



Daily Compliance Activity Report

Trade Date: 12/21/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ADSK	B	400	39.63	n/a	n/a	12.00	3.0
CRAMER ROSENTHAL/SCOTT	012	ADS	S	1,000	70.95	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	100,000	14.78	n/a	3-Dec	3,000.00	3.0
CARDINAL CAPITAL	044	AEO	B	38,100	14.89	n/a	3-Dec	1,905.00	5.0
CRAMER ROSENTHAL/SCOTT	012	AEP	S	1,900	35.79	n/a	n/a	76.00	4.0
BRAZOS	031	AKRX	B	18,000	6.26	n/a	n/a	540.00	3.0
ADALY INV MGMT	031	AMAT	S	30,000	13.85	n/a	n/a	1,050.00	3.5
MORTAR ROCK	033	AMD	SS	50,000	8.18	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	025	AMLX	B	4,000	15.77	n/a	n/a	200.00	5.0
WINSLOW CAPITAL	030	AMTD	B	500	18.98	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	AMZN	B	200	182.91	n/a	n/a	6.00	3.0
CRAMER ROSENTHAL/SCOTT	012	APD	S	500	90.30	n/a	10-Dec	20.00	4.0
WINSLOW CAPITAL	030	ASML	B	300	37.93	n/a	n/a	9.00	3.0
CRAMER ROSENTHAL/SCOTT	012	ATI	S	1,100	57.59	n/a	n/a	44.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AVY	S	3,700	42.06	n/a	27-Oct	148.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OSKIE CAPITAL MGMT	224	AXL	S	10,000	13.18	n/a	1-Nov	500.00	5.0
WALKER SMITH	031	BAC	B	50,000	12.89	n/a	17-Dec	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	BCR	S	500	93.49	n/a	n/a	20.00	4.0
WINSLOW CAPITAL	030	BIDU	B	100	100.98	n/a	n/a	3.00	3.0
SURVEYOR CAPITAL	041	BPOP	B	17,614	2.91	n/a	n/a	352.28	2.0
PZENA INV ADV	044	BP	S	1,000	43.82	n/a	n/a	35.00	3.5
PZENA INV ADV	044	CA	S	1,900	24.76	n/a	n/a	66.50	3.5
GALT INVESTMENT	041	CBK	S	25,000	5.71	n/a	n/a	750.00	3.0
WINSLOW CAPITAL	030	CELG	B	100	58.94	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CERN	B	100	96.09	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CHRW	B	200	80.21	n/a	n/a	6.00	3.0
LATEFF MGMT	035	CMCSK	S	2,450	20.74	n/a	n/a	368.00	18.5
IRIDIAN ASSET MGMT.	036	COF	C	50,100	42.36	n/a	15-Dec	1,503.00	3.0
WINSLOW CAPITAL	030	COST	B	200	72.51	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CTSH	B	600	72.86	n/a	n/a	18.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CTXS	B	200	69.23	n/a	n/a	6.00	3.0
L.R.BURTSCHY & CO	029	C	S	50,000	4.75	n/a	17-Dec	3,000.00	6.0
CRAMER ROSENTHAL/SCOTT	012	DNR	S	2,000	19.21	n/a	n/a	80.00	4.0
LATEFF MGMT	035	DREPRN	B	1,500	24.82	n/a	n/a	270.00	18.0
COOPER CREEK PART	028	DRI	SS	10,000	47.84	n/a	21-Dec	400.00	4.0
LATEFF MGMT	035	ENR	S	500	75.04	n/a	3-Nov	175.00	35.0
