



Daily Compliance Activity Report

Trade Date: 02/01/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	AAN	B	710	19.56	n/a	n/a	7.10	1.0
CAERUS GLOBAL	041	AAPL	B	65	344.13	n/a	n/a	0.65	1.0
CAERUS GLOBAL	041	ANF	B	118	50.55	n/a	28-Jan	1.18	1.0
CAERUS GLOBAL	041	ANN	B	237	22.39	n/a	n/a	2.37	1.0
LANE GATE PARTNERS LLC	012	AXE	B	1,600	66.33	n/a	1-Feb	48.00	3.0
CAERUS GLOBAL	041	BIG	B	237	31.76	n/a	28-Jan	2.37	1.0
GALT INVESTMENT	041	BKE	B	50,000	36.33	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	BWA	SS	2,500	67.83	n/a	31-Jan	125.00	5.0
CAERUS GLOBAL	041	BWLD	SS	266	44.65	n/a	n/a	2.66	1.0
CAERUS GLOBAL	041	BYD	B	1,655	11.10	n/a	n/a	16.55	1.0
CAERUS GLOBAL	041	CAKE	SS	331	29.87	n/a	11-Jan	3.31	1.0
CAERUS GLOBAL	041	CBRL	SS	346	51.14	n/a	n/a	3.46	1.0
CAERUS GLOBAL	041	CBS	B	568	19.94	n/a	n/a	5.68	1.0
CAERUS GLOBAL	041	CCSC	B	620	23.14	n/a	n/a	6.20	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HILLIARD LYONS CAP MGMT	047	CFN	S	2,990	26.38	n/a	n/a	89.70	3.0
CAERUS GLOBAL	041	CHH	SS	479	38.29	n/a	20-Jan	4.79	1.0
CAERUS GLOBAL	041	CLX	SS	156	62.98	n/a	14-Jan	1.56	1.0
CAERUS GLOBAL	041	CL	SS	128	76.90	n/a	14-Jan	1.28	1.0
PECONIC PARTNERS	036	CMI	B	10,000	106.30	n/a	4-Jan	500.00	5.0
SUN AMERICA ASSET MGMT	030	COH	B	7,350	54.17	n/a	26-Jan	294.00	4.0
CAERUS GLOBAL	041	COST	SS	118	71.95	n/a	n/a	1.18	1.0
CAERUS GLOBAL	041	CROX	B	1,089	16.92	n/a	n/a	10.89	1.0
MERRILL ASSET/BLACKROCK	266	CRR	S	4,500	115.63	n/a	11-Jan	180.00	4.0
CAERUS GLOBAL	041	DG	SS	341	28.37	n/a	21-Jan	3.41	1.0
BRASADA	031	DHI	B	2,000	12.56	n/a	n/a	60.00	3.0
CAERUS GLOBAL	041	DIN	SS	379	51.68	n/a	n/a	3.79	1.0
CAERUS GLOBAL	041	DKS	SS	234	36.37	n/a	16-Nov	2.34	1.0
COUGAR TRADING	044	DLTR	SS	5,000	50.51	n/a	21-Jan	250.00	5.0
HILLIARD LYONS CAP MGMT	047	DOV	B	728	65.30	n/a	n/a	21.84	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	DRI	SS	379	47.89	n/a	31-Jan	3.79	1.0
CAERUS GLOBAL	041	EAT	SS	819	23.74	n/a	26-Jan	8.19	1.0
CAERUS GLOBAL	041	EL	SS	51	81.08	n/a	14-Jan	0.51	1.0
BMO NESBITT BURNS	041	ENDP	S	2,000	34.26	n/a	1-Feb	100.00	5.0
NEUBERGER BERMAN	036	EXPO	B	700	37.08	n/a	n/a	28.00	4.0
TRELLUS PARTNERS LP	028	F	SS	120,000	16.09	n/a	31-Jan	6,000.00	5.0
CAERUS GLOBAL	041	GET	B	1,065	34.03	n/a	n/a	10.65	1.0
CAERUS GLOBAL	041	GMCR	B	298	33.90	n/a	n/a	2.98	1.0
CIRCLE T/SES PART	035	GM	SS	10,000	36.42	n/a	31-Jan	400.00	4.0
SOROS	036	GM	S	250,000	36.75	n/a	31-Jan	10,000.00	4.0
CAERUS GLOBAL	041	HAS	B	459	43.81	n/a	n/a	4.59	1.0
CAERUS GLOBAL	041	HGG	SS	822	18.52	n/a	n/a	8.22	1.0
CAERUS GLOBAL	041	HMIN	B	379	34.93	n/a	n/a	3.79	1.0
