

Daily Compliance Activity Report Trade Date: 01/24/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
DAVIDSON KEMPNER ADVISOR	040	ACI	С	50,000	32.54	n/a	n/a	2,500.00	5.0
OSKIE CAPITAL MGMT	224	AGO	В	10,000	15.88	n/a	n/a	500.00	5.0
IMPALA ASSET MMT	012	ALK	В	1,000	59.88	n/a	n/a	50.00	5.0
HUNTER GLOBAL INVESTOR	028	AMT	S	39,800	50.88	n/a	n/a	1,990.00	5.0
DAVIDSON KEMPNER ADVISOR	040	ANR	SS	29,000	55.43	n/a	n/a	1,450.00	5.0
SURSUM CAPITAL	215	ARO	В	5,000	25.19	n/a	7-Jan	150.00	3.0
ISLE RIDGE PARTNERS	041	AXL	SS	24,400	14.89	n/a	7-Jan	976.00	4.0
CAXTON PART	040	AXP	В	50,000	45.79	n/a	18-Jan	1,750.00	3.5
ST OF MICHIAN	047	BAX	S	200,000	49.76	n/a	n/a	6,000.00	3.0
HUNTER GLOBAL INVESTOR	028	CCI	S	47,200	42.38	n/a	n/a	2,360.00	5.0
IMPALA ASSET MMT	012	CENX	S	125,945	14.58	n/a	n/a	3,778.35	3.0
OSKIE CAPITAL MGMT	224	CLF	S	9,000	82.22	n/a	n/a	450.00	5.0
PROSPECTOR PARTNERS LLC	036	CMCSK	S	10,000	22.14	n/a	n/a	400.00	4.0
SENATOR INVESTMENT GROUP	036	CMI	В	15,000	103.04	n/a	4-Jan	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
RBC CAPITAL MARKETS	040	СОН	В	17,000	53.54	n/a	20-Jan	680.00	4.0
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	14.27	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	CSX	S	5,500	67.68	n/a	n/a	275.00	5.0
NEUBERGER BERMAN	036	DDR	В	16,800	13.67	n/a	n/a	672.00	4.0
BUCK CAPITAL MGMT	001	DDS	s	30,000	40.68	n/a	n/a	900.00	3.0
NEUBERGER BERMAN	036	EXPO	В	3,000	36.25	n/a	n/a	120.00	4.0
BASIX	033	FDO	SS	12,000	43.46	n/a	21-Jan	360.00	3.0
SURSUM CAPITAL	215	GPS	S	35,000	20.09	n/a	n/a	1,050.00	3.0
COOKBIELER	028	HBI	В	77,800	24.22	n/a	20-Jan	3,112.00	4.0
NEUBERGER BERMAN	036	HIBB	В	9,800	33.53	n/a	n/a	392.00	4.0
NEUBERGER BERMAN	036	HST	В	12,600	18.14	n/a	20-Jan	504.00	4.0
SURSUM CAPITAL	215	HWD	В	10,000	10.97	n/a	n/a	300.00	3.0
IMPALA ASSET MMT	012	INT	S	11,400	35.71	n/a	n/a	456.00	4.0
ARMATURE CAPITAL	041	IP	В	20,000	28.75	n/a	7-Jan	800.00	4.0
ISLE RIDGE PARTNERS	041	ЈВНТ	S	25,000	41.30	n/a	n/a	1,000.00	4.0
	RBC CAPITAL MARKETS PROSPECTOR PARTNERS LLC IMPALA ASSET MMT NEUBERGER BERMAN BUCK CAPITAL MGMT NEUBERGER BERMAN BASIX SURSUM CAPITAL COOKBIELER NEUBERGER BERMAN NEUBERGER BERMAN SURSUM CAPITAL IMPALA ASSET MMT ARMATURE CAPITAL	RBC CAPITAL MARKETS 040 PROSPECTOR PARTNERS LLC 036 IMPALA ASSET MMT 012 NEUBERGER BERMAN 036 BUCK CAPITAL MGMT 001 NEUBERGER BERMAN 036 BASIX 033 SURSUM CAPITAL 215 COOKBIELER 028 NEUBERGER BERMAN 036 NEUBERGER BERMAN 036 SURSUM CAPITAL 215 