



Daily Compliance Activity Report

Trade Date: 01/26/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ABT	S	825	46.94	n/a	n/a	16.50	2.0
PIONEER OAKRIDGE	031	AGN	S	705	72.44	n/a	24-Jan	14.10	2.0
PIONEER OAKRIDGE	031	ALTR	S	845	37.03	n/a	n/a	16.90	2.0
PIONEER OAKRIDGE	031	AMG	S	420	102.16	n/a	2-Mar	8.40	2.0
FIRST NY SEC/CHRIS	041	AMR	B	20,000	7.54	n/a	n/a	1,000.00	5.0
SURSUM CAPITAL	215	ANF	B	15,000	49.84	n/a	10-Jan	450.00	3.0
COUGAR TRADING	044	APC	B	10,000	75.13	n/a	11-Jan	500.00	5.0
COUGAR TRADING	044	APC	S	10,000	76.47	n/a	11-Jan	500.00	5.0
PIONEER OAKRIDGE	031	APH	S	550	55.07	n/a	n/a	11.00	2.0
SURSUM CAPITAL	215	ARO	B	10,000	24.15	n/a	7-Jan	300.00	3.0
BALYASNY ASSET MGMT	044	ASNA	S	25,000	27.49	n/a	n/a	1,250.00	5.0
SURSUM CAPITAL	215	ASNA	SS	5,000	27.74	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	BAX	S	730	50.90	n/a	n/a	14.60	2.0
PIONEER OAKRIDGE	031	BBY	S	1,100	35.18	n/a	n/a	22.00	2.0
BUCK CAPITAL MGMT	001	BID	B	15,000	39.83	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	BLL	S	40,120	70.00	n/a	n/a	2,006.00	5.0
LISTED ERR	099	BLL	B	38,062	71.22	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	BMR	B	1,500	18.14	n/a	n/a	60.00	4.0
1798 CAP/LOMBARD ASSET	040	CAT	B	19,000	95.13	n/a	22-Oct	950.00	5.0
PIONEER OAKRIDGE	031	CELG	S	670	56.36	n/a	n/a	13.40	2.0
SURSUM CAPITAL	215	COH	SS	5,000	53.77	n/a	26-Jan	150.00	3.0
OSKIE CAPITAL MGMT	224	COSH	B	5,000	50.46	n/a	n/a	250.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	13,700	104.50	n/a	11-Jan	548.00	4.0
PIONEER OAKRIDGE	031	CSCO	S	4,235	21.51	n/a	n/a	84.70	2.0
PIONEER OAKRIDGE	031	CTSH	S	155	73.22	n/a	n/a	3.10	2.0
AMBER CAPITAL	046	C	B	235,521	4.86	n/a	18-Jan	7,065.63	3.0
OSKIE CAPITAL MGMT	224	DAL	B	20,000	11.95	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	DHR	S	1,300	47.69	n/a	n/a	26.00	2.0
PIONEER OAKRIDGE	031	DNR	S	1,220	18.67	n/a	n/a	24.40	2.0
WATERFRONT CAP	028	DRI	SS	30,000	45.77	n/a	7-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	EAT	SS	20,000	22.96	n/a	26-Jan	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	ECL	S	875	50.35	n/a	5-Jan	17.50	2.0
SURSUM CAPITAL	215	ECL	S	5,000	50.40	n/a	5-Jan	150.00	3.0
PIONEER OAKRIDGE	031	EMC	S	3,175	24.61	n/a	n/a	63.50	2.0
MELLON/BANK OF NEW YORK	046	EQT	S	35,600	45.72	n/a	n/a	1,424.00	4.0
