



Daily Compliance Activity Report

Trade Date: 02/07/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	ADM	S	75,000	35.99	n/a	1-Feb	3,000.00	4.0
COUGAR TRADING	044	ALV	B	2,500	75.14	n/a	2-Feb	125.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANN	S	21,000	24.00	n/a	n/a	630.00	3.0
HILLIARD LYONS CAP MGMT	047	ATVI	S	9,159	11.80	n/a	n/a	274.77	3.0
COUGAR TRADING	044	AXL	B	2,500	14.67	n/a	31-Jan	125.00	5.0
MILLRACE FUND LP	028	AXL	B	7,000	14.65	n/a	31-Jan	280.00	4.0
COUGAR TRADING	044	BWA	B	5,000	69.96	n/a	31-Jan	250.00	5.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	70,800	14.84	n/a	n/a	3,540.00	5.0
MILLENIUM SUB A/C NEW VERNON085		CDXS	B	50,000	10.74	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	DAN	B	2,500	17.30	n/a	31-Jan	125.00	5.0
KENNEDY CAPITAL	046	DPZ	S	50,000	16.54	n/a	7-Jan	2,000.00	4.0
Õ James Mitchell		F	S	1850	16.2508	n/a	2-Feb	0.00	0.0
BARROW HANLEY MEWHINNEY	031	GE	B	61,000	20.97	n/a	n/a	2,135.00	3.5
S.A.C. CAP/ORENSTEIN	044	GE	SS	100,000	20.83	n/a	n/a	3,500.00	3.5
SENATOR INVESTMENT GROUP	036	GM	S	75,000	36.95	n/a	2-Feb	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	HD	B	60,000	36.64	n/a	13-Dec	3,000.00	5.0
RBC CAPITAL MARKETS	040	HOT	S	15,000	62.37	n/a	4-Feb	600.00	4.0
JETSTREAM GLOBAL FUND LP	065	HTZ	B	5,000	15.26	n/a	n/a	250.00	5.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	51.72	n/a	7-Feb	500.00	5.0
RBC CAPITAL MARKETS	040	K	B	10,000	53.41	n/a	n/a	400.00	4.0
TPG-AXON	040	LUV	C	120,000	12.02	n/a	n/a	4,800.00	4.0
RBC CAPITAL MARKETS	040	MCD	S	20,000	73.39	n/a	7-Feb	800.00	4.0
BARROW HANLEY MEWHINNEY	031	MDT	B	32,400	39.50	n/a	n/a	1,134.00	3.5
FIRST NY SEC/CHRIS	041	MGM	B	25,000	15.15	n/a	31-Jan	1,250.00	5.0
ASCEND PARTNERS	033	M	B	100,000	23.47	n/a	7-Feb	5,000.00	5.0
FIRST NY SEC/CHRIS	041	M	B	10,000	23.29	n/a	7-Feb	500.00	5.0
SOROS	036	NCS	S	79,874	13.54	n/a	n/a	3,194.96	4.0
HILLIARD LYONS CAP MGMT	047	NKE	B	1,348	86.68	n/a	n/a	40.44	3.0
BALLAST CAP	040	ORLY	B	6,200	57.75	n/a	n/a	310.00	5.0
BAIRD INVESTMENT	047	PCAR	B	7,825	51.31	n/a	2-Feb	391.25	5.0
SCOPUS FUND	041	PCL	B	8,325	41.02	n/a	1-Feb	333.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	RCL	B	5,000	45.67	n/a	n/a	200.00	4.0
LISTED ERR	099	RCL	B	904	46.36	n/a	n/a	0.00	0.0
LISTED ERR	099	RCL	SS	904	45.70	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	SBUX	B	25,000	32.40	n/a	27-Jan	1,250.00	5.0
ISLE RIDGE PARTNERS	041	SPLS	S	50,000	22.38	n/a	n/a	1,500.00	3.0
LITESPEED	028	SSCC	S	70,000	38.80	n/a	7-Jan	2,100.00	3.0
MERRILL ASSET/BLACKROCK	266	THFF	S	10,589	31.33	n/a	n/a	423.56	4.0
RBC CAPITAL MARKETS	040	UPS	SS	1,036	73.85	n/a	n/a	41.44	4.0
ENTRUST CAPITAL	040	VFC	B	25,200	86.83	n/a	20-Jan	1,260.00	5.0
SIGMA CAPITAL ASSOCIATES	041	VFC	B	63,789	86.87	n/a	20-Jan	2,232.62	3.5
CRAMER ROSENTHAL/SCOTT	012	VIAB	B	11,600	43.93	n/a	n/a	464.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WSM	S	50,000	34.59	n/a	n/a	1,500.00	3.0
SCHOTTENFELD ASSOC	041	WY	B	23,600	22.72	n/a	4-Feb	708.00	3.0
TOTAL (Trade Date) :								54,418.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									54,418.04
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									54,418.04
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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