n/a	n/a	24,050.06	3.7
MELLON/BANK OF NEW YORK	046	CSCO	S	90,336	21.96	n/a	n/a	3,613.44	4.0
EPOCH INV MGMT	030	CTBI	В	150	29.14	n/a	n/a	4.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
NCM CAPITAL MGMT	035	CY	S	34,350	22.84	n/a	n/a	1,374.00	4.0
KENNEDY CAPITAL	046	DPZ	S	65,300	16.51	n/a	7-Jan	2,612.00	4.0
COBALT	041	DVN	S	90,000	86.68	n/a	11-Jan	4,500.00	5.0
NCM CAPITAL MGMT	035	EQIX	S	12,000	90.15	n/a	n/a	480.00	4.0
NEUBERGER BERMAN	036	FCEA	S	18,167	17.72	n/a	n/a	726.68	4.0
EPOCH INV MGMT	030	FORR	В	50	36.31	n/a	n/a	1.50	3.0
CAVU CAP ADV	028	GES	S	10,000	46.12	n/a	20-Jan	500.00	5.0
MILLENIUM PARTNERS	028	GE	SS	60,000	21.23	n/a	n/a	2,400.00	4.0
EPOCH INV MGMT	030	GIII	В	150	37.22	n/a	n/a	4.50	3.0
TALKOT CAPITAL LLC	084	GIL	В	5,000	31.75	n/a	20-Jan	150.00	3.0
ADALY INV MGMT	031	GLD	S	22,200	132.91	n/a	n/a	1,554.00	7.0
ARMATURE CAPITAL	041	GR	SS	9,600	93.28	n/a	4-Feb	384.00	4.0
EPOCH INV MGMT	030	GWR	В	50	53.26	n/a	n/a	1.50	3.0
EPOCH INV MGMT	030	HAYN	В	150	52.23	n/a	n/a	4.50	3.0
PATTEN & PATTEN	025	HCF	В	4,060	7.56	n/a	n/a	203.00	5.0
	NCM CAPITAL MGMT KENNEDY CAPITAL COBALT NCM CAPITAL MGMT NEUBERGER BERMAN EPOCH INV MGMT CAVU CAP ADV MILLENIUM PARTNERS EPOCH INV MGMT TALKOT CAPITAL LLC ADALY INV MGMT ARMATURE CAPITAL EPOCH INV MGMT	NCM CAPITAL MGMT 035 KENNEDY CAPITAL 046 COBALT 041 NCM CAPITAL MGMT 035 NEUBERGER BERMAN 036 EPOCH INV MGMT 030 CAVU CAP ADV 028 MILLENIUM PARTNERS 028 EPOCH INV MGMT 030 TALKOT CAPITAL LLC 084 ADALY INV MGMT 031 ARMATURE CAPITAL 041 EPOCH INV MGMT 030 EPOCH INV MGMT 030	NCM CAPITAL MGMT KENNEDY CAPITAL COBALT O41 NCM CAPITAL MGMT O35 EQIX NEUBERGER BERMAN O36 FCEA EPOCH INV MGMT O30 FORR CAVU CAP ADV O28 GES MILLENIUM PARTNERS O28 GE EPOCH INV MGMT O30 GIII TALKOT CAPITAL LLC ADALY INV MGMT O31 GLD ARMATURE CAPITAL EPOCH INV MGMT O30 GWR EPOCH INV MGMT O30 GWR	NCM CAPITAL MGMT RENNEDY CAPITAL O46 DPZ S COBALT O41 DVN S NCM CAPITAL MGMT O35 EQIX S NEUBERGER BERMAN O36 FCEA S EPOCH INV MGMT O30 FORR B CAVU CAP ADV O28 GES S MILLENIUM PARTNERS O28 GE SS EPOCH INV MGMT O30 GIII B TALKOT CAPITAL LLC O84 GIL B ADALY INV MGMT O31 GLD S ARMATURE CAPITAL O41 GR SS EPOCH INV MGMT O30 GWR B EPOCH INV MGMT O30 GWR B EPOCH INV MGMT O30 GWR B EPOCH INV MGMT O30 HAYN B	NCM CAPITAL MGMT 035 CY S 34,350 KENNEDY CAPITAL 046 DPZ S 65,300 COBALT 041 DVN S 90,000 NCM CAPITAL MGMT 035 EQIX S 12,000 NEUBERGER BERMAN 036 FCEA S 18,167 EPOCH INV MGMT 030 FORR B 50 CAVU CAP ADV 028 GES S 10,000 MILLENIUM PARTNERS 028 GE SS 60,000 EPOCH INV MGMT 030 GIII B 150 TALKOT CAPITAL LLC 084 GIL B 5,000 ADALY INV MGMT 031 GLD S 22,200 ARMATURE CAPITAL 041 GR SS 9,600 EPOCH INV MGMT 030 GWR B 50 EPOCH INV MGMT 030 HAYN B 150	NCM CAPITAL MGMT 035 CY S 34,350 22.84 KENNEDY CAPITAL 046 DPZ S 65,300 16.51 COBALT 041 DVN S 90,000 86.68 NCM CAPITAL MGMT 035 EQIX S 12,000 90.15 NEUBERGER BERMAN 036 FCEA S 18,167 17.72 EPOCH INV MGMT 030 FORR B 50 36.31 CAVU CAP ADV 028 GES S 10,000 46.12 MILLENIUM PARTNERS 028 GE SS 60,000 21.23 EPOCH INV MGMT 030 GIII B 150 37.22 TALKOT CAPITAL LLC 084 GIL B 5,000 31.75 ADALY INV MGMT 031 GLD S 22,200 132.91 ARMATURE CAPITAL 041 GR SS 9,600 93.28 EPOCH INV MGMT 030 GWR B 50 53.26 EPOCH INV MGMT 030 HAYN B 150 52.23	NCM CAPITAL MGMT 035 CY S 34,350 22.84 n/a KENNEDY CAPITAL 046 DPZ S 65,300 16.51 n/a COBALT 041 DVN S 90,000 86.68 n/a NCM CAPITAL MGMT 035 EQIX S 12,000 90.15 n/a NEUBERGER BERMAN 036 FCEA S 18,167 17.72 n/a EPOCH INV MGMT 030 FORR B 50 36.31 n/a CAVU CAP ADV 028 GES S 10,000 46.12 n/a MILLENIUM PARTNERS 028 GE SS 60,000 21.23 n/a EPOCH INV MGMT 030 GIII B 150 37.22 n/a TALKOT CAPITAL LLC 084 GIL B 5,000 31.75 n/a ADALY INV MGMT 031 GLD S 22,200 132.91 n/a ARMATURE CAPITAL 041 GR SS 9,600 93.28 n/a EPOCH INV MGMT 030 GWR B 50 53.26 n/a EPOCH INV MGMT 030 HAYN B 150 52.23 n/a	NCM CAPITAL MGMT 035 CY S 34,350 22.84	NCM CAPITAL MGMT 035 CY S 34,350 22.84