IMPALA ASSET MMT 012 ARMATURE CAPITAL 041	RBC CAPITAL MARKETS 040 COH PROSPECTOR PARTNERS LLC 036 CPN IMPALA ASSET MMT 012 CSX NEUBERGER BERMAN 036 DDR BUCK CAPITAL MGMT 001 DDS NEUBERGER BERMAN 036 EXPO BASIX 033 FDO SURSUM CAPITAL 215 GPS COOKBIELER 028 HBI NEUBERGER BERMAN 036 HIBB NEUBERGER BERMAN 036 HIBB SURSUM CAPITAL 215 HWD IMPALA ASSET MMT 012 INT ARMATURE CAPITAL 041 IP	RBC CAPITAL MARKETS PROSPECTOR PARTNERS LLC O36 CPN S IMPALA ASSET MMT O12 CSX S NEUBERGER BERMAN O36 DDR B B BUCK CAPITAL MGMT O01 DDS S NEUBERGER BERMAN O36 EXPO B S SURSUM CAPITAL 215 GPS S COOKBIELER O28 HBI B NEUBERGER BERMAN O36 HIBB B NEUBERGER BERMAN O36 HIBB B SURSUM CAPITAL O36 HIBB B SURSUM CAPITAL O36 HIBB B IMPALA ASSET MMT O12 INT S ARMATURE CAPITAL O41 IP B	RBC CAPITAL MARKETS 040 COH B 17,000 PROSPECTOR PARTNERS LLC 036 CPN S 10,000 IMPALA ASSET MMT 012 CSX S 5,500 NEUBERGER BERMAN 036 DDR B 16,800 BUCK CAPITAL MGMT 001 DDS S 30,000 NEUBERGER BERMAN 036 EXPO B 3,000 BASIX 033 FDO SS 12,000 SURSUM CAPITAL 215 GPS S 35,000 COOKBIELER 028 HBI B 77,800 NEUBERGER BERMAN 036 HIBB B 9,800 NEUBERGER BERMAN 036 HST B 12,600 SURSUM CAPITAL 215 HWD B 10,000 IMPALA ASSET MMT 012 INT S 11,400 ARMATURE CAPITAL 041 IP B 20,000	REC CAPITAL MARKETS 040 COH B 17,000 53.54 PROSPECTOR PARTNERS LLC 036 CPN S 10,000 14.27 IMPALA ASSET MMT 012 CSX S 5,500 67.68 NEUBERGER BERMAN 036 DDR B 16,800 13.67 BUCK CAPITAL MGMT 001 DDS S 30,000 40.68 NEUBERGER BERMAN 036 EXPO B 3,000 36.25 BASIX 033 FDO SS 12,000 43.46 SURSUM CAPITAL 215 GPS S 35,000 20.09 COOKBIELER 028 HBI B 77,800 24.22 NEUBERGER BERMAN 036 HIBB B 9,800 33.53 NEUBERGER BERMAN 036 HST B 12,600 18.14 SURSUM CAPITAL 215 HWD B 10,000 10.97 IMPALA ASSET MMT 012 INT S 11,400 35.71 ARMATURE CAPITAL 041 IP B 20,000 28.75	REC CAPITAL MARKETS 040 COH B 17,000 53.54 n/a PROSPECTOR PARTNERS LLC 036 CPN S 10,000 14.27 n/a IMPALA ASSET MMT 012 CSX S 5,500 67.68 n/a NEUBERGER BERMAN 036 DDR B 16,800 13.67 n/a BUCK CAPITAL MGMT 001 DDS S 30,000 40.68 n/a NEUBERGER BERMAN 036 EXPO B 3,000 40.68 n/a BASIX 033 FDO SS 12,000 43.46 n/a SURSUM CAPITAL 215 GPS S 35,000 20.09 n/a COOKBIELER 028 HBI B 77,800 24.22 n/a NEUBERGER BERMAN 036 HIBB B 9,800 33.53 n/a NEUBERGER BERMAN 036 HST B 12,600 18.14 n/a SURSUM CAPITAL 215 HWD B 10,000 10.97 n/a IMPALA ASSET MMT 012 INT S 11,400 35.71 n/a ARMATURE CAPITAL 041 IP B 20,000 28.75 n/a	REC CAPITAL MARKETS	RBC CAPITAL MARKETS 040 COH B 17,000 53.54

