



## Daily Compliance Activity Report

Trade Date: 01/25/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	200	338.81	n/a	n/a	6.00	3.0
MILLENIUM PARTNERS	028	AA	B	75,000	16.13	n/a	n/a	3,000.00	4.0
WINSLOW CAPITAL	030	ADSK	B	2,400	39.94	n/a	n/a	72.00	3.0
WINSLOW CAPITAL	030	AMTD	B	3,100	20.05	n/a	n/a	93.00	3.0
WINSLOW CAPITAL	030	AMZN	B	800	174.76	n/a	n/a	24.00	3.0
COLUMBUS CIRCLE	036	ANV	S	75,415	24.31	n/a	n/a	3,016.60	4.0
WINSLOW CAPITAL	030	ASML	B	1,800	40.37	n/a	n/a	54.00	3.0
BALYASNY ASSET MGMT	044	ASNA	S	25,000	27.15	n/a	n/a	1,250.00	5.0
SURSUM CAPITAL	215	ASNA	SS	5,000	27.03	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	BBY	B	1,500	35.15	n/a	n/a	75.00	5.0
WINSLOW CAPITAL	030	BIDU	B	900	105.39	n/a	n/a	27.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>20,000</b>	<b>39.02</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	25,000	36.19	n/a	n/a	875.00	3.5
IRIDIAN ASSET MGMT.	036	BLL	S	67,950	69.79	n/a	n/a	3,397.50	5.0
WINSLOW CAPITAL	030	CELG	B	900	56.05	n/a	n/a	27.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CERN	B	700	95.97	n/a	n/a	21.00	3.0
WINSLOW CAPITAL	030	CHRW	B	1,000	77.04	n/a	n/a	30.00	3.0
TRUST CO OF THE WEST/NY	040	CLDA	B	149,829	26.41	n/a	n/a	7,491.45	5.0
CASTLE ARK	031	COH	B	108,130	52.43	n/a	20-Jan	5,406.50	5.0
WINSLOW CAPITAL	030	COST	B	800	71.97	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	CTSH	B	3,500	73.01	n/a	n/a	105.00	3.0
WINSLOW CAPITAL	030	CTXS	B	1,600	62.61	n/a	n/a	48.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>S</b>	<b>10,000</b>	<b>39.41</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
VISIUM/BALY BOBBY	044	DRI	C	10,000	47.20	n/a	7-Jan	500.00	5.0
SURSUM CAPITAL	215	ECL	B	5,000	50.05	n/a	5-Jan	150.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>B</b>	<b>194</b>	<b>82.69</b>	<b>n/a</b>	<b>14-Jan</b>	<b>5.82</b>	<b>3.0</b>
WINSLOW CAPITAL	030	ESRX	B	3,400	57.57	n/a	n/a	102.00	3.0
NEUBERGER BERMAN	036	EXPO	B	3,500	36.07	n/a	n/a	140.00	4.0
KLEINHEINZ CAP PART	031	FAST	SS	25,000	58.75	n/a	n/a	1,250.00	5.0
SURSUM CAPITAL	215	FOSL	SS	5,000	67.81	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	40,000	42.42	n/a	20-Jan	1,200.00	3.0
SURSUM CAPITAL	215	GES	SS	5,000	42.51	n/a	20-Jan	150.00	3.0
WINSLOW CAPITAL	030	GMCR	B	1,700	34.49	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	GOOG	B	200	615.89	n/a	n/a	6.00	3.0
SURSUM CAPITAL	215	HBI	B	20,000	23.04	n/a	20-Jan	600.00	3.0
SURSUM CAPITAL	215	HWD	B	10,000	10.71	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	INTU	B	1,300	46.34	n/a	n/a	39.00	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	9,814	62.17	n/a	n/a	392.56	4.0
OSKIE CAPITAL MGMT	224	JCP	B	10,000	32.24	n/a	7-Jan	500.00	5.0
WINSLOW CAPITAL	030	JNPR	B	1,500	34.71	n/a	n/a	45.00	3.0
SURSUM CAPITAL	215	LTD	B	5,000	28.40	n/a	n/a	150.00	3.0
SAC ENERGY GS-BOB	044	MRO	B	100,000	43.25	n/a	n/a	3,500.00	3.5
WINSLOW CAPITAL	030	NFLX	B	100	183.11	n/a	n/a	3.00	3.0
SURSUM CAPITAL	215	NKE	S	5,000	82.42	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	NTAP	B	1,300	53.52	n/a	n/a	39.00	3.0
WINSLOW CAPITAL	030	ORCL	B	4,200	32.14	n/a	n/a	126.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ORLY	B	1,300	55.92	n/a	n/a	39.00	3.0
