



## Daily Compliance Activity Report

Trade Date: 02/08/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	ACN	S	21,315	52.67	n/a	n/a	852.60	4.0
EPOCH INV MGMT	030	ALR	B	150	39.60	n/a	n/a	4.50	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>100,000</b>	<b>25.24</b>	<b>n/a</b>	<b>4-Feb</b>	<b>3,000.00</b>	<b>3.0</b>
PLATTE RIVER CAPITAL	240	AVP	S	33,450	28.10	n/a	8-Feb	1,338.00	4.0
CATAPULT CAP/DEFRANCO	040	AXL	SS	103,000	13.97	n/a	31-Jan	4,120.00	4.0
RIDGECREST INV MGMT LLC	028	AXL	S	15,000	14.30	n/a	31-Jan	750.00	5.0
SCHOTTENFELD ASSOC	041	AXL	B	15,000	14.15	n/a	31-Jan	450.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>AXL</b>	<b>B</b>	<b>68,453</b>	<b>13.91</b>	<b>n/a</b>	<b>31-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AXL</b>	<b>S</b>	<b>68,453</b>	<b>13.91</b>	<b>n/a</b>	<b>31-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>S</b>	<b>135,300</b>	<b>39.06</b>	<b>n/a</b>	<b>8-Feb</b>	<b>4,059.00</b>	<b>3.0</b>
GREEN ARROW DOUG	040	BIG	S	90,760	38.51	n/a	8-Feb	3,630.40	4.0
WADDELL AND REED	047	CAT	B	276,110	100.28	n/a	28-Jan	11,044.40	4.0
SAC TRADING TOM LEDDY	035	COST	SS	28,551	74.80	n/a	n/a	999.29	3.5
MERRILL ASSET/BLACKROCK	266	CRR	S	1,100	117.50	n/a	11-Jan	44.00	4.0
JENNISON	070	CSCO	S	650,000	21.94	n/a	n/a	24,050.06	3.7
MELLON/BANK OF NEW YORK	046	CSCO	S	90,336	21.96	n/a	n/a	3,613.44	4.0
EPOCH INV MGMT	030	CTBI	B	150	29.14	n/a	n/a	4.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NCM CAPITAL MGMT	035	CY	S	34,350	22.84	n/a	n/a	1,374.00	4.0
KENNEDY CAPITAL	046	DPZ	S	65,300	16.51	n/a	7-Jan	2,612.00	4.0
COBALT	041	DVN	S	90,000	86.68	n/a	11-Jan	4,500.00	5.0
NCM CAPITAL MGMT	035	EQIX	S	12,000	90.15	n/a	n/a	480.00	4.0
NEUBERGER BERMAN	036	FCEA	S	18,167	17.72	n/a	n/a	726.68	4.0
EPOCH INV MGMT	030	FORR	B	50	36.31	n/a	n/a	1.50	3.0
CAVU CAP ADV	028	GES	S	10,000	46.12	n/a	20-Jan	500.00	5.0
MILLENIUM PARTNERS	028	GE	SS	60,000	21.23	n/a	n/a	2,400.00	4.0
EPOCH INV MGMT	030	GIII	B	150	37.22	n/a	n/a	4.50	3.0
TALKOT CAPITAL LLC	084	GIL	B	5,000	31.75	n/a	20-Jan	150.00	3.0
ADALY INV MGMT	031	GLD	S	22,200	132.91	n/a	n/a	1,554.00	7.0
ARMATURE CAPITAL	041	GR	SS	9,600	93.28	n/a	4-Feb	384.00	4.0
EPOCH INV MGMT	030	GWR	B	50	53.26	n/a	n/a	1.50	3.0
EPOCH INV MGMT	030	HAYN	B	150	52.23	n/a	n/a	4.50	3.0
PATTEN & PATTEN	025	HCF	B	4,060	7.56	n/a	n/a	203.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	HL	S	100,000	9.79	n/a	n/a	4,000.00	4.0
EPOCH INV MGMT	030	HSC	B	200	34.70	n/a	5-Jan	6.00	3.0
CASTLE ARK	031	ICE	S	51,160	118.14	n/a	n/a	2,558.00	5.0
ISLE RIDGE PARTNERS	041	IGT	B	35,000	17.73	n/a	27-Jan	1,400.00	4.0
MELLON/BANK OF NEW YORK	046	INTC	S	125,933	21.54	n/a	n/a	5,037.32	4.0
EPOCH INV MGMT	030	IRIS	B	250	10.40	n/a	n/a	7.50	3.0
<b>Õ May Tang</b>		<b>IRM</b>	<b>S</b>	<b>600</b>	<b>26.2400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	IWB	B	150	73.53	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	IWV	B	200	78.78	n/a	n/a	6.00	3.0
ADAGE CAPITAL MGMT	030	JCP	B	303,940	34.76	n/a	7-Feb	9,118.20	3.0
PLATTE RIVER CAPITAL	240	JEC	B	5,000	52.59	n/a	n/a	200.00	4.0
MELLON/BANK OF NEW YORK	046	JNPR	S	21,360	40.61	n/a	n/a	854.40	4.0
SURSUM CAPITAL	215	JWN	B	10,000	44.71	n/a	7-Feb	300.00	3.0
EPOCH INV MGMT	030	KMT	B	200	40.92	n/a	28-Jan	6.00	3.0
SONTERRA CAP	041	LCC	S	150,000	9.99	n/a	n/a	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	LDR	B	50	58.48	n/a	n/a	1.50	3.0
T. ROWE PRICE	033	LPX	S	360,700	11.02	n/a	8-Nov	10,821.00	3.0
SENATOR INVESTMENT GROUP	036	LTD	S	80,000	31.95	n/a	n/a	2,400.00	3.0