CRAMER ROSENTHAL/SCOTT	012	EQT	S	1,400	44.22	n/a	n/a	56.00	4.0
WINSLOW CAPITAL	030	ESRX	B	600	54.77	n/a	n/a	18.00	3.0
TYEE/TYGH	035	EXPE	S	124,522	27.21	n/a	n/a	4,980.88	4.0
MILLRACE FUND LP	028	FDO	SS	6,000	49.31	n/a	21-Dec	240.00	4.0
BUCK CAPITAL MGMT	001	FL	S	30,000	19.71	n/a	19-Nov	900.00	3.0
LATEFF MGMT	035	FMER	S	6,000	19.67	n/a	n/a	600.00	10.0
1798 CAP/LOMBARD ASSET	040	FOE	B	10,000	14.89	n/a	n/a	500.00	5.0
LAKEVIEW INV GROUP LLC	031	FOR	B	2,200	18.55	n/a	3-Nov	66.00	3.0
WEISS PECK	040	FOSL	C	2,800	72.32	n/a	n/a	140.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	FO	S	450	61.20	n/a	n/a	15.75	3.5
WEISS PECK	040	GIL	C	6,900	29.26	n/a	3-Dec	345.00	5.0
MINDSHARE CAPITAL MGMT	046	GLUU	B	181,561	1.99	n/a	n/a	3,631.22	2.0
WINSLOW CAPITAL	030	GMCR	B	200	33.35	n/a	n/a	6.00	3.0
PIONEER PATH	226	GPS	SS	49,600	21.12	n/a	n/a	1,488.00	3.0
SURSUM CAPITAL	215	GPS	S	25,000	21.26	n/a	n/a	750.00	3.0
SURVEYOR CAPITAL	041	GS	B	3,909	168.10	n/a	16-Dec	117.27	3.0
PATTEN & PATTEN	025	HCF	B	7,000	7.50	n/a	n/a	350.00	5.0
LATEFF MGMT	035	HD	S	2,000	35.24	n/a	13-Dec	300.00	15.0
LATEFF MGMT	035	HON	S	750	53.50	n/a	16-Dec	210.00	28.0
WINSLOW CAPITAL	030	INTU	B	200	49.99	n/a	n/a	6.00	3.0
LATEFF MGMT	035	IP	S	2,200	27.07	n/a	15-Dec	375.00	20.0
PATTEN & PATTEN	025	ITT	S	300	52.59	n/a	30-Apr	15.00	5.0
WINSLOW CAPITAL	030	JNPR	B	200	37.31	n/a	n/a	6.00	3.0
DELTEC ASSET MGMT.	040	JNY	B	13,614	15.74	n/a	28-Oct	680.70	5.0
WEISS PECK	040	JNY	S	15,300	15.75	n/a	28-Oct	765.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	JWN	B	50,000	43.05	n/a	30-Nov	1,750.00	3.5
DECADE CAPITAL PARTNERS	040	KMB	B	20,600	63.01	n/a	27-Oct	824.00	4.0
CRAMER ROSENTHAL/SCOTT	012	KR	S	3,800	21.75	n/a	n/a	152.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	54.55	n/a	30-Nov	300.00	3.0
MORTAR ROCK	033	LEA	S	20,000	100.18	n/a	29-Oct	800.00	4.0
SURSUM CAPITAL	215	LIZ	S	70,000	7.66	n/a	7-Oct	2,100.00	3.0
OSKIE CAPITAL MGMT	224	LNC	B	5,000	28.59	n/a	n/a	250.00	5.0
HOLLIS CAPITAL	033	LOGI	SS	5,000	19.50	n/a	n/a	250.00	5.0
NOMURA CAPITAL	029	LYB	S	75,000	32.40	n/a	n/a	2,250.00	3.0
CRAMER ROSENTHAL/SCOTT	012	MAN	S	800	64.40	n/a	n/a	32.00	4.0
1798 CAP/LOMBARD ASSET	040	MAS	B	30,000	13.00	n/a	n/a	1,500.00	5.0
PIONEER PATH	226	MGM	B	50,000	14.88	n/a	9-Dec	1,500.00	3.0
COOKBIELER	028	MMM	B	30,000	86.44	n/a	21-Dec	1,200.00	4.0
PATTEN & PATTEN	025	MRK	B	500	36.27	n/a	n/a	25.00	5.0