PIONEER OAKRIDGE	031	ESRX	S	1,000	57.75	n/a	n/a	20.00	2.0
NEUBERGER BERMAN	036	EXPO	B	5,500	37.73	n/a	n/a	220.00	4.0
BASIX	033	FDO	SS	6,000	42.92	n/a	26-Jan	180.00	3.0
FARALLON CAP MGMT	040	FDX	B	74,920	94.11	n/a	n/a	2,996.80	4.0
BASIX	033	FL	B	15,000	17.39	n/a	22-Dec	450.00	3.0
BUCK CAPITAL MGMT	001	FL	B	30,000	17.40	n/a	22-Dec	900.00	3.0
LEVIN CAPITAL STRATEGIES	012	FL	B	50,000	17.78	n/a	22-Dec	1,500.00	3.0
SURSUM CAPITAL	215	FOSL	SS	10,000	69.11	n/a	n/a	300.00	3.0
SONTERRA CAP	041	FTO	S	50,000	18.31	n/a	n/a	2,000.00	4.0
SURSUM CAPITAL	215	GCO	SS	10,000	36.49	n/a	n/a	300.00	3.0
PIONEER OAKRIDGE	031	GILD	S	1,235	38.91	n/a	n/a	24.70	2.0
PIONEER OAKRIDGE	031	GOOG	S	155	618.59	n/a	n/a	3.10	2.0
PIONEER OAKRIDGE	031	GS	S	140	161.86	n/a	19-Jan	2.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRASADA	031	HBAN	S	7,500	7.07	n/a	n/a	225.00	3.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	22.83	n/a	20-Jan	600.00	3.0
KLEINHEINZ CAP PART	031	HBI	B	100,000	22.89	n/a	20-Jan	5,000.00	5.0
MERCHANTS GATE CAP LP	036	HBI	C	20,000	22.98	n/a	20-Jan	800.00	4.0
SURSUM CAPITAL	215	HBI	S	10,000	22.97	n/a	20-Jan	300.00	3.0
OSKIE CAPITAL MGMT	224	HEES	B	5,000	12.19	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	IBM	S	660	161.34	n/a	n/a	13.20	2.0
PIONEER OAKRIDGE	031	ICE	S	315	115.33	n/a	n/a	6.30	2.0
FRONTIER	048	IDTI	S	167,450	6.50	n/a	n/a	5,023.50	3.0
FRPN	048	IDTI	S	3,400	6.50	n/a	n/a	102.00	3.0
COUGAR TRADING	044	IGT	SS	10,000	17.41	n/a	21-Jan	500.00	5.0
PIONEER OAKRIDGE	031	INTC	S	2,595	21.85	n/a	n/a	51.90	2.0
ARMATURE CAPITAL	041	IP	S	25,000	28.75	n/a	7-Jan	1,000.00	4.0
SCOPUS FUND	041	IP	S	31,000	28.79	n/a	7-Jan	1,240.00	4.0
PIONEER OAKRIDGE	031	ITW	S	1,155	55.40	n/a	3-Jan	23.10	2.0
PIONEER OAKRIDGE	031	IVZ	S	1,860	23.82	n/a	2-Mar	37.20	2.0
BAIRD INVESTMENT	047	JCI	B	1,975	38.96	n/a	20-Jan	98.75	5.0
PIONEER OAKRIDGE	031	JCI	S	1,250	38.99	n/a	20-Jan	25.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	JNY	S	15,000	13.04	n/a	21-Jan	600.00	4.0
CASTLEROCK	040	JNY	B	115,658	12.98	n/a	21-Jan	4,626.32	4.0
BAIRD INVESTMENT	047	JOYG	B	12,750	88.34	n/a	16-Dec	637.50	5.0
PIONEER OAKRIDGE	031	JWN	S	1,100	41.46	n/a	7-Jan	22.00	2.0
BRASADA	031	KEY	B	10,000	8.84	n/a	n/a	300.00	3.0
FIRST NEW YORK/IAN	025	KG	S	3,536	14.23	n/a	24-Jan	141.44	4.0
SAGE ASSET MGMT	012	KS	S	17,800	17.02	n/a	n/a	890.00	5.0
