



Daily Compliance Activity Report

Trade Date: 02/03/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	085	AES	B	53,100	12.39	n/a	n/a	2,655.00	5.0
CASTLEROCK	040	ANN	SS	69,266	23.03	n/a	n/a	2,770.64	4.0
SURSUM CAPITAL	215	ANN	SS	10,000	22.63	n/a	n/a	300.00	3.0
CIRCLE T/SES PART	035	AN	SS	10,000	29.87	n/a	31-Jan	400.00	4.0
HOLLIS CAPITAL	033	AN	SS	5,000	30.99	n/a	31-Jan	250.00	5.0
SURSUM CAPITAL	215	ARO	S	10,000	24.65	n/a	28-Jan	300.00	3.0
SURSUM CAPITAL	215	ASNA	SS	10,000	28.19	n/a	n/a	300.00	3.0
HUNTER GLOBAL INVESTOR	028	AXL	B	116,000	14.33	n/a	31-Jan	4,060.00	3.5
MERRILL ASSET/BLACKROCK	266	BRS	B	2,371	46.76	n/a	n/a	94.84	4.0
RAINIER INV MGMT	035	CELG	S	66,260	49.97	n/a	n/a	2,650.40	4.0
CASTLEROCK	040	CHS	SS	114,750	11.15	n/a	5-Feb	4,590.00	4.0
SONTERRA CAP	041	CNX	B	10,000	48.35	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	300	117.50	n/a	11-Jan	12.00	4.0
SOROS	036	CVS	B	302,300	33.15	n/a	n/a	12,092.00	4.0
BUCK CAPITAL MGMT	001	DDS	S	20,000	40.99	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HILLTOP PARK ASSOC	086	DIS	S	100,000	40.41	n/a	n/a	5,000.00	5.0
HILLIARD LYONS CAP MGMT	047	DOV	S	907	64.86	n/a	n/a	27.21	3.0
COOPER CREEK PART	028	DPZ	SS	15,000	16.20	n/a	7-Jan	600.00	4.0
KENNEDY CAPITAL	046	DPZ	S	31,300	16.12	n/a	7-Jan	1,252.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	DPZ	B	4,000	16.55	n/a	7-Jan	200.00	5.0
RAINIER INV MGMT	035	FLS	S	43,140	127.63	n/a	n/a	1,725.60	4.0
FORWARD MGMT	033	FL	S	125,200	17.69	n/a	22-Dec	5,008.00	4.0
MILLENIUM PARTNERS	028	F	B	40,000	15.58	n/a	2-Feb	1,600.00	4.0
THOMAS WEISEL ASSET MGMT	035	GES	B	12,240	43.95	n/a	20-Jan	367.20	3.0
SURSUM CAPITAL	215	GET	S	10,000	34.84	n/a	n/a	300.00	3.0
JANA CAPITAL	044	GM	S	253,000	35.32	n/a	2-Feb	10,120.00	4.0
SANDLER CAPITAL	028	HAR	S	50,000	49.88	n/a	3-Feb	3,000.00	6.0
BMO NESBITT BURNS	041	IP	B	25,000	28.69	n/a	3-Feb	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	65,000	29.69	n/a	3-Feb	3,250.00	5.0
DC CAPITAL	044	IP	B	100,000	28.99	n/a	3-Feb	4,000.00	4.0
TRELLUS PARTNERS LP	028	IP	B	13,000	29.06	n/a	3-Feb	650.00	5.0
WEINTRAUB CAPITAL MGT.	040	IP	B	125,000	29.23	n/a	3-Feb	5,000.00	4.0
SURSUM CAPITAL	215	JNY	S	50,000	12.65	n/a	21-Jan	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	S	20,000	42.30	n/a	28-Jan	600.00	3.0
GREEN ARROW DOUG	040	JWN	SS	40,000	41.96	n/a	28-Jan	1,600.00	4.0
SOROS	036	KGC	B	250,000	17.28	n/a	n/a	10,000.00	4.0
SAC CHICAGO ANDREW	031	KR	SS	75,000	21.90	n/a	n/a	2,625.00	3.5
CAERUS GLOBAL	041	KSS	B	20,000	50.99	n/a	28-Jan	800.00	4.0
SOROS	036	K	C	79,800	52.53	n/a	n/a	3,192.00	4.0
IRIDIAN ASSET MGMT.	036	LSI	B	35,270	6.33	n/a	n/a	1,763.50	5.0
SURSUM CAPITAL	215	LTD	SS	10,000	30.89	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	MCD	B	5,000	74.10	n/a	24-Jan	150.00	3.0
SERENGETI MGMT	030	MCO	SS	150,000	29.71	n/a	n/a	7,500.00	5.0
FORWARD MGMT	033	MOD	B	96,700	16.69	n/a	n/a	3,868.00	4.0