SURVEYOR CAPITAL	041	MS	S	24,975	26.34	n/a	16-Dec	749.25	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	M	B	3,500	26.03	n/a	30-Nov	210.00	6.0
LATEFF MGMT	035	NKE	S	300	91.25	n/a	n/a	135.00	45.0
WINSLOW CAPITAL	030	NTAP	B	200	55.34	n/a	n/a	6.00	3.0
SIGMA CAP BOBBY	044	ODP	B	25,000	4.86	n/a	n/a	875.00	3.5
WINSLOW CAPITAL	030	ORCL	B	1,000	31.84	n/a	n/a	30.00	3.0
WINSLOW CAPITAL	030	ORLY	B	400	61.89	n/a	n/a	12.00	3.0
CAXTON PART	040	OSK	B	93,716	35.16	n/a	n/a	3,280.08	3.5
WEISS PECK	040	PAG	S	6,700	17.00	n/a	25-Oct	335.00	5.0
STANDARD PACIFIC CAPITAL	040	PAYX	S	150,000	31.10	n/a	n/a	7,500.00	5.0
WINSLOW CAPITAL	030	PCLN	B	100	408.48	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	QCOM	B	500	49.87	n/a	n/a	15.00	3.0
NOMURA CAPITAL	029	QLTY	S	5,000	9.84	n/a	n/a	150.00	3.0
NOMURA CAPITAL	029	QUAD	S	6,082	42.32	n/a	n/a	182.46	3.0
BRAZOS	031	RFMD	B	11,800	7.92	n/a	n/a	354.00	3.0
PATTEN & PATTEN	025	RHHBY	S	1,600	35.78	n/a	n/a	80.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	RT	B	20,000	13.60	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	SHPGY	B	200	70.30	n/a	20-Dec	6.00	3.0
NOMURA CAPITAL	029	SOA	S	30,000	23.77	n/a	n/a	900.00	3.0
PIONEER PATH	226	SVU	SS	225,000	8.79	n/a	n/a	6,750.00	3.0
METROPOLITAN CAPITAL	044	SWK	S	2,800	66.25	n/a	n/a	140.00	5.0
BNP PARIBAS SEC	040	TIN	B	20,000	20.89	n/a	15-Dec	1,000.00	5.0
SHEFFIELD ASSET MGMT	031	TIN	B	1,131	20.50	n/a	15-Dec	45.24	4.0
BUCK CAPITAL MGMT	001	TJX	S	30,000	43.97	n/a	10-Dec	900.00	3.0
DECADE CAPITAL PARTNERS	040	TUP	SS	27,200	47.79	n/a	n/a	1,088.00	4.0
MTB INV ADV	034	WNC	S	13,450	12.75	n/a	n/a	672.50	5.0
LATEFF MGMT	035	WRIPRF	B	2,900	23.19	n/a	n/a	375.00	13.5
PIONEER PATH	226	XL	SS	25,578	21.74	n/a	n/a	767.34	3.0
SIGMA CAPITAL ASSOCIATES	041	ZUMZ	SS	50,000	29.14	n/a	n/a	1,750.00	3.5
TOTAL (Trade Date) :								77,735.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/21	MORTAR ROCK (MORTGSEOSP)	033	AMD	SS	50,000	8.18	n/a	n/a	2000.00 4.0
CRT	12/21	MILLRACE FUND LP (MILRGS)	028	FDO	SS	6,000	49.31	n/a	21-Dec	240.00 4.0
CRT	12/21	LAKEVIEW INV GROUP LLC (LAKVMSEEXEC)	031	FOR	B	2,200	18.55	n/a	3-Nov	66.00 3.0
TOTAL (AO, CXL, CRT) :										2,306.00

TOTAL (Trade Date) :	77,735.47
TOTAL (AO, CXL, CRT) :	2,306.00

TOTAL (RUN DATE) / NFS :	80,041.47
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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