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
	NEW JERSEY DIV OF INV.	030	HL	S	100,000	9.79	n/a	n/a	4,000.00	4.0	
	EPOCH INV MGMT	030	HSC	В	200	34.70	n/a	5-Jan	6.00	3.0	
	CASTLE ARK	031	ICE	S	51,160	118.14	n/a	n/a	2,558.00	5.0	
	ISLE RIDGE PARTNERS	041	IGT	В	35,000	17.73	n/a	27-Jan	1,400.00	4.0	
	MELLON/BANK OF NEW YORK	046	INTC	S	125,933	21.54	n/a	n/a	5,037.32	4.0	
	EPOCH INV MGMT	030	IRIS	В	250	10.40	n/a	n/a	7.50	3.0	
õ	May Tang		IRM	s	600	26.2400	n/a	n/a	0.00	0.0	
	EPOCH INV MGMT	030	IWB	В	150	73.53	n/a	n/a	4.50	3.0	
	EPOCH INV MGMT	030	IWV	В	200	78.78	n/a	n/a	6.00	3.0	
	ADAGE CAPITAL MGMT	030	JCP	В	303,940	34.76	n/a	7-Feb	9,118.20	3.0	
	PLATTE RIVER CAPITAL	240	JEC	В	5,000	52.59	n/a	n/a	200.00	4.0	
	MELLON/BANK OF NEW YORK	046	JNPR	S	21,360	40.61	n/a	n/a	854.40	4.0	
	SURSUM CAPITAL	215	JWN	В	10,000	44.71	n/a	7-Feb	300.00	3.0	
	EPOCH INV MGMT	030	KMT	В	200	40.92	n/a	28-Jan	6.00	3.0	
	SONTERRA CAP	041	LCC	S	150,000	9.99	n/a	n/a	6,000.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
EPOCH INV MGMT	030	LDR	В	50	58.48	n/a	n/a	1.50	3.0
T. ROWE PRICE	033	LPX	S	360,700	11.02	n/a	8-Nov	10,821.00	3.0
SENATOR INVESTMENT GROUP	036	LTD	S	80,000	31.95	n/a	n/a	2,400.00	3.0
EPOCH INV MGMT	030	MEOH	В	250	28.52	n/a	n/a	7.50	3.0
MA CAPITAL MGMT/MELLON AD	V041	MWV	В	1,000	29.09	n/a	26-Jan	50.00	5.0
CAVU CAP ADV	028	М	В	35,000	24.03	n/a	7-Feb	1,750.00	5.0
THE JAY GOLDMAN	028	М	SS	50,000	24.04	n/a	7-Feb	2,000.00	4.0
BNP PARIBAS SEC	040	NDN	В	25,000	16.00	n/a	3-Feb	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	NDN	В	1,300	15.94	n/a	3-Feb	52.00	4.0
NEW JERSEY DIV OF INV.	030	NWL	S	100,000	19.67	n/a	n/a	4,000.00	4.0
GREEN ARROW DOUG	040	PAG	SS	20,000	19.00	n/a	31-Jan	800.00	4.0
BALLAST CAP	040	PBI	В	5,100	25.28	n/a	n/a	255.00	5.0
LEVIN CAPITAL STRATEGIES	012	PCG	С	10,000	46.65	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	PLOW	В	350	15.86	n/a	n/a	10.50	3.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	62.06	n/a	1-Feb	750.00	3.0
SURSUM CAPITAL	215	PVH	В	10,000	62.89	n/a	1-Feb	300.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	41,000	63.23	n/a	1-Feb	1,230.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
MELLON/BANK OF NEW YORK	046	RVBD	В	154,161	38.69	n/a	n/a	6,166.44	4.0
COHE & STEERS	041	RYN	S	55,637	61.02	n/a	26-Jan	2,225.48	4.0
GREEN ARROW DOUG	040	SBUX	SS	35,000	33.12	n/a	27-Jan	1,400.00	4.0