BNP PARIBAS SEC	040	MW	B	20,000	27.46	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	M	B	40,000	22.10	n/a	28-Jan	1,200.00	3.0
KLEINHEINZ CAP PART	031	M	B	30,000	22.50	n/a	28-Jan	1,500.00	5.0
BAIRD INVESTMENT	047	NDN	S	117,948	15.07	n/a	3-Feb	5,897.40	5.0
MA CAPITAL MGMT/MELLON ADV	041	NDN	B	2,200	15.33	n/a	3-Feb	110.00	5.0
FORWARD MGMT	033	NETL	S	95,700	39.23	n/a	n/a	3,828.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORWARD MGMT	033	NTCT	B	9,200	23.96	n/a	n/a	368.00	4.0
GREEN ARROW DOUG	040	ODP	S	12,500	5.48	n/a	n/a	625.00	5.0
HILLTOP PARK ASSOC	086	ODP	B	100,000	5.46	n/a	n/a	4,000.00	4.0
CHART WELL ADV	098	ORCL	B	14,220	33.06	n/a	n/a	568.80	4.0
BUCK CAPITAL MGMT	001	OXM	B	10,000	24.05	n/a	n/a	300.00	3.0
LAGRANGE CAP ADV	048	PAG	S	166,700	17.06	n/a	31-Jan	8,335.00	5.0
HILLIARD LYONS CAP MGMT	047	PCAR	B	1,154	50.48	n/a	2-Feb	34.62	3.0
SURSUM CAPITAL	215	PSS	SS	10,000	20.76	n/a	n/a	300.00	3.0
FORWARD MGMT	033	RADS	S	76,600	18.67	n/a	n/a	3,064.00	4.0
RBC CAPITAL MARKETS	040	ROST	S	4,500	68.69	n/a	n/a	180.00	4.0
FORWARD MGMT	033	SBNY	S	46,500	52.12	n/a	n/a	1,860.00	4.0
FORWARD MGMT	033	SLGN	B	23,800	37.50	n/a	n/a	952.00	4.0
FORWARD MGMT	033	SONO	S	10,700	33.78	n/a	n/a	428.00	4.0
LITESPEED	028	SSCC	S	115,000	38.31	n/a	7-Jan	3,450.00	3.0
CARDINAL CAPITAL	044	SSI	B	9,200	16.12	n/a	n/a	460.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	B	13,492	15.72	n/a	n/a	539.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURSUM CAPITAL	215	TGT	SS	10,000	53.57	n/a	3-Feb	300.00	3.0
SURSUM CAPITAL	215	TIF	S	5,000	60.32	n/a	n/a	150.00	3.0
GREEN ARROW DOUG	040	UNM	B	50,000	25.25	n/a	n/a	2,500.00	5.0
SURSUM CAPITAL	215	URBN	SS	10,000	34.20	n/a	n/a	300.00	3.0
SOROS	036	WMT	C	100,000	55.62	n/a	27-Jan	4,000.00	4.0
CARDINAL CAPITAL	044	WST	B	7,500	40.72	n/a	n/a	375.00	5.0
BMO NESBITT BURNS	041	WY	S	50,000	23.32	n/a	21-Jan	2,500.00	5.0
CAXTON PART	040	WY	S	441,000	23.36	n/a	21-Jan	15,435.04	3.5
AVESTA CAP	229	YUM	S	100,000	49.29	n/a	3-Feb	3,000.00	3.0
TOTAL (Trade Date):								176,283.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/02	GREEN ARROW DOUG (GADRMLICS)	040	CAR	B	78,300	14.21	n/a	n/a	3132.00 4.0
AO,	02/02	GREEN ARROW DOUG (GADRMLICS)	040	CAR	B	78,300	14.30	n/a	n/a	3132.00 4.0
AO,CXL	02/02	NOKOMIS PARTNERS (NOKOCONJPM)	031	FINL	B	20,119	15.23	n/a	n/a	0.00 0.0
AO,CRT	02/02	NOKOMIS PARTNERS (NOKOCONJPM)	031	FINL	B	20,119	15.23	n/a	n/a	402.38 2.0
AO,	02/02	FRIESS MGMT (FRISFCE)	033	GM	S	1,400	36.08	n/a	2-Feb	56.00 4.0
AO,CXL	02/02	FRIESS MGMT (FRISLANC)	033	GM	S	1,400	36.08	n/a	2-Feb	56.00 4.0
AO,	02/02	COLUMBUS CIRCLE (COLC3050)	036	NATI	B	2,723	45.95	n/a	n/a	108.92 4.0
CRT	02/03	LITESPEED (LITEUBS)	028	SSCC	S	115,000	38.31	n/a	7-Jan	3450.00 3.0
AO,	02/02	COLUMBUS CIRCLE (COLC3050)	036	UTEK	B	627	24.16	n/a	n/a	25.08 4.0

TOTAL (AO, CXL, CRT) :**3,986.38**

TOTAL (Trade Date):

176,283.93

TOTAL (AO, CXL, CRT):

3,986.38

TOTAL (RUN DATE) / NFS:**180,270.31**

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