



Daily Compliance Activity Report

Trade Date: 04/05/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	ABD	S	25,000	10.13	n/a	n/a	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	ADP	S	1,887	51.82	n/a	n/a	75.48	4.0
BUCK CAPITAL MGMT	001	ANF	B	21,000	63.12	n/a	14-Mar	630.00	3.0
BUCK CAPITAL MGMT	001	ANF	S	80,000	66.12	n/a	14-Mar	2,400.00	3.0
SUN AMERICA ASSET MGMT	030	APD	B	23,410	90.95	n/a	8-Mar	936.40	4.0
STRONG/MARK GRONET	030	ASTI	S	58,665	1.77	n/a	n/a	586.65	1.0
NEWLAND CAPITAL MGT	025	AUY	B	25,000	12.50	n/a	n/a	1,000.00	4.0
COBALT	041	AVY	SS	50,000	42.09	n/a	10-Mar	2,000.00	4.0
MERRILL ASSET/BLACKROCK	266	BACWSA	S	1,493	7.62	n/a	n/a	59.72	4.0
SUN AMERICA ASSET MGMT	030	BAX	S	39,581	54.14	n/a	n/a	1,583.24	4.0
US BANCORP	030	BC	B	16,043	25.62	n/a	n/a	721.94	4.5
CATAPULT	040	CAT	SS	5,000	112.77	n/a	28-Jan	200.00	4.0
CYRUS CAPITAL	025	CBRL	SS	5,481	49.86	n/a	n/a	219.24	4.0
BASSWOOD PARTNERS	267	CCL	B	10,800	38.58	n/a	n/a	432.00	4.0
FARALLON CAP MGMT	040	CEPH	B	40,000	77.48	n/a	4-Apr	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	CLX	S	2,669	69.98	n/a	18-Feb	106.76	4.0
US BANCORP	030	CMS	S	35,350	19.41	n/a	n/a	1,590.75	4.5
BUCK CAPITAL MGMT	001	COH	S	30,000	53.24	n/a	26-Jan	900.00	3.0
CIRCLE T/SES PART	033	CPKI	S	20,000	16.47	n/a	15-Mar	800.00	4.0
SUN AMERICA ASSET MGMT	030	CVX	S	2,197	108.49	n/a	n/a	87.88	4.0
MERRILL ASSET/BLACKROCK	266	CWSB	S	804	0.18	n/a	n/a	8.04	1.0
BUCK CAPITAL MGMT	001	DDS	S	20,000	41.32	n/a	n/a	600.00	3.0
SUN AMERICA ASSET MGMT	030	DD	S	1,842	55.36	n/a	28-Mar	73.68	4.0
WINSLOW CAPITAL	030	EMC	B	103,800	26.05	n/a	n/a	3,114.00	3.0
ROYCE TRADING	012	FINL	B	2,500	19.87	n/a	25-Mar	125.00	5.0
CYRUS CAPITAL	025	F	B	100,000	15.61	n/a	4-Apr	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	GM	C	15,000	32.25	n/a	4-Apr	450.00	3.0
OSKIE CAPITAL MGMT	224	GPS	S	5,000	23.10	n/a	n/a	250.00	5.0
SUN AMERICA ASSET MGMT	030	HD	S	242	37.44	n/a	22-Feb	9.68	4.0
LISTED ERR	099	HII	B	41	40.02	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
US BANCORP	030	IGT	S	11,267	16.41	n/a	21-Mar	507.02	4.5
FARALLON CAP MGMT	040	INTC	SS	150,000	19.65	n/a	n/a	4,500.00	3.0
SUN AMERICA ASSET MGMT	030	JNJ	B	3,342	59.60	n/a	n/a	133.68	4.0
CHART WELL ADV	028	JWN	B	43,275	45.53	n/a	31-Mar	1,731.00	4.0
SUN AMERICA ASSET MGMT	030	KFT	B	3,549	31.40	n/a	n/a	141.96	4.0
BUCK CAPITAL MGMT	001	KSS	S	40,000	54.52	n/a	31-Mar	1,200.00	3.0
SUN AMERICA ASSET MGMT	030	K	S	441	54.19	n/a	n/a	17.64	4.0
CATAPULT	040	LPX	SS	25,000	10.48	n/a	10-Feb	1,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	S	50,000	10.38	n/a	10-Feb	2,500.00	5.0
TRELLUS PARTNERS LP	028	LPX	SS	100,000	10.36	n/a	10-Feb	5,000.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	34.47	n/a	n/a	600.00	3.0
CATAPULT	040	LYB	SS	10,000	40.42	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	MCD	B	1,644	76.21	n/a	8-Mar	65.76	4.0
SUN AMERICA ASSET MGMT	030	MO	S	460	25.95	n/a	n/a	18.40	4.0
SUN AMERICA ASSET MGMT	030	MRK	B	8,677	33.13	n/a	n/a	347.08	4.0
