



Daily Compliance Activity Report

Trade Date: 01/27/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	ANF	B	5,000	49.74	n/a	10-Jan	150.00	3.0
BENCHMARK	025	ARGN	B	5,000	11.29	n/a	27-Oct	250.00	5.0
LISTED ERR	099	BLL	B	540	71.82	n/a	n/a	0.00	0.0
NOMURA CAPITAL	029	CHMT	S	3,000	16.64	n/a	n/a	90.00	3.0
SURSUM CAPITAL	215	DECK	S	10,000	76.76	n/a	n/a	300.00	3.0
MAIRS AND POWER INV	030	DIS	B	30,000	39.48	n/a	n/a	1,500.00	5.0
SURSUM CAPITAL	215	DPZ	S	15,000	16.94	n/a	7-Jan	450.00	3.0
SURSUM CAPITAL	215	ECL	S	5,000	50.02	n/a	5-Jan	150.00	3.0
NEUBERGER BERMAN	036	EXPO	B	3,400	37.69	n/a	n/a	136.00	4.0
SF SENTRY	085	FDO	SS	7,500	42.77	n/a	26-Jan	375.00	5.0
SURSUM CAPITAL	215	FDX	S	10,000	94.52	n/a	n/a	300.00	3.0
SIGMA CAP BOBBY	944	FL	SS	75,000	17.89	n/a	22-Dec	2,625.00	3.5
CATAPULT	040	FTI	SS	11,000	93.64	n/a	n/a	440.00	4.0
SONTERRA CAP	041	FTO	SS	50,000	19.25	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURSUM CAPITAL	215	GCO	SS	5,000	36.52	n/a	n/a	150.00	3.0
ASCEND PARTNERS	033	GES	B	7,394	42.87	n/a	20-Jan	369.70	5.0
BALLAST CAP	040	GPS	SS	9,400	19.54	n/a	n/a	470.00	5.0
FRONTIER	048	IDTI	S	190,150	6.52	n/a	n/a	5,704.50	3.0
FRPN	048	IDTI	S	4,100	6.52	n/a	n/a	123.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	29.31	n/a	7-Jan	2,500.00	5.0
SURSUM CAPITAL	215	JAH	S	5,000	34.50	n/a	n/a	150.00	3.0
CAERUS GLOBAL	041	JNY	S	20,000	13.37	n/a	21-Jan	800.00	4.0
SURSUM CAPITAL	215	JNY	S	20,000	13.37	n/a	21-Jan	600.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	41.49	n/a	14-Jan	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	7,500	109.55	n/a	26-Jan	225.00	3.0
SIGMA CAP BOBBY	044	LOW	B	50,000	26.08	n/a	13-Dec	1,750.00	3.5
NEUBERGER BERMAN	036	MAC	B	3,000	48.75	n/a	n/a	120.00	4.0
NEUBERGER BERMAN	036	NHP	B	4,100	37.57	n/a	n/a	164.00	4.0
BALYASNY ASSET MGMT	044	OI	B	20,000	30.16	n/a	n/a	1,000.00	5.0
LAGRANGE CAP ADV	048	PAG	S	9,234	17.80	n/a	26-Jan	461.70	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FEDERATED INV/KAUFMAN	029	PM	S	100,000	57.10	n/a	n/a	5,500.00	5.5
BUCK CAPITAL MGMT	001	PSS	B	50,000	21.11	n/a	n/a	1,500.00	3.0
BAIRD INVESTMENT	047	PX	B	2,800	91.81	n/a	26-Jan	140.00	5.0
LITESPEED	028	SSCC	S	232,500	38.19	n/a	7-Jan	9,300.00	4.0
TOCQUEVILLE	035	TER	S	75,000	16.27	n/a	n/a	3,750.00	5.0
HALCYON LLC	041	TIN	S	125,000	24.30	n/a	7-Jan	3,750.00	3.0
ADAGE CAPITAL MGMT	030	TJX	B	264,558	48.54	n/a	7-Jan	7,936.74	3.0
SURSUM CAPITAL	215	TLB	S	50,000	6.25	n/a	n/a	1,500.00	3.0
TRUSTCO/SUNTRUST	040	T	B	9,750	27.86	n/a	n/a	341.25	3.5
SURSUM CAPITAL	215	UPS	S	10,000	73.11	n/a	n/a	300.00	3.0
BALLAST CAP	040	URBN	SS	5,000	34.31	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	URBN	SS	10,000	34.43	n/a	n/a	500.00	5.0
SURSUM CAPITAL	215	URBN	SS	5,000	34.40	n/a	n/a	150.00	3.0
SAXON WOODS ADVISORS	048	VAR	S	15,000	68.11	n/a	n/a	600.00	4.0
KLEINHEINZ CAP PART	031	WHR	B	27,874	91.18	n/a	n/a	1,393.70	5.0
SURSUM CAPITAL	215	WMT	B	10,000	57.57	n/a	27-Jan	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARSCH CAPITAL	034	XLV	C	250,000	32.21	n/a	n/a	7,500.00	3.0
TOTAL (Trade Date):								68,565.59	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/26	LISTED ERR (LISTED ERR)	099	BLL	S	38,602	69.47	n/a	n/a	0.00	0.0
AO,CXL	01/21	CRAMER ROSENTHAL/SCOTT (CRSB699)	012	HAS	B	200	44.81	n/a	n/a	8.00	4.0
AO,	01/21	CRAMER ROSENTHAL/SCOTT (CRSB699)	012	HAS	B	200	44.81	n/a	n/a	8.00	4.0
CRT	01/27	SIGMA CAP BOBBY (SIBEML)	044	LOW	B	50,000	26.08	n/a	13-Dec	1750.00	3.5
AO,CXL	01/26	SIGMA CAP BOBBY (SIBEML)	044	SMG	B	53,500	53.60	n/a	14-Jan	0.00	0.0
AO,CRT	01/26	SIGMA CAP BOBBY (SIBEML)	044	SMG	B	53,500	53.60	n/a	14-Jan	1872.50	3.5
CRT	01/27	LITESPEED (LITEUBS)	028	SSCC	S	232,500	38.19	n/a	7-Jan	9300.00	4.0
TOTAL (AO, CXL, CRT) :										12,922.50	

TOTAL (Trade Date) :	68,565.59
TOTAL (AO, CXL, CRT) :	12,922.50

TOTAL (RUN DATE) / NFS :	81,488.09
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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