EPOCH INV MGMT	030	SFNC	В	100	28.35	n/a	n/a	3.00	3.0
GREEN ARROW DOUG	040	SPLS	В	60,000	22.26	n/a	n/a	2,400.00	4.0
LEVIN CAPITAL STRATEGIES	012	SQM	В	10,000	54.98	n/a	n/a	300.00	3.0
LONG OAR GLOBAL INV	040	SSCC	В	19,350	39.00	n/a	7-Jan	774.00	4.0
SHEFFIELD ASSET MGMT	031	SSCC	В	14,000	38.73	n/a	7-Jan	700.00	5.0
EPOCH INV MGMT	030	SSI	В	450	16.89	n/a	n/a	13.50	3.0
EPOCH INV MGMT	030	SUPX	В	200	22.90	n/a	n/a	6.00	3.0
ROSEDALE CAPITAL	046	SWN	В	20,000	38.63	n/a	11-Jan	1,000.00	5.0
FIRST NEW YORK LEDDY	035	S	S	30,000	4.32	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	TCBI	В	350	25.48	n/a	n/a	10.50	3.0
TRELLUS PARTNERS LP	028	TEN	SS	15,000	41.55	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	В	8,809	15.75	n/a	n/a	352.36	4.0
CAMBIAR CAP	046	TEVA	В	172,395	51.61	n/a	8-Feb	6,895.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
MERRILL ASSET/BLACKROCK	266	THFF	S	10,473	31.01	n/a	n/a	418.92	4.0
TRELLUS PARTNERS LP	028	TIN	С	10,000	24.20	n/a	8-Feb	300.00	3.0
DSM CAPITAL PARTNERS	085	TROW	В	20,000	67.21	n/a	n/a	1,000.00	5.0
CATAPULT	040	TXT	В	10,000	27.91	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	UIS	S	24,301	39.01	n/a	n/a	972.04	4.0
SURSUM CAPITAL	215	URBN	В	10,000	36.96	n/a	n/a	300.00	3.0
BASIX	033	URI	S	31,000	30.77	n/a	n/a	930.00	3.0
SURSUM CAPITAL	215	VFC	В	15,000	87.05	n/a	20-Jan	450.00	3.0
EPOCH INV MGMT	030	VPFG	В	400	12.96	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	VR	В	150	31.00	n/a	n/a	4.50	3.0
GREEN ARROW DOUG	040	WAG	В	32,000	42.76	n/a	n/a	1,280.00	4.0
MERRILL ASSET/BLACKROCK	266	WLL	S	8 , 700	124.63	n/a	n/a	348.00	4.0
GALT INVESTMENT	041	WRC	S	30,000	56.04	n/a	20-Jan	1,500.00	5.0
PLATTE RIVER CAPITAL	240	WY	S	56,300	23.89	n/a	4-Feb	2,252.00	4.0

TOTAL (Trade Date): 162,695.83

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	02/07	NEUBERGER BERMAN (NBE	ER551860) 036	FCEA	S	900	17.56	n/a	n/a	36.00	4.0
AO,	02/07	NEUBERGER BERMAN (NBE	ER9W55) 036	FCEA	S	22,020	17.56	n/a	n/a	880.80	4.0
AO,	02/07	NEUBERGER BERMAN (NBE	ER551885) 036	FCEA	S	6,800	17.56	n/a	n/a	272.00	4.0
CRT	02/08	ROSEDALE CAPITAL (ROS	SEGS) 046	SWN	В	20,000	38.63	n/a	11-Jan	1000.00	5.0
TOTAL	OTAL (AO, CXL, CRT): 2,188.80										

TOTAL (RUN DATE) / NFS:	164,884.63
TOTAL (AO, CXL, CRT):	2,188.80
TOTAL (Trade Date):	162,695.83

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