



Daily Compliance Activity Report

Trade Date: 01/03/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	ABB	B	7,300	22.71	n/a	n/a	365.00	5.0
BUCK CAPITAL MGMT	001	AEO	SS	40,000	14.50	n/a	3-Dec	1,200.00	3.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	81.40	n/a	27-Oct	250.00	5.0
JP MORGAN VENTURES	046	AOL	S	10,000	23.59	n/a	n/a	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ATVI	S	6,000	12.50	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	50,000	34.57	n/a	n/a	1,500.00	3.0
BALLAST CAP	040	BIG	SS	2,730	30.53	n/a	7-Dec	136.50	5.0
SAC CHICAGO ANDREW	031	BIG	B	130,000	30.56	n/a	7-Dec	4,550.00	3.5
NOKOMIS PARTNERS	031	BOBE	SS	2,600	33.29	n/a	n/a	78.00	3.0
MERRILL ASSET/BLACKROCK	266	BRO	B	12,100	24.41	n/a	n/a	484.00	4.0
BALLAST CAP	040	CAG	SS	3,650	22.65	n/a	n/a	182.50	5.0
CAVU CAP ADV	028	CL	SS	25,000	79.78	n/a	8-Nov	1,250.00	5.0
SAC TRADING TOM LEDDY	035	CL	SS	20,000	79.75	n/a	8-Nov	700.00	3.5
MERRILL ASSET/BLACKROCK	266	CRR	S	4,400	104.64	n/a	14-Dec	176.00	4.0
CATAPULT	040	CVA	B	50,000	17.37	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	DAL	SS	12,500	12.68	n/a	n/a	375.00	3.0
LAGRANGE CAP ADV	048	DLTR	SS	5,000	57.00	n/a	18-Nov	250.00	5.0
LONG OAR GLOBAL INV	040	EXPE	SS	21,700	24.59	n/a	n/a	868.00	4.0
BAIRD INVESTMENT	047	FCX	S	5,875	121.60	n/a	n/a	293.75	5.0
BUCK CAPITAL MGMT	001	FDO	SS	30,000	50.29	n/a	21-Dec	900.00	3.0
LAKEVIEW INV GROUP LLC	031	FOR	B	35,000	19.36	n/a	3-Nov	1,050.00	3.0
HARRIER HAWK MGMT	028	GIL	B	14,100	28.36	n/a	3-Dec	564.00	4.0
NOKOMIS PARTNERS	031	HD	SS	6,000	35.28	n/a	13-Dec	180.00	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	2,300	63.11	n/a	n/a	92.00	4.0
BALLAST CAP	040	IRM	SS	3,300	24.94	n/a	n/a	165.00	5.0
JMP ASSET MGMT	210	JAS	S	19,000	60.22	n/a	n/a	950.00	5.0
JP MORGAN VENTURES	046	JNJ	B	10,000	62.59	n/a	n/a	500.00	5.0
BAIRD INVESTMENT	047	JOYG	S	9,900	88.60	n/a	16-Dec	495.00	5.0
ASCEND PARTNERS	033	JWN	S	77,100	43.42	n/a	30-Nov	3,855.00	5.0
NOKOMIS PARTNERS	031	KSS	B	10,500	54.69	n/a	30-Nov	315.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	54.51	n/a	30-Nov	875.00 3.5
JMP ASSET MGMT	210	LAD	S	5,000	14.65	n/a	n/a	250.00 5.0
PROSPECTOR PARTNERS LLC	036	MDP	S	10,000	35.27	n/a	n/a	400.00 4.0
KLEINHEINZ CAP PART	031	MMM	B	50,000	87.17	n/a	29-Dec	2,500.00 5.0
BALLAST CAP	040	MON	B	4,250	69.27	n/a	17-Dec	212.50 5.0
PZENA INV ADV	044	MSFT	S	775	28.05	n/a	n/a	27.13 3.5
BUCK CAPITAL MGMT	001	MW	SS	30,000	25.34	n/a	n/a	900.00 3.0
SCOPUS FUND	041	M	B	100,000	25.58	n/a	30-Nov	4,000.00 4.0
SONTERRA CAP	041	NBR	SS	91,583	23.44	n/a	n/a	3,663.32 4.0
PZENA INV ADV	044	NOC	S	500	65.33	n/a	28-Dec	17.50 3.5
BALLAST CAP	040	PAYX	B	5,300	31.42	n/a	n/a	265.00 5.0
MILLENIUM PARTNERS	028	PCL	B	15,000	38.31	n/a	26-Oct	600.00 4.0
