



Daily Compliance Activity Report

Trade Date: 01/31/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	ADM	B	40,000	33.07	n/a	31-Jan	1,600.00	4.0
WINSLOW CAPITAL	030	AMT	B	3,700	51.18	n/a	n/a	111.00	3.0
SURSUM CAPITAL	215	ANN	SS	5,000	21.59	n/a	n/a	150.00	3.0
SEVEN LOCKS CAPITAL	025	APA	B	16,000	115.38	n/a	11-Jan	480.00	3.0
WINSLOW CAPITAL	030	APH	B	1,500	55.14	n/a	n/a	45.00	3.0
MERRILL ASSET/BLACKROCK	266	ARC	B	6,350	7.90	n/a	n/a	254.00	4.0
TRELLUS PARTNERS LP	028	AXL	C	30,000	14.53	n/a	31-Jan	1,500.00	5.0
TRELLUS PARTNERS LP	028	AXL	SS	30,000	14.43	n/a	31-Jan	1,500.00	5.0
WINSLOW CAPITAL	030	A	B	2,900	41.56	n/a	n/a	87.00	3.0
WINSLOW CAPITAL	030	BEN	B	1,500	121.66	n/a	2-Mar	45.00	3.0
LATEFF MGMT	035	BLL	S	500	71.40	n/a	n/a	175.00	35.0
WINSLOW CAPITAL	030	BTU	B	1,800	62.86	n/a	n/a	54.00	3.0
WINSLOW CAPITAL	030	BWA	B	1,700	68.07	n/a	31-Jan	51.00	3.0
NOMURA CAPITAL	029	CHMT	S	5,000	16.56	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	CLF	B	3,000	84.69	n/a	n/a	90.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CME	B	400	307.75	n/a	14-Jan	12.00	3.0
SURSUM CAPITAL	215	COH	SS	5,000	53.90	n/a	26-Jan	150.00	3.0
SURSUM CAPITAL	215	COLM	SS	5,000	61.23	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	CRM	B	900	128.60	n/a	n/a	27.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,500	116.00	n/a	11-Jan	100.00	4.0
MA CAPITAL MGMT/MELLON ADV041		DAN	SS	4,000	17.47	n/a	31-Jan	200.00	5.0
WAGONHOUND/NIC	289	DAN	S	114,654	17.60	n/a	31-Jan	4,586.16	4.0
PARAMETER CAPITAL MGMT LLC044		DB	B	40,000	58.56	n/a	n/a	1,600.00	4.0
SURSUM CAPITAL	215	DECK	B	20,000	73.57	n/a	n/a	600.00	3.0
WINSLOW CAPITAL	030	DE	B	2,500	90.81	n/a	11-Jan	75.00	3.0
WINSLOW CAPITAL	030	DG	B	3,700	28.00	n/a	21-Jan	111.00	3.0
WINSLOW CAPITAL	030	DHR	B	6,500	45.99	n/a	n/a	195.00	3.0
COUGAR TRADING	044	DLTR	SS	5,000	50.60	n/a	21-Jan	250.00	5.0
MILLENNIUM PARTNERS ICSUS 041		DRYS	B	100,000	4.83	n/a	n/a	5,000.00	5.0
SANDLER CAPITAL	028	DSW	C	40,000	33.56	n/a	21-Jan	2,400.00	6.0
CATAPULT	040	DY	B	60,000	16.17	n/a	n/a	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERCHANTS GATE CAP LP	036	ECA	B	175,900	32.18	n/a	n/a	7,036.00	4.0
WINSLOW CAPITAL	030	ECL	B	2,000	49.63	n/a	5-Jan	60.00	3.0
WINSLOW CAPITAL	030	EL	B	1,700	80.97	n/a	14-Jan	51.00	3.0
WINSLOW CAPITAL	030	EMC	B	12,100	24.64	n/a	n/a	363.00	3.0
WINSLOW CAPITAL	030	EW	B	600	84.48	n/a	n/a	18.00	3.0
NEUBERGER BERMAN	036	EXPO	B	3,700	36.86	n/a	n/a	148.00	4.0
SURSUM CAPITAL	215	FDX	S	5,000	90.50	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	FLR	B	3,200	69.01	n/a	n/a	96.00	3.0
WINSLOW CAPITAL	030	FTI	B	3,000	93.85	n/a	n/a	90.00	3.0
AVESTA CAP	229	F	SS	200,000	16.01	n/a	31-Jan	6,000.00	3.0
CYRUS CAPITAL	025	F	SS	100,000	16.38	n/a	31-Jan	4,000.00	4.0
HOLLIS CAPITAL	033	F	S	10,000	16.17	n/a	31-Jan	500.00	5.0
L.R.BURTSCHY & CO	029	F	S	25,000	16.60	n/a	31-Jan	1,500.00	6.0
WINSLOW CAPITAL	030	F	B	8,500	16.11	n/a	31-Jan	255.00	3.0
SURSUM CAPITAL	215	GCO	SS	5,000	37.04	n/a	n/a	150.00	3.0
GREEN ARROW DOUG	040	GE	SS	25,000	20.20	n/a	n/a	1,250.00	5.0
CIRCLE T/SES PART	035	GM	SS	20,000	36.33	n/a	31-Jan	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	289	GPI	S	28,787	37.77	n/a	31-Jan	1,151.48	4.0