AVESTA CAP	229	HON	B	50,000	56.83	n/a	28-Jan	1,500.00	3.0
CAERUS GLOBAL	041	HOT	SS	189	60.05	n/a	26-Jan	1.89	1.0
CAERUS GLOBAL	041	HRL	SS	485	49.64	n/a	n/a	4.85	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRASADA	031	HT	B	2,000	6.54	n/a	n/a	60.00	3.0
CAERUS GLOBAL	041	IGT	SS	450	17.43	n/a	27-Jan	4.50	1.0
WEINTRAUB CAPITAL MGT.	040	IP	B	50,000	29.25	n/a	7-Jan	2,000.00	4.0
CAERUS GLOBAL	041	ITB	B	592	13.73	n/a	n/a	5.92	1.0
CAERUS GLOBAL	041	JACK	B	1,278	22.40	n/a	n/a	12.78	1.0
BRASADA	031	JBT	B	1,000	18.32	n/a	n/a	30.00	3.0
HILLIARD LYONS CAP MGMT	047	JCI	B	153	38.58	n/a	20-Jan	4.59	3.0
HILLIARD LYONS CAP MGMT	047	JNJ	S	597	60.51	n/a	n/a	17.91	3.0
SOROS	036	JNJ	SS	50,000	60.04	n/a	n/a	2,000.00	4.0
CAERUS GLOBAL	041	JNY	B	410	12.83	n/a	21-Jan	4.10	1.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	41.05	n/a	28-Jan	600.00	3.0
SURSUM CAPITAL	215	JWN	B	50,000	41.14	n/a	28-Jan	1,500.00	3.0
CAERUS GLOBAL	041	KFT	SS	210	30.54	n/a	n/a	2.10	1.0
CAERUS GLOBAL	041	KR	B	1,420	21.64	n/a	n/a	14.20	1.0
CAERUS GLOBAL	041	KSS	B	638	50.80	n/a	28-Jan	6.38	1.0
LONG OAR GLOBAL INV	040	KS	B	60,700	17.31	n/a	n/a	2,428.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVENUE CAPITAL MGMT	070	LCC	S	400,000	10.00	n/a	n/a	12,000.00	3.0
CATAPULT	040	LEN	B	19,000	20.02	n/a	n/a	760.00	4.0
CAERUS GLOBAL	041	LIZ	B	1,315	5.00	n/a	7-Oct	13.15	1.0
CAERUS GLOBAL	041	LOW	B	10,900	25.04	n/a	13-Dec	409.00	2.5
CATAPULT CAP/DEFRANCO	040	LTD	B	17,300	29.78	n/a	n/a	692.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	750	29.52	n/a	n/a	37.50	5.0
CAERUS GLOBAL	041	LTM	SS	253	40.32	n/a	n/a	2.53	1.0
S.A.C. CAP/ORENSTEIN	044	LUV	S	100,000	11.86	n/a	n/a	3,500.00	3.5
Õ Michael Ehrlich		LVL	T	5000	1.2600	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	LVS	B	163	48.06	n/a	1-Feb	1.63	1.0
CAERUS GLOBAL	041	MCD	SS	317	73.41	n/a	24-Jan	3.17	1.0
HILLIARD LYONS CAP MGMT	047	MCD	S	162	73.49	n/a	24-Jan	4.86	3.0
CAERUS GLOBAL	041	MHGC	B	947	9.50	n/a	n/a	9.47	1.0
MERCHANTS GATE CAP LP	036	MHK	SS	25,000	55.91	n/a	n/a	1,000.00	4.0
HILLIARD LYONS CAP MGMT	047	MRK	S	918	33.76	n/a	n/a	27.54	3.0
HILLIARD LYONS CAP MGMT	047	MSFT	S	1,445	27.89	n/a	n/a	43.35	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUTTE CAPITAL MGMT LLC	084	MTW	B	200	16.15	n/a	1-Nov	10.00	5.0
PILOT ADV	048	M	B	14,000	22.77	n/a	28-Jan	420.00	3.0
CAERUS GLOBAL	041	NDN	B	1,705	14.67	n/a	21-Jan	17.05	1.0
CAERUS GLOBAL	041	NFLX	SS	47	213.51	n/a	n/a	0.47	1.0
CAERUS GLOBAL	041	NKE	SS	237	82.78	n/a	n/a	2.37	1.0