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
ADAGE CAPITAL MGMT	030	JCP	В	132,525	32.03	n/a	7-Jan	3,975.75	3.0	
SCOPUS FUND	041	JNY	S	25 , 800	12.33	n/a	21-Jan	1,032.00	4.0	
SURSUM CAPITAL	215	JNY	В	20,000	12.47	n/a	21-Jan	600.00	3.0	
OSKIE CAPITAL MGMT	224	JPM	В	5,000	45.01	n/a	14-Jan	250.00	5.0	
BUCK CAPITAL MGMT	001	KSS	S	20,000	51.57	n/a	7-Jan	600.00	3.0	
JET CAPITAL/CHRIS	041	LO	S	100,000	73.52	n/a	n/a	3,000.00	3.0	
SCOPUS FUND	041	LPX	S	3,600	9.76	n/a	8-Nov	144.00	4.0	
ROSEDALE CAPITAL	046	LXK	S	10,000	35.98	n/a	n/a	500.00	5.0	
BMO NESBITT BURNS	041	MWV	В	8,000	28.46	n/a	21-Jan	400.00	5.0	
SURSUM CAPITAL	215	М	SS	10,000	23.41	n/a	10-Jan	300.00	3.0	
ISLE RIDGE PARTNERS	041	NSC	В	25,000	64.10	n/a	n/a	1,000.00	4.0	
PROSPECTOR PARTNERS LLC	036	NYT	S	10,000	10.45	n/a	n/a	400.00	4.0	
BUCK CAPITAL MGMT	001	OXM	В	10,000	23.48	n/a	n/a	300.00	3.0	
LATEFF MGMT	035	PKG	S	3,500	28.94	n/a	7-Jan	420.00	12.0	
NEUBERGER BERMAN	036	PLD	В	16,000	14.27	n/a	n/a	640.00	4.0	
CATAPULT CAP/DEFRANCO	040	PNR	В	36,140	36.41	n/a	n/a	1,445.60	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
GLENHILL CAPITAL	036	QCOM	S	42 , 500	51.01	n/a	n/a	2,125.00	5.0
PORTER-ORLIN	044	QQQQ	В	150,000	56.35	n/a	n/a	7,500.00	5.0
PLATTE RIVER CAPITAL	240	RF	S	59,810	7.24	n/a	n/a	2,392.40	4.0
MILLENIUM PARTNERS	028	RKT	В	20,000	59.11	n/a	n/a	800.00	4.0
T. ROWE PRICE	033	RRC	В	77,000	46.60	n/a	11-Jan	3,080.00	4.0
OSKIE CAPITAL MGMT	224	RSH	В	13,500	15.54	n/a	n/a	675.00	5.0
HUNTER GLOBAL INVESTOR	028	SBAC	S	49,600	40.27	n/a	n/a	1,984.00	4.0
NEUBERGER BERMAN	036	SKT	В	4,600	50.15	n/a	n/a	184.00	4.0
HOLLIS CAPITAL	033	SSCC	S	5,000	35.60	n/a	7-Jan	250.00	5.0
MFP INVESTORS	085	SSCC	В	30,000	34.91	n/a	7-Jan	1,500.00	5.0
NOMURA CAPITAL	029	SSCC	S	5,000	35.05	n/a	7-Jan	150.00	3.0
IMPALA ASSET MMT	012	SWFT	S	14,300	13.69	n/a	n/a	429.00	3.0
IMPALA ASSET MMT	012	TEX	S	22,000	31.16	n/a	22-Oct	880.00	4.0
SURSUM CAPITAL	215	TGT	В	10,000	55.76	n/a	7-Jan	300.00	3.0
SURSUM CAPITAL	215	TIF	S	5,000	58.13	n/a	n/a	150.00	3.0
WEDBUSH/PACIFIC GROWTH EQ	QTY LLCO	34 TIN	В	15,	000 23.69		n/a 7-Jar	n 750	.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
DENVER INST. ADV	046	TJX	В	161,122	47.61	n/a	7-Jan	6,444.88	4.0
IMPALA ASSET MMT	012	UAL	В	15,000	24.00	n/a	n/a	600.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	В	50,000	36.15	n/a	n/a	1,500.00	3.0
IMPALA ASSET MMT	012	WAB	SS	19,000	53.32	n/a	n/a	950.00	5.0
TRUSTCO/SUNTRUST	040	WEN	В	45,300	4.79	n/a	7-Jan	1,585.50	3.5
BUCK CAPITAL MGMT	001	WMT	В	100,000	55.66	n/a	17-Nov	3,000.00	3.0
PLATTE RIVER CAPITAL	240	WMT	В	15,000	55.90	n/a	17-Nov	600.00	4.0
RBC CAPITAL MARKETS	040	WMT	SS	15,000	55.73	n/a	17-Nov	600.00	4.0
IMPALA ASSET MMT	012	WYN	S	14,400	28.56	n/a	n/a	576.00	4.0
BMO NESBITT BURNS	041	XLB	SS	7,000	37.97	n/a	n/a	350.00	5.0
ISLE RIDGE PARTNERS	041	XLI	В	40,000	36.09	n/a	n/a	1,600.00	4.0

TOTAL (Trade Date): 89,788.48

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	¢/Shr.
CRT	01/24	ROSEDALE CAPITAL (ROSEGS)	046	LXK	S	10,000	35.98	n/a	n/a	500.00	5.0
AO, CRT	01/21 01/21	SCHOTTENFELD ASSOC (SCHOKOYOTE) SCHOTTENFELD ASSOC (SCHOASSOC)	041 041	UFS UFS	S S	10,000	81.24 81.24	n/a n/a	n/a n/a	300.00	3.0 3.0
TOTAL	(AO, 0	CXL, CRT):							!	500.00	

TOTAL (RUN DATE) / NFS:	90,288.48
TOTAL (AO, CXL, CRT):	500.00
TOTAL (Trade Date):	89,788.48

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