SURSUM CAPITAL	215	GPS	S	15,000	19.36	n/a	n/a	450.00	3.0
WINSLOW CAPITAL	030	GS	B	2,000	162.97	n/a	19-Jan	60.00	3.0
WINSLOW CAPITAL	030	HAL	B	2,900	44.59	n/a	n/a	87.00	3.0
WINSLOW CAPITAL	030	HPQ	B	2,600	45.42	n/a	n/a	78.00	3.0
PARAMETER CAPITAL MGMT LLC044		ICE	S	10,000	119.92	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	ICE	B	900	119.23	n/a	n/a	27.00	3.0
BMO NESBITT BURNS	041	IP	B	11,000	28.99	n/a	7-Jan	440.00	4.0
WEINTRAUB CAPITAL MGT.	040	IP	B	300,000	28.92	n/a	7-Jan	12,000.00	4.0
PARAMETER CAPITAL MGMT LLC044		ITW	SS	25,000	53.84	n/a	3-Jan	1,000.00	4.0
WINSLOW CAPITAL	030	ITW	B	3,900	54.20	n/a	3-Jan	117.00	3.0
SURSUM CAPITAL	215	JAH	B	5,000	34.04	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	JPM	B	4,500	44.92	n/a	14-Jan	135.00	3.0
SURSUM CAPITAL	215	KSS	SS	15,000	51.21	n/a	28-Jan	450.00	3.0
SAGE ASSET MGMT	012	KS	S	29,038	17.37	n/a	n/a	1,451.90	5.0
BASIX	033	LEA	S	20,000	105.14	n/a	31-Jan	600.00	3.0
COUGAR TRADING	044	LEA	B	2,500	104.54	n/a	31-Jan	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	105.07	n/a	31-Jan	300.00	3.0
OSKIE CAPITAL MGMT	224	LEA	B	3,000	104.67	n/a	31-Jan	150.00	5.0
TRELLUS PARTNERS LP	028	LEA	B	10,000	105.39	n/a	31-Jan	500.00	5.0
WAGONHOUND/NIC	289	LEA	S	5,328	105.02	n/a	31-Jan	213.12	4.0
CIRCLE T/SES PART	035	MGM	S	10,000	14.83	n/a	31-Jan	400.00	4.0
LATEFF MGMT	035	MRO	S	500	45.60	n/a	n/a	150.00	30.0
EGS ASSOCIATES LP	091	M	SS	5,000	23.02	n/a	28-Jan	300.00	6.0
SIGMA CAPITAL ASSOCIATES	041	M	S	50,000	23.11	n/a	28-Jan	1,750.00	3.5
SURSUM CAPITAL	215	M	SS	30,000	23.10	n/a	28-Jan	900.00	3.0
THE JAY GOLDMAN	028	M	SS	25,000	23.12	n/a	28-Jan	1,000.00	4.0
WINSLOW CAPITAL	030	NKE	B	1,500	81.84	n/a	n/a	45.00	3.0
MERRILL ASSET/BLACKROCK	266	OAS	S	25,000	32.30	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	OXY	B	1,900	95.87	n/a	n/a	57.00	3.0
BMO NESBITT BURNS	041	PCL	S	25,000	41.86	n/a	21-Jan	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	25,000	41.93	n/a	21-Jan	1,250.00	5.0
LATEFF MGMT	035	PFE	S	1,000	18.22	n/a	n/a	180.00	18.0
SURSUM CAPITAL	215	PG	B	5,000	63.62	n/a	28-Jan	150.00	3.0
SURSUM CAPITAL	215	PSS	SS	10,000	20.47	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	PVH	SS	5,000	58.43	n/a	20-Jan	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	20,000	105.92	n/a	20-Jan	600.00	3.0
SURSUM CAPITAL	215	SHOO	B	5,000	38.56	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	SLB	B	3,700	87.76	n/a	n/a	111.00	3.0
WINSLOW CAPITAL	030	SNI	B	2,500	46.24	n/a	n/a	75.00	3.0
PARAMETER CAPITAL MGMT LLC	044	STI	B	50,000	29.77	n/a	n/a	2,000.00	4.0
TRUST CO OF THE WEST/NY	040	STX	B	9,731	13.81	n/a	n/a	389.24	4.0
TRUST CO/COWEN/CALF.	040	STX	B	3,015	13.81	n/a	n/a	120.60	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.46	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	266	TESO	B	3,423	14.74	n/a	n/a	136.92	4.0
COUGAR TRADING	044	TGT	S	5,000	54.65	n/a	28-Jan	250.00	5.0
SURSUM CAPITAL	215	TGT	S	20,000	54.62	n/a	28-Jan	600.00	3.0
SIGMA CAPITAL ASSOCIATES	041	TIF	B	50,000	58.33	n/a	n/a	1,750.00	3.5
M&I FUNDS	047	TJX	S	8,663	47.50	n/a	28-Jan	346.52	4.0
SURSUM CAPITAL	215	TJX	SS	5,000	47.30	n/a	28-Jan	150.00	3.0
THIRD COAST CAPITAL	035	TLB	S	90,000	5.56	n/a	n/a	4,500.00	5.0
