



Daily Compliance Activity Report

Trade Date: 02/14/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	AFL	S	17,800	56.68	n/a	n/a	712.00	4.0
NEW JERSEY DIV OF INV.	030	AOL	S	30,000	21.93	n/a	n/a	1,200.00	4.0
RWC PARTNERS LTD	067	BHI	B	89,429	67.87	n/a	n/a	2,682.87	3.0
MERRILL ASSET/BLACKROCK	266	BPFH	S	8,100	7.44	n/a	n/a	324.00	4.0
RBC CAPITAL MARKETS	040	BUD	B	10,000	54.57	n/a	25-Jan	400.00	4.0
CATAPULT CAP/DEFRANCO	040	CLC	S	26,982	43.94	n/a	n/a	1,079.28	4.0
MELLON/BANK OF NEW YORK	046	CSCO	S	5,000	18.80	n/a	n/a	200.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		CVGI	B	30,000	17.13		n/a n/a	1,500.00	5.0
JMP ASSET MGMT	210	DAR	B	10,000	15.01	n/a	n/a	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	DLTR	S	100,000	50.27	n/a	21-Jan	3,000.00	3.0
NEW JERSEY DIV OF INV.	030	DVN	S	110,000	87.91	n/a	11-Jan	4,400.00	4.0
MELLON/BANK OF NEW YORK	046	EEM	B	7,000	45.61	n/a	n/a	280.00	4.0
WAGONHOUND/NIC	289	EWS	S	75,000	13.31	n/a	n/a	2,250.00	3.0
RIDGECREST INV MGMT LLC	028	FWS	S	30,000	7.43	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	F	S	300,000	16.27	n/a	2-Feb	9,000.00	3.0
HALCYON LLC	041	GGP	S	100,000	15.32	n/a	n/a	3,000.00	3.0
FIRST NY SEC/CHRIS	041	GPS	B	15,000	21.40	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	HRS	S	10,000	49.35	n/a	5-Jan	400.00	4.0
CLOVIS CAPITAL	012	JNJ	SS	75,000	60.68	n/a	n/a	2,250.00	3.0
MELLON/BANK OF NEW YORK	046	JPM	B	18,233	46.67	n/a	14-Feb	729.32	4.0
NEWLAND CAPITAL MGT	025	KOG	B	25,000	6.33	n/a	n/a	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	5,001	112.02	n/a	2-Feb	150.03	3.0
AVESTA CAP	229	LVS	SS	100,000	47.04	n/a	10-Feb	3,000.00	3.0
BNP PARIBAS SEC	040	MGM	B	25,000	14.94	n/a	14-Feb	1,250.00	5.0
CAVU CAP ADV	028	MGM	B	25,000	15.15	n/a	14-Feb	1,250.00	5.0
Õ Abram Chappel		MIPS	B	340	14.8700	n/a	n/a	0.00	0.0
LATEFF MGMT	035	MRO	S	1,750	48.73	n/a	n/a	350.00	20.0
RWC PARTNERS LTD	067	MRO	B	131,489	49.12	n/a	n/a	3,944.67	3.0
PERRY PARTNERS	085	MWV	B	32,427	29.95	n/a	26-Jan	1,621.35	5.0
BNP PARIBAS SEC	040	MW	B	10,000	27.53	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	M	B	403,700	24.23	n/a	7-Feb	12,111.00	3.0
ASCEND PARTNERS	033	M	B	80,000	24.01	n/a	7-Feb	4,000.00	5.0
SOROS	036	NCS	S	27,911	13.50	n/a	n/a	1,116.44	4.0
NEWLAND CAPITAL MGT	025	NOA	S	35,000	12.00	n/a	n/a	1,400.00	4.0
CASTLEROCK	040	NVDA	B	45,000	24.27	n/a	n/a	1,800.00	4.0
GLENHILL CAPITAL	036	ODP	B	250,000	6.09	n/a	n/a	10,000.00	4.0
NEWLAND CAPITAL MGT	025	OMN	B	15,000	7.06	n/a	n/a	600.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	PCAR	B	10,000	52.83		n/a 2-Feb	500.00	5.0
BUTTE CAPITAL MGMT LLC	084	PLCE	B	6,300	45.99	n/a	14-Feb	315.00	5.0
CIRCLE T/SES PART	035	PLCE	S	5,000	44.15	n/a	14-Feb	0.00	0.0
COLONIAL FUND LLC	036	PLCE	S	20,000	45.56	n/a	14-Feb	1,000.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	61.60	n/a	1-Feb	300.00	3.0
MELLON/BANK OF NEW YORK	046	PXP	S	15,150	38.30	n/a	n/a	606.00	4.0
US BANCORP	030	QCOM	B	63,065	58.47	n/a	n/a	2,837.93	4.5
CASTLEROCK	040	RIMM	SS	49,940	65.92	n/a	n/a	1,997.60	4.0
RBC CAPITAL MARKETS	040	ROST	B	10,000	70.82	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	SAFT	S	4,701	49.56	n/a	n/a	188.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	SEE	B	99,700	28.48	n/a	n/a	3,489.50	3.5
LITESPEED	028	SSCC	S	70,000	39.36	n/a	7-Jan	2,100.00	3.0