SURSUM CAPITAL	215	LULU	SS	10,000	66.22	n/a	n/a	300.00	3.0
M&I FUNDS	047	LXK	S	20,000	36.95	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	MAC	B	3,000	47.55	n/a	n/a	120.00	4.0
SURSUM CAPITAL	215	MCD	B	10,000	75.44	n/a	24-Jan	300.00	3.0
BNP PARIBAS SEC	040	MON	S	20,000	73.25	n/a	6-Jan	1,000.00	5.0
PIONEER OAKRIDGE	031	MSFT	S	1,045	28.94	n/a	n/a	20.90	2.0
DAVIDSON INV ADV	035	MS	B	153,265	28.88	n/a	20-Jan	6,130.60	4.0
ARMATURE CAPITAL	041	MWV	B	10,000	28.80	n/a	26-Jan	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	20,000	28.57	n/a	26-Jan	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	M	SS	20,000	23.52	n/a	10-Jan	600.00	3.0
NEUBERGER BERMAN	036	NHP	B	1,400	36.89	n/a	n/a	56.00	4.0
SUTTON BROOK	067	NLSN	S	50,000	25.43	n/a	n/a	1,500.00	3.0
PIONEER OAKRIDGE	031	NTAP	S	760	54.78	n/a	n/a	15.20	2.0
FRONTPOINT	266	OI	S	78,200	32.53	n/a	n/a	3,128.00	4.0
PIONEER OAKRIDGE	031	ORCL	S	1,945	32.61	n/a	n/a	38.90	2.0
PIONEER OAKRIDGE	031	ORLY	S	1,035	56.51	n/a	n/a	20.70	2.0
BUCK CAPITAL MGMT	001	OXM	B	20,000	24.03	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	OXY	S	625	94.62	n/a	n/a	12.50	2.0
BAIRD INVESTMENT	047	PCAR	B	6,150	56.49	n/a	3-Jan	307.50	5.0
PIONEER OAKRIDGE	031	PCAR	S	810	56.46	n/a	3-Jan	16.20	2.0
PIONEER OAKRIDGE	031	PCP	S	330	144.84	n/a	14-Jan	6.60	2.0
PIONEER OAKRIDGE	031	PEP	S	815	65.72	n/a	n/a	16.30	2.0
PIONEER OAKRIDGE	031	PG	S	960	66.65	n/a	26-Jan	19.20	2.0
BUCK CAPITAL MGMT	001	PSS	B	30,000	20.85	n/a	n/a	900.00	3.0
MADISON ST PARTNERS LLC	046	PVH	S	14,959	59.37	n/a	20-Jan	747.95	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PX	S	490	91.06	n/a	26-Jan	9.80	2.0
MELLON/BANK OF NEW YORK	046	RCL	S	25,000	48.95	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	REG	B	6,700	42.00	n/a	n/a	268.00	4.0
SUN AMERICA ASSET MGMT	030	RFMD	S	112,400	7.03	n/a	n/a	4,496.00	4.0
PATTEN & PATTEN	025	RHHBY	B	2,000	38.58	n/a	n/a	0.00	0.0
SAGE ASSET MGMT	012	RKT	B	18,400	66.00	n/a	n/a	920.00	5.0
T. ROWE PRICE	033	RRC	B	22,000	46.88	n/a	11-Jan	880.00	4.0
BAIRD INVESTMENT	047	RVBD	B	33,150	34.03	n/a	n/a	1,657.50	5.0
RBC CAPITAL MARKETS	040	SBUX	S	25,000	33.13	n/a	21-Jan	1,000.00	4.0
WADDELL AND REED	047	SBUX	B	600,000	33.18	n/a	21-Jan	18,000.00	3.0
THOMAS WEISEL ASSET MGMT	035	SCSS	S	24,635	10.57	n/a	n/a	739.05	3.0
