



Daily Compliance Activity Report

Trade Date: 02/17/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	ABT	B	30,000	46.16	n/a	n/a	1,500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AEO	S	52,300	16.04	n/a	4-Feb	1,569.00	3.0
PATTEN & PATTEN	025	AML	B	2,500	16.35	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	30,000	58.78	n/a	17-Feb	900.00	3.0
LEVIN CAPITAL STRATEGIES	012	AN	B	10,000	34.44	n/a	9-Feb	300.00	3.0
BALYASNY ASSET MGMT	044	ASNA	SS	25,000	30.94	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	AXL	B	25,000	14.62	n/a	9-Feb	1,000.00	4.0
WALL STREET CAPITAL	084	CLF	B	25,700	100.38	n/a	n/a	1,156.50	4.5
WALL STREET CAPITAL	084	CMI	S	23,500	111.73	n/a	2-Feb	1,057.50	4.5
FIRST NY SEC/CHRIS	041	CSCO	B	25,000	18.71	n/a	n/a	1,250.00	5.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	21,200	16.62	n/a	n/a	1,060.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	C	B	295,600	4.90	n/a	16-Feb	11,824.00	4.0
MILLENIUM PARTNERS	028	DAN	S	130,000	18.74	n/a	31-Jan	5,200.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	30.38	n/a	9-Feb	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARRIER HAWK MGMT	028	GM	S	29,000	36.42	n/a	2-Feb	1,160.00	4.0
PHILADELPHIA FINANCIAL	033	GM	SS	38,755	36.42	n/a	2-Feb	1,550.20	4.0
MADISON ST PARTNERS LLC	046	GT	S	159,700	14.85	n/a	n/a	7,985.00	5.0
SAXON WOODS ADVISORS	048	HAS	B	179,959	45.55	n/a	n/a	5,398.77	3.0
PAULSON & CO INC	041	HCP	S	100,000	37.20	n/a	n/a	3,000.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	S	76,455	30.04	n/a	3-Feb	3,822.75	5.0
NEWLAND CAPITAL MGT	025	IR	B	50,000	46.83	n/a	10-Feb	2,000.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	IR	B	98,600	46.79	n/a	10-Feb	3,944.00	4.0
JET CAPITAL/CHRIS	041	JCG	S	100,000	43.60	n/a	n/a	3,000.00	3.0
DENVER INST. ADV	046	JOSB	S	100,000	46.53	n/a	n/a	4,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	KR	S	596,000	23.01	n/a	n/a	23,840.00	4.0
CASTLE ARK	031	KSS	B	137,225	53.46	n/a	7-Feb	6,861.25	5.0
SYSTEMATIC FINANCIAL MGT	035	LEA	S	112,550	112.03	n/a	2-Feb	3,376.50	3.0
M&I FUNDS	047	MA	S	10,000	251.22	n/a	17-Feb	400.00	4.0
RBC CAPITAL MARKETS	040	MGM	S	50,000	14.91	n/a	14-Feb	2,000.00	4.0
BASIX	033	MTW	S	33,000	20.85	n/a	2-Feb	990.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	MWV	B	10,000	30.81	n/a	26-Jan	500.00	5.0
EPOCH INV MGMT	030	NST	S	1,000	44.45	n/a	n/a	30.00	3.0
EPOCH INV MGMT	030	OXY	S	750	105.52	n/a	n/a	22.50	3.0
COOPER CREEK PART	028	PAG	SS	25,000	20.96	n/a	17-Feb	1,000.00	4.0
PNC CAPITAL ADV	028	PFE	B	7,985	19.35	n/a	n/a	319.40	4.0
PATTEN & PATTEN	025	PFM	S	4,000	14.60	n/a	n/a	200.00	5.0
PNC CAPITAL ADV	028	PG	B	2,100	64.00	n/a	28-Jan	84.00	4.0
HUNTER GLOBAL INVESTOR	028	PH	SS	13,569	91.19	n/a	21-Jan	678.45	5.0
BMO NESBITT BURNS	041	PKG	S	8,000	30.29	n/a	17-Feb	640.00	8.0
COUGAR TRADING	044	PKG	B	10,000	30.43	n/a	17-Feb	500.00	5.0
COUGAR TRADING	044	PKG	SS	10,000	30.10	n/a	17-Feb	500.00	5.0
LATEFF MGMT	035	PKG	S	4,000	30.40	n/a	17-Feb	440.00	11.0
SCHOTTENFELD ASSOC	041	PKG	B	1,915	30.10	n/a	17-Feb	57.45	3.0
EPOCH INV MGMT	030	PNC	S	550	64.18	n/a	n/a	16.50	3.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	59.52	n/a	1-Feb	600.00	3.0
EPOCH INV MGMT	030	PX	S	950	97.13	n/a	26-Jan	28.50	3.0
EPOCH INV MGMT	030	Q	S	5,450	6.97	n/a	n/a	163.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	RE	S	600	88.53	n/a	n/a	18.00	3.0
FIRST NEW YORK LEDDY	035	S	B	40,000	4.46	n/a	n/a	1,600.00	4.0
FIRST NEW YORK NICK	029	S	B	20,000	4.43	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	266	THFF	S	255	32.03	n/a	n/a	10.20	4.0
EPOCH INV MGMT	030	TJX	S	1,450	49.41	n/a	7-Feb	43.50	3.0
EPOCH INV MGMT	030	TMO	S	1,500	56.75	n/a	n/a	45.00	3.0
EPOCH INV MGMT	030	TXN	S	2,400	36.17	n/a	n/a	72.00	3.0
PNC CAPITAL ADV	028	T	B	3,792	28.51	n/a	n/a	151.68	4.0
BNP PARIBAS SEC	040	VFC	SS	10,000	87.32	n/a	20-Jan	500.00	5.0
PNC CAPITAL ADV	028	VZ	B	3,100	36.40	n/a	n/a	124.00	4.0
PNC CAPITAL ADV	028	WFC	B	4,359	32.96	n/a	14-Feb	174.36	4.0
PATTEN & PATTEN	025	WPS	S	1,000	34.79	n/a	n/a	50.00	5.0
TOTAL (Trade Date) :								111,389.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	02/16	SCOPUS FUND (SCOPGS)	041	DAN	S	3,900	18.49	n/a 31-Jan	156.00 4.0
AO,CRT	02/16	SCOPUS FUND (SCOPGS)	041	DAN	S	5,850	18.49	n/a 31-Jan	234.00 4.0
AO,CXL	02/16	SCOPUS FUND (SCOPUBS)	041	DAN	S	26,100	18.49	n/a 31-Jan	1044.00 4.0
AO,CRT	02/16	SCOPUS FUND (SCOPUBS)	041	DAN	S	24,150	18.49	n/a 31-Jan	966.00 4.0
AO,CRT	02/16	BUCK CAPITAL MGMT (BUCKJPMBS)	001	WRC	S	23,200	53.97	n/a 20-Jan	696.00 3.0
AO,CXL	02/16	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WRC	S	23,200	53.97	n/a 20-Jan	696.00 3.0
TOTAL (AO, CXL, CRT) :									0.00

TOTAL (Trade Date) :	111,389.51
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TOTAL (RUN DATE) / NFS:	111,389.51
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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