WINSLOW CAPITAL	030	PCLN	B	300	422.33	n/a	n/a	9.00	3.0
PATTEN & PATTEN	025	PGN	B	1,500	45.41	n/a	n/a	75.00	5.0
WINSLOW CAPITAL	030	QCOM	B	3,800	50.95	n/a	n/a	114.00	3.0
PATTEN & PATTEN	025	RHHBY	S	2,000	38.29	n/a	n/a	100.00	5.0
T. ROWE PRICE	033	RRC	B	58,300	47.17	n/a	11-Jan	2,332.00	4.0
MILLENIUM PARTNERS	028	RYN	S	10,000	58.70	n/a	21-Jan	400.00	4.0
WINSLOW CAPITAL	030	SCHW	B	1,400	18.05	n/a	n/a	42.00	3.0
WINSLOW CAPITAL	030	SHPGY	B	1,200	78.84	n/a	24-Jan	36.00	3.0
RBC CAPITAL MARKETS	040	SPY	B	20,000	128.90	n/a	n/a	800.00	4.0
HOLLIS CAPITAL	033	SSCC	S	5,000	36.15	n/a	7-Jan	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	SSCC	S	96,958	35.70	n/a	7-Jan	3,878.32	4.0
WATERFRONT CAP	028	SWK	B	20,000	66.07	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	TGT	SS	10,000	55.76	n/a	7-Jan	500.00	5.0
SURSUM CAPITAL	215	TGT	B	20,000	55.92	n/a	7-Jan	600.00	3.0
ADAGE CAPITAL MGMT	030	TJX	B	450,000	48.04	n/a	7-Jan	13,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	TPX	B	1,900	43.58	n/a	n/a	76.00	4.0
JMP ASSET MGMT	210	TUES	B	25,000	4.27	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	VVR	S	8,000	4.95	n/a	n/a	400.00	5.0
WATERFRONT CAP	028	WHR	SS	15,000	87.20	n/a	n/a	600.00	4.0
COLUMBUS CIRCLE	036	WLK	S	2,754	38.85	n/a	n/a	110.16	4.0
PERRY PARTNERS	085	WMB	B	25,000	26.29	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	040	WMT	B	42,600	56.55	n/a	17-Nov	1,704.00	4.0
LISTED ERR	099	WMT	B	3,100	56.55	n/a	17-Nov	0.00	0.0
LISTED ERR	099	WMT	S	3,100	56.55	n/a	17-Nov	0.00	0.0
CAXTON PART	040	WY	S	149,524	22.97	n/a	21-Jan	5,233.35	3.5
<b>TOTAL (Trade Date) :</b>								<b>69,241.26</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/19	NOMURA CAPITAL (NOMUGMCA)	029	ABH	S	350	26.72	n/a	n/a	10.50 3.0
AO,	01/19	NOMURA CAPITAL (NOMUGMCA)	029	ABH	S	350	26.72	n/a	n/a	10.50 3.0
AO,CXL	01/24	ARMATURE CAPITAL (ARMADB)	041	IP	B	20,000	28.75	n/a	7-Jan	800.00 4.0
AO,	01/24	ARMATURE CAPITAL (ARMADB)	041	IP	B	7,219	28.83	n/a	7-Jan	288.76 4.0
AO,	01/24	ARMATURE CAPITAL (ARMADB)	041	IP	B	12,781	28.70	n/a	7-Jan	511.24 4.0
AO,CXL	01/24	SCOPUS FUND (SCOPUBS)	041	JNY	S	21,930	12.33	n/a	21-Jan	877.20 4.0
AO,CRT	01/24	SCOPUS FUND (SCOPUBS)	041	JNY	S	23,865	12.33	n/a	21-Jan	954.60 4.0
AO,CXL	01/24	SCOPUS FUND (SCOPGS)	041	JNY	S	3,870	12.33	n/a	21-Jan	154.80 4.0
AO,CRT	01/24	SCOPUS FUND (SCOPGS)	041	JNY	S	1,935	12.33	n/a	21-Jan	77.40 4.0
AO,CXL	01/24	NOMURA CAPITAL (NOMUGMCA)	029	SSCC	S	875	35.05	n/a	7-Jan	26.25 3.0
AO,	01/24	NOMURA CAPITAL (NOMUGMCA)	029	SSCC	S	875	35.05	n/a	7-Jan	26.25 3.0
AO,CXL	01/24	IMPALA ASSET MMT (IMPAUBS)	012	WAB	SS	17,624	53.32	n/a	n/a	881.20 5.0
AO,CRT	01/24	IMPALA ASSET MMT (IMPAGOLDMA)	012	WAB	SS	17,624	53.32	n/a	n/a	881.20 5.0
AO,	01/24	COLUMBUS CIRCLE (COLC3050)	036	WLK	S	1,051	40.52	n/a	n/a	21.02 2.0
AO,	01/24	COLUMBUS CIRCLE (COLC3050)	036	WLK	S	3,195	40.25	n/a	n/a	127.80 4.0

**TOTAL (AO, CXL, CRT) :****148.82**

TOTAL (Trade Date) :

69,241.26

TOTAL (AO, CXL, CRT) :

148.82

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TOTAL (RUN DATE) / NFS:

69,390.08

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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