SHEFFIELD ASSET MGMT	031	PKG	S	50,000	26.50	n/a	15-Dec	1,500.00 3.0
M&I FUNDS	047	PVH	B	4,229	63.44	n/a	3-Dec	169.16 4.0
LAGRANGE CAP ADV	048	RDEN	SS	10,000	23.99	n/a	12-Nov	500.00 5.0
MILLENIUM PARTNERS	028	RYN	S	10,000	54.93	n/a	27-Oct	400.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	SVU	B	12,850	9.61	n/a	n/a	385.50	3.0
METROPOLITAN CAPITAL	044	SWK	S	5,500	68.00	n/a	n/a	275.00	5.0
1798 CAP/LOMBARD ASSET	040	TEN	B	5,000	42.34	n/a	n/a	250.00	5.0
THE JAY GOLDMAN	028	TJX	B	15,000	43.80	n/a	10-Dec	600.00	4.0
SCOPUS FUND	041	TRW	B	1,000	54.70	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT	001	VFC	SS	20,000	86.35	n/a	22-Oct	600.00	3.0
LEVEL GLOBAL SHARED ACCT	257	VFC	SS	100,000	86.36	n/a	22-Oct	3,000.00	3.0
BAIRD INVESTMENT	047	WBC	S	3,375	60.99	n/a	21-Dec	168.75	5.0
MERRILL ASSET/BLACKROCK	266	WLL	S	280	116.25	n/a	n/a	11.20	4.0
BUCK CAPITAL MGMT	001	WMT	SS	20,000	54.71	n/a	17-Nov	600.00	3.0
TOTAL (Trade Date):								46,674.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/30	MOORE CAPITAL (MOORUBS)	028	CAR	SS	5,000	15.32	n/a	n/a	200.00	4.0
AO,CRT	12/30	MOORE CAPITAL (MOORUBS)	028	CAR	SS	5,000	15.32	n/a	n/a	150.00	3.0
AO,CXL	12/31	WINSLOW CAPITAL (WINS41)	030	CTXS	B	20,300	68.18	n/a	n/a	609.00	3.0
AO,CRT	12/31	WINSLOW CAPITAL (WINS41)	030	CTXS	B	20,300	68.18	n/a	n/a	609.00	3.0
AO,CXL	12/31	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	HLIT	S	25,000	8.53	n/a	n/a	1000.00	4.0
AO,CRT	12/31	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	HLIT	S	25,000	8.53	n/a	n/a	1250.00	5.0
AO,	12/23	MANNING & NAPIER (MANNMJ4044)	034	V	B	30	68.71	n/a	21-Dec	0.90	3.0
AO,CXL	12/23	MANNING & NAPIER (MANNMJ4048)	034	V	B	40	68.71	n/a	21-Dec	1.20	3.0
AO,	12/23	MANNING & NAPIER (MANNMJ4048)	034	V	B	40	68.71	n/a	21-Dec	1.20	3.0
AO,CXL	12/23	MANNING & NAPIER (MANNMJ4041)	034	V	B	40	68.71	n/a	21-Dec	1.20	3.0
AO,	12/23	MANNING & NAPIER (MANNMJ4041)	034	V	B	40	68.71	n/a	21-Dec	1.20	3.0
AO,CXL	12/23	MANNING & NAPIER (MANNMJ4040)	034	V	B	30	68.71	n/a	21-Dec	0.90	3.0
AO,	12/23	MANNING & NAPIER (MANNMJ4040)	034	V	B	30	68.71	n/a	21-Dec	0.90	3.0
AO,CXL	12/23	MANNING & NAPIER (MANNMJ1203)	034	V	B	20	68.71	n/a	21-Dec	0.60	3.0
AO,	12/23	MANNING & NAPIER (MANNMJ1203)	034	V	B	20	68.71	n/a	21-Dec	0.60	3.0
AO,CXL	12/23	MANNING & NAPIER (MANNCD1358)	034	V	B	20	68.71	n/a	21-Dec	0.60	3.0
AO,	12/23	MANNING & NAPIER (MANNCD1358)	034	V	B	20	68.71	n/a	21-Dec	0.60	3.0
AO,CXL	12/23	MANNING & NAPIER (MANNMJ4044)	034	V	B	30	68.71	n/a	21-Dec	0.90	3.0
TOTAL (AO, CXL, CRT) :										200.00	

TOTAL (Trade Date) :

46,674.81

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200.00

TOTAL (RUN DATE) / NFS:

46,874.81

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