



## Daily Compliance Activity Report

Trade Date: 01/04/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	AAP	B	10,000	63.16	n/a	n/a	400.00	4.0
BALLAST CAP	040	ABB	B	1,500	22.44	n/a	n/a	75.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>SS</b>	<b>20,000</b>	<b>14.48</b>	<b>n/a</b>	<b>4-Jan</b>	<b>600.00</b>	<b>3.0</b>
CATAPULT	040	AMTD	SS	5,000	18.60	n/a	n/a	200.00	4.0
IMPALA ASSET MMT	012	APA	S	25,000	120.01	n/a	3-Jan	1,250.00	5.0
LANE GATE PARTNERS LLC	012	APC	B	1,000	75.14	n/a	14-Dec	30.00	3.0
FIRST NY SEC/CHRIS	041	ASNA	B	5,230	26.31	n/a	n/a	261.50	5.0
KADE CAPITAL LLC	028	AXL	SS	17,500	13.42	n/a	3-Jan	700.00	4.0
MILLENIUM PARTNERS	028	AXL	SS	20,000	13.43	n/a	3-Jan	800.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	50,000	14.05	n/a	3-Jan	1,700.00	4.0
BALLAST CAP	040	BJRI	SS	1,100	33.61	n/a	n/a	55.00	5.0
ROSEDALE CAPITAL	046	BP	S	20,000	46.25	n/a	n/a	1,000.00	5.0
COOPER CREEK PART	028	BZ	S	50,000	8.06	n/a	n/a	1,500.00	3.0
BALLAST CAP	040	CAG	SS	3,600	22.64	n/a	n/a	180.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>S</b>	<b>40,000</b>	<b>11.99</b>	<b>n/a</b>	<b>5-Feb</b>	<b>1,200.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	CLD	B	260	22.92	n/a	n/a	10.40	4.0
ADAGE CAPITAL MGMT	030	COH	S	193,227	52.96	n/a	27-Oct	5,796.81	3.0
KLEINHEINZ CAP PART	031	COLM	SS	6,500	60.02	n/a	n/a	325.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,500	103.08	n/a	14-Dec	60.00	4.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	50,000	16.84	n/a	n/a	1,500.00	3.0
BASIX	033	CVH	B	39,000	27.62	n/a	n/a	1,170.00	3.0
RBC CAPITAL MARKETS	040	CX	SS	75,000	10.80	n/a	n/a	3,000.00	4.0
FIRST NY SEC/CHRIS	041	DG	SS	10,000	30.42	n/a	16-Dec	500.00	5.0
AVESTA CAP	229	DIS	B	50,000	38.79	n/a	n/a	1,500.00	3.0
SAC CRIB	044	DOW	B	25,000	34.77	n/a	22-Dec	875.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>SS</b>	<b>20,000</b>	<b>80.65</b>	<b>n/a</b>	<b>7-Dec</b>	<b>600.00</b>	<b>3.0</b>
SAC CHICAGO ANDREW	031	FL	B	71,849	19.43	n/a	22-Dec	2,514.72	3.5
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	SS	20,000	17.30		n/a 3-Jan	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>10,000</b>	<b>36.53</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
WAGONHOUND/NIC	289	GES	S	3,801	45.35	n/a	24-Nov	152.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	GM	S	20,000	37.39	n/a	3-Jan	1,000.00	5.0
IRIDIAN ASSET MGMT.	036	GM	B	52,060	37.65	n/a	3-Jan	1,561.80	3.0
DELTEC ASSET MGMT.	040	HAL	B	10,000	39.56	n/a	n/a	500.00	5.0
NICOLAS APPELGATE	084	IBM	B	31,200	147.48	n/a	n/a	624.00	2.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	1,600	63.07	n/a	n/a	64.00	4.0
JMP ASSET MGMT	210	IPSU	B	5,446	13.03	n/a	n/a	272.30	5.0
BALLAST CAP	040	JNY	B	8,100	15.58	n/a	28-Oct	405.00	5.0
DELTEC ASSET MGMT.	040	JPM	B	5,500	43.65	n/a	17-Dec	275.00	5.0
RBC CAPITAL MARKETS	040	JRCC	S	10,000	25.18	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	KMB	S	48,356	62.68	n/a	27-Oct	1,934.24	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KR</b>	<b>SS</b>	<b>20,000</b>	<b>21.65</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>10,000</b>	<b>54.27</b>	<b>n/a</b>	<b>4-Jan</b>	<b>300.00</b>	<b>3.0</b>
SAGE ASSET MGMT	012	KS	B	15,000	15.33	n/a	n/a	750.00	5.0
OSKIE CAPITAL MGMT	224	LEA	B	5,000	100.21	n/a	3-Jan	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>10,000</b>	<b>29.94</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
DISIPLINED GROWTH INV.	030	LTD	B	8,300	30.08	n/a	n/a	415.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTM	SS	30,000	41.03	n/a	n/a	900.00	3.0
TROUBH PART	070	LVS	B	25,000	46.40	n/a	9-Dec	1,250.00	5.0
SIGMA CAP BOBBY	044	MAR	B	25,000	41.07	n/a	7-Dec	0.00	0.0
BALLAST CAP	040	MON	B	2,700	68.71	n/a	17-Dec	135.00	5.0
BMO NESBITT BURNS	041	MYL	B	8,000	21.65	n/a	3-Jan	400.00	5.0
BUCK CAPITAL MGMT	001	M	S	10,000	25.02	n/a	4-Jan	300.00	3.0
GRANITE CAPITAL	028	PAG	S	10,000	16.76	n/a	3-Jan	500.00	5.0
BALLAST CAP	040	PAYX	B	3,200	30.92	n/a	n/a	160.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	S	20,000	26.25	n/a	15-Dec	1,000.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	PKG	S	76,803	26.17	n/a	15-Dec	3,010.95	4.0
MERRILL ASSET/BLACKROCK	266	RE	S	5,600	85.08	n/a	n/a	224.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	111.44	n/a	11-Nov	600.00	3.0
JET CAPITAL/CHRIS	041	RMBS	S	25,000	20.37	n/a	n/a	750.00	3.0
MANNING & NAPIER	034	SHW	S	135,400	83.60	n/a	30-Nov	4,062.00	3.0
BALLAST CAP	040	SVU	B	7,800	8.91	n/a	n/a	390.00	5.0
1798 CAP/LOMBARD ASSET	040	SWC	S	10,000	20.49	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	TCK	S	15,000	62.82	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	TEX	S	10,000	30.17	n/a	22-Oct	400.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	250,000	59.95	n/a	4-Jan	7,500.00	3.0
MERRILL ASSET/BLACKROCK	266	THG	S	10,765	46.67	n/a	n/a	430.60	4.0
ELM RIDGE ADVISORS	044	TIN	S	300	22.75	n/a	15-Dec	12.00	4.0
SACC-SCHWARTZ	044	TIN	B	50,000	22.11	n/a	15-Dec	1,750.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>30,000</b>	<b>8.39</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>2.0</b>
MERRILL ASSET/BLACKROCK	266	TTI	B	55,900	11.77	n/a	n/a	2,236.00	4.0
RBC CAPITAL MARKETS	040	VALE	B	100,000	35.49	n/a	n/a	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>SS</b>	<b>20,000</b>	<b>85.05</b>	<b>n/a</b>	<b>22-Oct</b>	<b>600.00</b>	<b>3.0</b>
DELTEC ASSET MGMT.	040	WFC	B	7,600	31.80	n/a	16-Dec	380.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WMT</b>	<b>SS</b>	<b>30,000</b>	<b>54.69</b>	<b>n/a</b>	<b>17-Nov</b>	<b>900.00</b>	<b>3.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>53.41</b>	<b>n/a</b>	<b>9-Nov</b>	<b>600.00</b>	<b>3.0</b>
BALLAST CAP	040	WSO	SS	600	62.42	n/a	n/a	30.00	5.0
THE JAY GOLDMAN	028	WYNN	S	7,500	111.27	n/a	9-Dec	300.00	4.0
WEINTRAUB CAPITAL MGT.	040	WY	S	20,000	19.73	n/a	29-Oct	800.00	4.0