RIDGECREST INV MGMT LLC	028	MWV	B	10,000	31.69	n/a	1-Apr	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	S	30,000	24.32	n/a	31-Mar	900.00	3.0
THE JAY GOLDMAN	028	M	B	50,000	24.29	n/a	31-Mar	2,000.00	4.0
SMITH MGMT LLC	029	NDN	B	25,000	19.73	n/a	31-Mar	1,250.00	5.0
ROTHSCHILD ASSET	040	OXM	S	9,677	35.35	n/a	n/a	387.08	4.0
CAXTON PART	040	OXY	S	12,878	102.30	n/a	n/a	450.76	3.5
SUN AMERICA ASSET MGMT	030	PAYX	B	1,945	31.95	n/a	n/a	77.80	4.0
SUN AMERICA ASSET MGMT	030	PEP	B	1,939	65.27	n/a	n/a	77.56	4.0
SUN AMERICA ASSET MGMT	030	PG	B	2,960	62.21	n/a	21-Mar	118.40	4.0
MILLRACE FUND LP	028	PLCE	B	1,500	51.60	n/a	9-Mar	60.00	4.0
SAC TRADING TOM LEDDY	035	PLCE	B	20,000	51.52	n/a	9-Mar	700.00	3.5
SYSTEMATIC FINANCIAL MGT	035	PVH	S	105,800	66.23	n/a	30-Mar	3,174.00	3.0
BALLAST CAP	040	RGC	B	12,200	14.17	n/a	n/a	0.71	0.0
EPOCH INV MGMT	030	RKT	B	60,000	69.92	n/a	n/a	1,800.00	3.0
CRAMER ROSENTHAL/SCOTT	012	RT	C	44,000	13.47	n/a	n/a	1,760.00	4.0
AVESTA CAP	229	SBUX	B	25,000	36.52	n/a	10-Mar	750.00	3.0
WEISS PECK	040	SCVL	S	13,212	27.69	n/a	n/a	660.60	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
US BANCORP	030	SLM	B	31,777	15.45	n/a	21-Mar	1,429.97	4.5
KACELA CAPITAL	034	SMH	B	89,000	34.52	n/a	n/a	2,670.00	3.0
CATAPULT	040	SOA	SS	10,000	25.92	n/a	n/a	400.00	4.0
CATAPULT	040	SOA	S	15,000	25.81	n/a	n/a	600.00	4.0
SUN AMERICA ASSET MGMT	030	SYI	B	7,253	28.00	n/a	n/a	290.12	4.0
FIRST NEW YORK NICK	029	S	B	30,000	4.55	n/a	n/a	1,500.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	S	5,600	22.03	n/a	n/a	224.00	4.0
PLATTE RIVER CAPITAL	240	TYC	S	7,900	47.26	n/a	5-Apr	316.00	4.0
BASSWOOD PARTNERS	267	VCBI	B	2,600	5.91	n/a	n/a	104.00	4.0
SUN AMERICA ASSET MGMT	030	VFC	S	1,789	98.59	n/a	14-Mar	71.56	4.0
BNP PARIBAS SEC	040	VLCM	SS	20,000	18.51	n/a	n/a	1,000.00	5.0
SUN AMERICA ASSET MGMT	030	VZ	S	337	38.44	n/a	n/a	13.48	4.0
SUN AMERICA ASSET MGMT	030	WMT	B	40,346	52.81	n/a	5-Apr	1,613.84	4.0
SIGMA CAP BOBBY	044	WY	B	70,000	24.69	n/a	4-Feb	2,450.00	3.5
BASIX	033	XLF	SS	66,000	16.48	n/a	n/a	1,980.00	3.0
KLEINHEINZ CAP PART	031	YUM	S	100,000	49.96	n/a	3-Feb	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAP BOBBY	044	YUM	SS	25,000	50.01	n/a	3-Feb	875.00	3.5
TOTAL (Trade Date) :								78,527.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/01	LISTED ERR (LISTED ERR)	099	HII	S	41	41.00	n/a	n/a	0.00 0.0
AO,CXL	04/01	ROTHSCHILD ASSET (ROTH100370)	040	HII	S	292	41.00	n/a	n/a	11.68 4.0
AO,	04/01	ROTHSCHILD ASSET (ROTH100370)	040	HII	S	251	41.00	n/a	n/a	10.04 4.0
AO,CXL	03/23	WAGONHOUND/NIC (WAGONIC)	048	HII	SS	14,776	0.00	n/a	n/a	0.00 0.0
AO,	03/23	WAGONHOUND/NIC (WAGONIC)	048	HII	SS	14,776	37.11	n/a	n/a	591.04 4.0
AO,CXL	04/04	CR INTRINIC INVESTMENT (CRINGSPB)	044	M	B	10,000	24.03	n/a	31-Mar	350.00 3.5
AO,CRT	04/04	SAC COHEN (SACMCSFB)	044	M	B	10,000	24.03	n/a	31-Mar	350.00 3.5
TOTAL (AO, CXL, CRT) :										589.40

TOTAL (Trade Date) :	78,527.88
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TOTAL (RUN DATE) / NFS:	79,117.28
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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