NEW JERSEY DIV OF INV.	030	STT	S	50,000	46.68	n/a	14-Feb	2,000.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.50	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	B	20,000	4.55	n/a	n/a	1,000.00	5.0
ROSEDALE CAPITAL	046	S	B	50,000	4.52	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	266	THFF	S	1,450	32.16	n/a	n/a	58.00	4.0
SANDLER CAPITAL	028	TPX	S	81,800	47.66	n/a	n/a	4,090.00	5.0
SURSUM CAPITAL	215	TRLG	SS	20,000	21.38	n/a	n/a	600.00	3.0
MELLON/BANK OF NEW YORK	046	TSM	B	4,500	12.92	n/a	n/a	180.00	4.0
LISTED ERR	099	TTI	B	278	12.19	n/a	n/a	0.00	0.0
CATAPULT	040	URI	S	28,000	31.57	n/a	n/a	1,120.00	4.0
OSKIE CAPITAL MGMT	224	WCRX	S	5,000	23.51	n/a	14-Feb	250.00	5.0
SCOPUS FUND	041	WSM	SS	50,000	38.20	n/a	n/a	2,000.00	4.0
TOTAL (Trade Date):								107,583.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	B	41,943	30.72	n/a	n/a	1677.72 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	1,942	30.72	n/a	n/a	77.68 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	891	30.72	n/a	n/a	35.64 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	9,923	30.72	n/a	n/a	396.92 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	21,063	30.72	n/a	n/a	842.52 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	762	30.72	n/a	n/a	30.48 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	5,609	30.72	n/a	n/a	224.36 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	249	30.72	n/a	n/a	9.96 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	146	30.72	n/a	n/a	5.84 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	CHK	C	1,358	30.72	n/a	n/a	54.32 4.0
AO,	02/11	1798 CAP/LOMBARD ASSET (1798MS)	040	HAL	B	20,000	44.29	n/a	n/a	1000.00 5.0
AO,CXL	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	25,684	19.98	n/a	n/a	1027.36 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	1,190	19.98	n/a	n/a	47.60 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	546	19.98	n/a	n/a	21.84 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	6,077	19.98	n/a	n/a	243.08 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	12,896	19.98	n/a	n/a	515.84 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	467	19.98	n/a	n/a	18.68 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	3,435	19.98	n/a	n/a	137.40 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	152	19.98	n/a	n/a	6.08 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	89	19.98	n/a	n/a	3.56 4.0
AO,	02/11	SCOPIA CAPITAL (SCOAGSBULK)	048	HK	B	832	19.98	n/a	n/a	33.28 4.0
AO,CRT	02/11	SAC CHICAGO ANDREW (SCASMERR)	031	JNY	B	62,500	13.81	n/a	10-Feb	2187.50 3.5
AO,CXL	02/11	SAC CHICAGO ANDREW (SCASJMPMB)	031	JNY	B	62,500	13.81	n/a	10-Feb	2187.50 3.5
CRT	02/14	BUTTE CAPITAL MGMT LLC (BUTEGSEXEC)	084	PLCE	B	6,300	45.99	n/a	14-Feb	315.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/14	LITESPEED (LITEUBS)	028	SSCC	S	70,000	39.36	n/a	7-Jan	2100.00 3.0
AO,CRT	02/11	BUCK CAPITAL MGMT (BUCKJPMBS)	001	WRC	S	9,000	55.66	n/a	20-Jan	270.00 3.0
AO,CXL	02/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WRC	S	9,000	55.66	n/a	20-Jan	270.00 3.0
TOTAL (AO, CXL, CRT) :										3,415.00
TOTAL (Trade Date) :										107,583.03
TOTAL (AO, CXL, CRT) :										3,415.00
TOTAL (RUN DATE) / NFS:										110,998.03

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