PIONEER OAKRIDGE	031	SLB	S	645	85.18	n/a	n/a	12.90	2.0
SIGMA CAP BOBBY	044	SMG	B	53,500	53.60	n/a	14-Jan	0.00	0.0
PIONEER OAKRIDGE	031	SPLS	S	2,055	22.91	n/a	n/a	41.10	2.0
WEINTRAUB CAPITAL MGT.	040	SSCC	S	25,000	37.85	n/a	7-Jan	1,000.00	4.0
PIONEER OAKRIDGE	031	SWN	S	790	38.70	n/a	11-Jan	15.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	S	B	20,000	4.51	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	TGT	S	1,110	55.84	n/a	7-Jan	22.20	2.0
SURSUM CAPITAL	215	TIF	B	5,000	58.80	n/a	n/a	150.00	3.0
IRIDIAN ASSET MGMT.	036	TIN	S	76,660	24.19	n/a	7-Jan	2,299.80	3.0
SAGE ASSET MGMT	012	TIN	S	25,300	24.13	n/a	7-Jan	1,265.00	5.0
ADAGE CAPITAL MGMT	030	TJX	B	83,848	48.44	n/a	7-Jan	2,515.44	3.0
PIONEER OAKRIDGE	031	TMO	S	960	57.18	n/a	n/a	19.20	2.0
SURSUM CAPITAL	215	URBN	SS	5,000	34.41	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	UTX	S	670	81.52	n/a	n/a	13.40	2.0
PIONEER OAKRIDGE	031	V	S	465	71.44	n/a	10-Jan	9.30	2.0
ASCEND PARTNERS	033	WRC	B	700	51.60	n/a	20-Jan	35.00	5.0
SURSUM CAPITAL	215	WRC	SS	5,000	52.11	n/a	20-Jan	150.00	3.0
TOTAL (Trade Date) :							107,276.38		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/19	NOMURA CAPITAL (NOMUGMCA)	029	ABH	S	350	26.72	n/a	n/a	10.50 3.0
AO,CXL	01/19	NOMURA CAPITAL (NOMUGMCA)	029	ABH	S	350	26.72	n/a	n/a	10.50 3.0
AO,CXL	01/25	SURSUM CAPITAL (SURSGSPB)	215	ASNA	SS	5,000	27.03	n/a	n/a	150.00 3.0
AO,CRT	01/25	SURSUM CAPITAL (SURSMSPB)	215	ASNA	SS	5,000	27.03	n/a	n/a	150.00 3.0
AO,CRT	01/24	ADAGE CAPITAL MGMT (ADAGCSFB)	030	JCP	B	132,525	32.03	n/a	7-Jan	3975.75 3.0
AO,CXL	01/24	ADAGE CAPITAL MGMT (ADAGLONG)	030	JCP	B	132,525	32.03	n/a	7-Jan	3975.75 3.0
AO,CRT	01/25	PATTEN & PATTEN (PATTFSG BA)	025	RHHBY	S	2,000	38.29	n/a	n/a	100.00 5.0
AO,CXL	01/25	PATTEN & PATTEN (PATTSCHWAB)	025	RHHBY	S	2,000	38.29	n/a	n/a	100.00 5.0
AO,	01/25	HALCYON LLC (HALCGSPB)	041	SLE	B	2,469	18.25	n/a	n/a	74.07 3.0
AO,	01/25	HALCYON LLC (HALCSBSHPB)	041	SLE	B	12,093	18.25	n/a	n/a	362.79 3.0
AO,	01/25	HALCYON LLC (HALCDBSI)	041	SLE	B	185,438	18.25	n/a	n/a	5563.14 3.0
AO,CXL	01/25	RBC CAPITAL MARKETS (RBCCMAIN)	040	WMT	B	17,600	56.55	n/a	17-Nov	704.00 4.0

TOTAL (AO, CXL, CRT) :**5,296.00**

TOTAL (Trade Date) :

107,276.38

TOTAL (AO, CXL, CRT) :

5,296.00

TOTAL (RUN DATE) / NFS:**112,572.38**

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