BNP PARIBAS SEC	040	NLC	SS	15,000	31.07	n/a	n/a	750.00	5.0
STANDARD PACIFIC CAPITAL	040	NSC	B	100,000	61.90	n/a	n/a	5,000.00	5.0
CAERUS GLOBAL	041	OEH	B	1,491	12.47	n/a	n/a	14.91	1.0
CAERUS GLOBAL	041	ORLY	SS	132	57.12	n/a	n/a	1.32	1.0
BUCK CAPITAL MGMT	001	OXM	B	19,130	24.85	n/a	n/a	573.90	3.0
GRANITE CAPITAL	028	PAG	S	15,000	17.03	n/a	31-Jan	750.00	5.0
CASTLE ARK	031	PCAR	S	191,320	51.45	n/a	3-Jan	9,566.00	5.0
BMO NESBITT BURNS	041	PCL	B	25,000	40.37	n/a	1-Feb	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PCL	B	35,000	39.97	n/a	1-Feb	1,750.00	5.0
MERCHANTS GATE CAP LP	036	PCL	S	50,000	40.90	n/a	1-Feb	2,000.00	4.0
SCHOTTENFELD ASSOC	041	PCL	B	11,300	39.90	n/a	1-Feb	339.00	3.0
SCOPUS FUND	041	PCL	B	22,800	40.53	n/a	1-Feb	912.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	PENN	B	509	36.40	n/a	n/a	5.09	1.0
CAERUS GLOBAL	041	PETM	SS	448	40.44	n/a	n/a	4.48	1.0
CAERUS GLOBAL	041	PG	SS	204	63.50	n/a	28-Jan	2.04	1.0
SYSTEMATIC FINANCIAL MGT	035	PG	S	197,500	63.28	n/a	28-Jan	5,925.00	3.0
SACC-SCHWARTZ	044	PKG	SS	50,000	28.39	n/a	25-Jan	1,750.00	3.5
BRASADA	031	PMCS	B	9,000	7.88	n/a	n/a	270.00	3.0
HILLIARD LYONS CAP MGMT	047	PM	S	207	57.78	n/a	n/a	6.21	3.0
MERRILL ASSET/BLACKROCK	266	PRA	S	8,500	58.89	n/a	n/a	340.00	4.0
MERRILL ASSET/BLACKROCK	266	PRE	B	7,700	81.76	n/a	n/a	308.00	4.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	15,000	58.85	n/a	1-Feb	450.00	3.0
SUN AMERICA ASSET MGMT	030	PX	B	14,000	94.68	n/a	26-Jan	560.00	4.0
CAERUS GLOBAL	041	RAH	B	329	61.61	n/a	n/a	3.29	1.0
DISIPLINED GROWTH INV.	030	RCL	S	550	45.14	n/a	n/a	27.50	5.0
PATTEN & PATTEN	025	RHHBY	S	2,000	38.91	n/a	n/a	100.00	5.0
BRASADA	031	RHI	B	500	31.53	n/a	n/a	15.00	3.0
ENTRUST CAPITAL	040	RHI	SS	23,400	31.55	n/a	n/a	1,170.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	RKT	B	11,259	67.30	n/a	n/a	450.36	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	106.97	n/a	20-Jan	300.00	3.0
PIONEER PATH	028	RSH	S	50,000	15.19	n/a	n/a	1,500.00	3.0
SOROS	036	RTN	C	25,000	50.44	n/a	31-Jan	1,000.00	4.0
HILLIARD LYONS CAP MGMT	047	SBUX	B	3,911	32.23	n/a	27-Jan	117.33	3.0
CAERUS GLOBAL	041	SFD	B	311	20.49	n/a	n/a	3.11	1.0
CAERUS GLOBAL	041	SGMS	B	1,169	10.60	n/a	n/a	11.69	1.0
CAERUS GLOBAL	041	SHLD	B	154	76.24	n/a	n/a	1.54	1.0
CAERUS GLOBAL	041	SHW	SS	331	84.84	n/a	25-Jan	3.31	1.0
CAERUS GLOBAL	041	SKX	SS	592	21.06	n/a	n/a	5.92	1.0
CAERUS GLOBAL	041	SONC	B	1,373	9.74	n/a	n/a	13.73	1.0
SCOPUS FUND	041	SPLS	S	60,000	22.71	n/a	n/a	2,400.00	4.0
CAERUS GLOBAL	041	SPY	SS	425	130.21	n/a	n/a	4.25	1.0