EPOCH INV MGMT	030	MEOH	B	250	28.52	n/a	n/a	7.50	3.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	B	1,000	29.09	n/a	26-Jan	50.00	5.0
CAVU CAP ADV	028	M	B	35,000	24.03	n/a	7-Feb	1,750.00	5.0
THE JAY GOLDMAN	028	M	SS	50,000	24.04	n/a	7-Feb	2,000.00	4.0
BNP PARIBAS SEC	040	NDN	B	25,000	16.00	n/a	3-Feb	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	1,300	15.94	n/a	3-Feb	52.00	4.0
NEW JERSEY DIV OF INV.	030	NWL	S	100,000	19.67	n/a	n/a	4,000.00	4.0
GREEN ARROW DOUG	040	PAG	SS	20,000	19.00	n/a	31-Jan	800.00	4.0
BALLAST CAP	040	PBI	B	5,100	25.28	n/a	n/a	255.00	5.0
LEVIN CAPITAL STRATEGIES	012	PCG	C	10,000	46.65	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	PLOW	B	350	15.86	n/a	n/a	10.50	3.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	62.06	n/a	1-Feb	750.00	3.0
SURSUM CAPITAL	215	PVH	B	10,000	62.89	n/a	1-Feb	300.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	41,000	63.23	n/a	1-Feb	1,230.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	RVBD	B	154,161	38.69	n/a	n/a	6,166.44	4.0
COHE & STEERS	041	RYN	S	55,637	61.02	n/a	26-Jan	2,225.48	4.0
GREEN ARROW DOUG	040	SBUX	SS	35,000	33.12	n/a	27-Jan	1,400.00	4.0
EPOCH INV MGMT	030	SFNC	B	100	28.35	n/a	n/a	3.00	3.0
GREEN ARROW DOUG	040	SPLS	B	60,000	22.26	n/a	n/a	2,400.00	4.0
LEVIN CAPITAL STRATEGIES	012	SQM	B	10,000	54.98	n/a	n/a	300.00	3.0
LONG OAR GLOBAL INV	040	SSCC	B	19,350	39.00	n/a	7-Jan	774.00	4.0
SHEFFIELD ASSET MGMT	031	SSCC	B	14,000	38.73	n/a	7-Jan	700.00	5.0
EPOCH INV MGMT	030	SSI	B	450	16.89	n/a	n/a	13.50	3.0
EPOCH INV MGMT	030	SUPX	B	200	22.90	n/a	n/a	6.00	3.0
ROSEDALE CAPITAL	046	SWN	B	20,000	38.63	n/a	11-Jan	1,000.00	5.0
FIRST NEW YORK LEDDY	035	S	S	30,000	4.32	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	TCBI	B	350	25.48	n/a	n/a	10.50	3.0
TRELLUS PARTNERS LP	028	TEN	SS	15,000	41.55	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	B	8,809	15.75	n/a	n/a	352.36	4.0
CAMBIAR CAP	046	TEVA	B	172,395	51.61	n/a	8-Feb	6,895.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	THFF	S	10,473	31.01	n/a	n/a	418.92	4.0
TRELLUS PARTNERS LP	028	TIN	C	10,000	24.20	n/a	8-Feb	300.00	3.0
DSM CAPITAL PARTNERS	085	TROW	B	20,000	67.21	n/a	n/a	1,000.00	5.0
CATAPULT	040	TXT	B	10,000	27.91	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	UIS	S	24,301	39.01	n/a	n/a	972.04	4.0
SURSUM CAPITAL	215	URBN	B	10,000	36.96	n/a	n/a	300.00	3.0
BASIX	033	URI	S	31,000	30.77	n/a	n/a	930.00	3.0
SURSUM CAPITAL	215	VFC	B	15,000	87.05	n/a	20-Jan	450.00	3.0
EPOCH INV MGMT	030	VPFG	B	400	12.96	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	VR	B	150	31.00	n/a	n/a	4.50	3.0
GREEN ARROW DOUG	040	WAG	B	32,000	42.76	n/a	n/a	1,280.00	4.0
MERRILL ASSET/BLACKROCK	266	WLL	S	8,700	124.63	n/a	n/a	348.00	4.0
GALT INVESTMENT	041	WRC	S	30,000	56.04	n/a	20-Jan	1,500.00	5.0
PLATTE RIVER CAPITAL	240	WY	S	56,300	23.89	n/a	4-Feb	2,252.00	4.0

---

**TOTAL (Trade Date):**

**162,695.83**

---

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/07	NEUBERGER BERMAN (NBER551860)	036	FCEA	S	900	17.56	n/a	n/a	36.00 4.0
AO,	02/07	NEUBERGER BERMAN (NBER9W55)	036	FCEA	S	22,020	17.56	n/a	n/a	880.80 4.0
AO,	02/07	NEUBERGER BERMAN (NBER551885)	036	FCEA	S	6,800	17.56	n/a	n/a	272.00 4.0
CRT	02/08	ROSEDALE CAPITAL (ROSEGS)	046	SWN	B	20,000	38.63	n/a	11-Jan	1000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,188.80</b>

TOTAL (Trade Date) :	162,695.83
TOTAL (AO, CXL, CRT) :	2,188.80

<b>TOTAL (RUN DATE) / NFS :</b>	<b>164,884.63</b>
---------------------------------	-------------------



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