



Daily Compliance Activity Report

Trade Date: 01/19/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	S	100	342.83	n/a	n/a	3.00	3.0
NOMURA CAPITAL	029	ACW	S	400	15.25	n/a	n/a	12.00	3.0
MERRILL ASSET/BLACKROCK	266	AJG	S	8,400	29.05	n/a	n/a	336.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	10,000	22.09	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	ASML	S	100	37.41	n/a	n/a	3.00	3.0
BALYASNY ASSET MGMT	044	AXL	C	39,631	15.17	n/a	7-Jan	1,981.55	5.0
CYRUS CAPITAL	025	AXL	SS	14,673	15.61	n/a	7-Jan	586.92	4.0
LAGRANGE CAP ADV	048	AXL	B	15,000	15.10	n/a	7-Jan	750.00	5.0
ROTHSCHILD ASSET	040	BMC	B	27,010	48.78	n/a	n/a	1,080.40	4.0
CHARTER OAK	033	BUD	B	10,000	56.70	n/a	14-Jan	500.00	5.0
WINSLOW CAPITAL	030	CELG	S	100	56.05	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CERN	S	100	96.38	n/a	n/a	3.00	3.0
MERRILL ASSET/BLACKROCK	266	CFR	S	4,200	62.41	n/a	n/a	168.00	4.0
NOMURA CAPITAL	029	CHMT	S	17,100	15.87	n/a	n/a	513.00	3.0
WINSLOW CAPITAL	030	CHRW	S	100	77.93	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	COST	S	100	71.97	n/a	n/a	3.00	3.0
Õ Nilsa Vazquez		CREE	B	100	53.8780	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,600	103.25	n/a	11-Jan	104.00	4.0
WINSLOW CAPITAL	030	CTSH	S	200	74.36	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CTXS	S	100	67.87	n/a	n/a	3.00	3.0
MERRILL ASSET/BLACKROCK	266	CYN	B	6,200	62.35	n/a	n/a	248.00	4.0
SENATOR INVESTMENT GROUP	036	DAN	B	45,000	18.01	n/a	7-Jan	1,350.00	3.0
BUCK CAPITAL MGMT	001	EAT	SS	30,000	20.99	n/a	3-Jan	900.00	3.0
PATTEN & PATTEN	025	FHN	B	1,000	11.92	n/a	n/a	50.00	5.0
CIRCLE T/SES PART	035	F	B	20,000	17.88	n/a	7-Jan	800.00	4.0
WINSLOW CAPITAL	030	GMCR	S	200	34.50	n/a	n/a	6.00	3.0
HIGHFIELDS CAP MGMT	030	GNW	B	200,000	13.63	n/a	n/a	8,000.00	4.0
WINSLOW CAPITAL	030	GOOG	S	100	632.25	n/a	n/a	3.00	3.0
PATTEN & PATTEN	025	HCF	B	2,940	7.60	n/a	n/a	147.00	5.0
NCM CAPITAL MGMT	035	INTU	S	9,885	47.21	n/a	n/a	395.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	INTU	S	100	47.22	n/a	n/a	3.00	3.0
SAC CAPITAL/M GRONET	030	JCP	SS	70,000	29.02	n/a	7-Jan	2,450.00	3.5
WINSLOW CAPITAL	030	JNPR	S	100	37.17	n/a	n/a	3.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	40.89	n/a	7-Jan	300.00	3.0
WINSLOW CAPITAL	030	NFLX	S	100	191.00	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	NTAP	S	100	57.88	n/a	n/a	3.00	3.0
CAVU CAP ADV	028	ODP	S	20,000	5.58	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	ORCL	S	300	31.38	n/a	n/a	9.00	3.0
NCM CAPITAL MGMT	035	PMTC	S	12,300	24.74	n/a	n/a	492.00	4.0
CAMBIAR CAP	046	PRX	B	52,384	36.37	n/a	18-Jan	2,095.36	4.0
LISTED ERR	099	PVH	B	42,300	58.91	n/a	10-Jan	0.00	0.0
IRIDIAN ASSET MGMT.	036	PX	S	19,390	92.47	n/a	5-Jan	969.50	5.0
WINSLOW CAPITAL	030	QCOM	S	800	52.35	n/a	n/a	24.00	3.0
CATAPULT	040	RCII	SS	30,000	29.06	n/a	n/a	1,200.00	4.0
CATAPULT	040	RCII	S	6,500	29.06	n/a	n/a	260.00	4.0
WINSLOW CAPITAL	030	SHPGY	S	100	79.20	n/a	18-Jan	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	SSCC	S	10,000	27.80	n/a	7-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	SWY	SS	20,000	20.97	n/a	n/a	600.00	3.0
BNP PARIBAS SEC	040	UAL	S	20,000	24.30	n/a	n/a	1,000.00	5.0
SENATOR INVESTMENT GROUP	036	UNH	S	50,000	40.88	n/a	n/a	1,500.00	3.0
AVESTA CAP	229	VZ	C	100,000	34.43	n/a	n/a	3,000.00	3.0
RBC CAPITAL MARKETS	040	WY	S	20,000	21.50	n/a	29-Oct	800.00	4.0
SAC CRIB	044	XLI	SS	25,000	35.72	n/a	n/a	875.00	3.5
TOTAL (Trade Date) :								35,348.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/18	SENATOR INVESTMENT GROUP (SENAJPM)	036	EEM	SS	75,000	47.83	n/a	n/a	2250.00 3.0
AO,CXL	01/18	SENATOR INVESTMENT GROUP (SENAGS)	036	EEM	SS	75,000	47.83	n/a	n/a	2250.00 3.0
AO,	01/11	MANNING & NAPIER (MANNMJ1018)	034	SHW	S	270	83.34	n/a	5-Jan	8.10 3.0
AO,CXL	01/11	MANNING & NAPIER (MANNOMNIBU)	034	SHW	S	106,632	83.34	n/a	5-Jan	3198.96 3.0
AO,CRT	01/11	MANNING & NAPIER (MANNOMNIBU)	034	SHW	S	106,632	83.34	n/a	5-Jan	3198.96 3.0
TOTAL (AO, CXL, CRT) :										8.10

TOTAL (Trade Date) :	35,348.13
TOTAL (AO, CXL, CRT) :	8.10

TOTAL (RUN DATE) / NFS:	35,356.23
--------------------------------	------------------

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