LONG OAR GLOBAL INV	040	SSCC	B	13,950	37.54	n/a	7-Jan	558.00	4.0
SONTERRA CAP	041	SSCC	B	45,053	37.54	n/a	7-Jan	1,802.12	4.0
SOROS	036	SUN	C	50,000	43.32	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	SWC	B	13,000	22.33	n/a	n/a	650.00	5.0
CAERUS GLOBAL	041	SWY	B	1,184	20.85	n/a	n/a	11.84	1.0
HILLIARD LYONS CAP MGMT	047	SYK	B	86	58.40	n/a	n/a	2.58	3.0
MERRILL ASSET/BLACKROCK	266	TESO	B	4	15.25	n/a	n/a	0.16	4.0
CAERUS GLOBAL	041	TGT	B	426	54.94	n/a	28-Jan	4.26	1.0
MERRILL ASSET/BLACKROCK	266	THFF	S	18,277	31.47	n/a	n/a	731.08	4.0
HILLIARD LYONS CAP MGMT	047	TIF	B	81	59.55	n/a	n/a	2.43	3.0
CAERUS GLOBAL	041	TITN	B	213	25.65	n/a	n/a	2.13	1.0
DISCIPLINED GROWTH INV.	030	TJX	S	900	47.78	n/a	28-Jan	45.00	5.0
CAERUS GLOBAL	041	TXRH	SS	177	16.78	n/a	n/a	1.77	1.0
MTB INV ADV	034	TXRH	S	65,425	16.80	n/a	n/a	3,271.25	5.0
CAERUS GLOBAL	041	UA	SS	191	59.69	n/a	28-Jan	1.91	1.0
CAERUS GLOBAL	041	URI	B	605	26.91	n/a	n/a	6.05	1.0
SENATOR INVESTMENT GROUP	036	VAL	B	16,300	37.56	n/a	n/a	489.00	3.0
CAERUS GLOBAL	041	VFC	SS	279	83.68	n/a	20-Jan	2.79	1.0
CAERUS GLOBAL	041	VRA	SS	151	34.76	n/a	n/a	1.51	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	VRX	B	3,000	39.74	n/a	n/a	150.00	5.0
SANDLER O'NEILL ASSET	031	V	B	10,000	71.30	n/a	27-Jan	500.00	5.0
CAERUS GLOBAL	041	WAG	B	698	41.63	n/a	n/a	6.98	1.0
SAXON WOODS ADVISORS	048	WCC	S	10,000	57.76	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	WDC	B	300,000	34.52	n/a	n/a	15,000.00	5.0
CAPITAL GROWTH MGMT.	241	WHR	S	100,000	85.29	n/a	n/a	5,000.00	5.0
CAERUS GLOBAL	041	WMS	SS	48	42.42	n/a	27-Jan	0.48	1.0
SOROS	036	WMT	SS	100,000	56.46	n/a	27-Jan	4,000.00	4.0
CAERUS GLOBAL	041	WYNN	B	109	117.22	n/a	1-Feb	1.09	1.0
MILLENIUM PARTNERS	028	WY	SS	15,000	23.56	n/a	21-Jan	600.00	4.0
CAERUS GLOBAL	041	YUM	B	25,000	47.38	n/a	31-Jan	1,000.00	4.0
CAERUS GLOBAL	041	YUM	SS	253	47.07	n/a	31-Jan	2.53	1.0
JET CAPITAL/CHRIS	041	ZRAN	B	28,671	9.80	n/a	n/a	860.13	3.0
TOTAL (Trade Date) :								126,631.41	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/31	SEVEN LOCKS CAPITAL (SEVEGSBULK)	025	APA	B	12,800	115.38	n/a	11-Jan	384.00 3.0
AO,CXL	01/31	SEVEN LOCKS CAPITAL (SEVEUBSPB)	025	APA	B	12,800	115.38	n/a	11-Jan	384.00 3.0
CRT	02/01	BNP PARIBAS SEC (BNPPMAIN)	040	NLC	SS	15,000	31.07	n/a	n/a	750.00 5.0

TOTAL (AO, CXL, CRT) :	750.00
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TOTAL (Trade Date) :	126,631.41
TOTAL (AO, CXL, CRT) :	750.00

TOTAL (RUN DATE) / NFS:	127,381.41
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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