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**TOTAL (Trade Date):**

**74,227.36**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/04	ROSEDALE CAPITAL (ROSEGS)	046	BP	S	20,000	46.25	n/a	n/a	1000.00 5.0
AO,	12/31	LISTED ERR (LISTED ERR)	099	CTXS	B	20,300	68.18	n/a	n/a	0.00 0.0
AO,CRT	12/31	LISTED ERR (LISTED ERR)	097	CTXS	S	20,300	68.18	n/a	n/a	0.00 0.0
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,	01/03	LANE GATE PARTNERS LLC (LANEJEFF)	012	FOR	B	3,700	19.34	n/a	3-Nov	111.00 3.0
AO,	01/03	LANE GATE PARTNERS LLC (LANEJEFF)	012	JCI	B	500	39.10	n/a	3-Jan	15.00 3.0
AO,CXL	01/03	SCOPUS FUND (SCOPGS)	041	M	B	15,000	25.58	n/a	4-Jan	600.00 4.0
AO,CRT	01/03	SCOPUS FUND (SCOPGS)	041	M	B	22,500	25.58	n/a	4-Jan	900.00 4.0
AO,CXL	01/03	SCOPUS FUND (SCOPUBS)	041	M	B	85,000	25.58	n/a	4-Jan	3400.00 4.0
AO,CRT	01/03	SCOPUS FUND (SCOPUBS)	041	M	B	77,500	25.58	n/a	4-Jan	3100.00 4.0
AO,CXL	01/03	SHEFFIELD ASSET MGMT (SHEFMS)	031	PKG	S	50,000	26.50	n/a	15-Dec	1500.00 3.0
AO,CRT	01/03	SHEFFIELD ASSET MGMT (SHEFMS)	031	PKG	S	50,000	26.50	n/a	15-Dec	2500.00 5.0
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
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,126.00</b>

TOTAL (Trade Date):	74,227.36
TOTAL (AO, CXL, CRT):	2,126.00

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TOTAL (RUN DATE) / NFS:

76,353.36

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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