DSM CAPITAL PARTNERS	085	TWC	B	23,585	68.53	n/a	n/a	1,179.25	5.0
WINSLOW CAPITAL	030	TXN	B	3,500	34.01	n/a	n/a	105.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	UA	S	132,121	59.92	n/a	28-Jan	3,963.63	3.0
SURSUM CAPITAL	215	UA	B	5,000	59.90	n/a	28-Jan	150.00	3.0
1798 CAP/LOMBARD ASSET	040	UNP	B	13,000	94.51	n/a	n/a	650.00	5.0
WINSLOW CAPITAL	030	UNP	B	3,800	94.42	n/a	n/a	114.00	3.0
SURSUM CAPITAL	215	URBN	B	5,000	33.99	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	UTX	B	2,800	80.96	n/a	n/a	84.00	3.0
WINSLOW CAPITAL	030	VAR	B	1,600	68.75	n/a	n/a	48.00	3.0
LEVEL GLOBAL SHARED ACCT	257	VFC	C	20,000	82.29	n/a	20-Jan	600.00	3.0
WINSLOW CAPITAL	030	V	B	2,500	69.75	n/a	27-Jan	75.00	3.0
AVESTA CAP	229	WAG	S	50,000	40.53	n/a	n/a	1,500.00	3.0
TRUST CO OF THE WEST/NY	040	WDC	B	8,380	33.91	n/a	n/a	419.00	5.0
TRUST CO/COWEN/CALF.	040	WDC	B	2,920	33.91	n/a	n/a	146.00	5.0
WINSLOW CAPITAL	030	WLT	B	1,300	130.51	n/a	n/a	39.00	3.0
DSM CAPITAL PARTNERS	085	WMT	S	28,400	55.76	n/a	27-Jan	1,420.00	5.0
SURSUM CAPITAL	215	WMT	B	10,000	56.05	n/a	27-Jan	300.00	3.0
SURSUM CAPITAL	215	WMT	S	20,000	56.00	n/a	27-Jan	600.00	3.0
SURSUM CAPITAL	215	WRC	SS	10,000	50.67	n/a	20-Jan	300.00	3.0
BMO NESBITT BURNS	041	WY	S	10,000	23.11	n/a	21-Jan	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	YUM	B	2,600	46.66	n/a	31-Jan	78.00	3.0
SURSUM CAPITAL	215	ZUMZ	S	20,000	23.03	n/a	n/a	600.00	3.0
TOTAL (Trade Date):							100,282.82		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/28	SCOPUS FUND (SCOPGS)	041	F	B	9,100	16.38	n/a	31-Jan	364.00	4.0
AO,CRT	01/28	SCOPUS FUND (SCOPGS)	041	F	B	10,501	16.38	n/a	31-Jan	420.04	4.0
AO,CXL	01/28	SCOPUS FUND (SCOPUBS)	041	F	B	60,900	16.38	n/a	31-Jan	2436.00	4.0
AO,CRT	01/28	SCOPUS FUND (SCOPUBS)	041	F	B	59,499	16.38	n/a	31-Jan	2379.96	4.0
CRT	01/31	EGS ASSOCIATES LP (EGASBANC O)	091	M	SS	5,000	23.02	n/a	28-Jan	300.00	6.0
AO,CRT	01/28	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	SHLD	B	60,000	78.69	n/a	n/a	1800.00	3.0
AO,CXL	01/28	ADAGE CAPITAL MGMT (ADAGCSFB)	030	SHLD	B	60,000	78.69	n/a	n/a	1800.00	3.0
AO,	01/28	NOMURA CAPITAL (NOMUGMCA)	029	SSCC	S	225	37.56	n/a	7-Jan	6.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUBARC)	029	SSCC	S	175	37.56	n/a	7-Jan	5.25	3.0
AO,	01/28	NOMURA CAPITAL (NOMU7N1Q)	029	SSCC	S	275	37.56	n/a	7-Jan	8.25	3.0
AO,	01/28	NOMURA CAPITAL (NOMU7N1R)	029	SSCC	S	150	37.56	n/a	7-Jan	4.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMUSAG)	029	SSCC	S	25	37.56	n/a	7-Jan	0.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUNOMIR)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMUL3)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMULASERS)	029	SSCC	S	125	37.56	n/a	7-Jan	3.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUAYCB)	029	SSCC	S	325	37.56	n/a	7-Jan	9.75	3.0
AO,	01/28	NOMURA CAPITAL (NOMUSPH)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
AO,	01/28	NOMURA CAPITAL (NOMUMCERS)	029	SSCC	S	50	37.56	n/a	7-Jan	1.50	3.0
TOTAL (AO, CXL, CRT) :										345.00	

TOTAL (Trade Date):	100,282.82
TOTAL (AO, CXL, CRT):	345.00

TOTAL (RUN DATE) / NFS:

100,627.82

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