



Daily Compliance Activity Report

Trade Date: 01/18/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	S	14,977	42.94	n/a	14-Jan	748.85	5.0
EPOCH INV MGMT	030	PTP	B	1,200	46.04	n/a	n/a	36.00	3.0
TOTAL (Trade Date) :								784.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									784.85
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									784.85

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