



Daily Compliance Activity Report

Trade Date: 03/08/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALPION LLC	040	AAP	SS	1,000	64.09	n/a	n/a	30.00	3.0
NOMURA CAPITAL	029	ABH	S	2	28.51	n/a	n/a	0.06	3.0
BARROW HANLEY MEWHINNEY	031	AMAT	B	247,300	15.75	n/a	n/a	8,655.50	3.5
NEWLAND CAPITAL MGT	025	AOS	B	9,300	42.60	n/a	7-Feb	372.00	4.0
SEVEN LOCKS CAPITAL	025	AOS	B	1,200	41.83	n/a	7-Feb	36.00	3.0
B BUCK CAPITAL MGMT		ASNA	S	30,000	30.74	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	AVP	B	1,575	27.22	n/a	18-Feb	55.13	3.5
f KAREN F LEDDY	FID	BC	S	800	24.22	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BHP	B	20,000	94.26	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	BWS	B	2,000	14.24	n/a	n/a	200.00	10.0
B BUCK CAPITAL MGMT		BYD	B	100,000	9.86	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		CBK	S	35,600	6.12	n/a	n/a	non-brg	1.0
NEUBERGER BERMAN	098	CLGX	B	98,200	18.13	n/a	n/a	3,928.00	4.0
TALPION LLC	040	CL	SS	500	78.13	n/a	18-Feb	15.00	3.0
RBC CAPITAL MARKETS	040	CMP	B	10,000	88.26	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	CNS	S	4,342	29.27	n/a	n/a	130.26	3.0
HOPLITE MGMT	025	CREE	SS	207,000	49.31	n/a	n/a	10,350.00	5.0
IRIDIAN ASSET MGMT.	036	CSC	S	14,250	47.91	n/a	n/a	712.50	5.0
Õ Alice Longley		CSGKF	S	503	42.26	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	DD	S	60,580	53.45	n/a	8-Mar	2,120.30	3.5
f CHRISTOPHER ROBERT C	FID	DECK	B	50	87.92	n/a	n/a	0.00	0.0
PZENA INV ADV	044	DELL	S	36,925	15.55	n/a	n/a	1,292.39	3.5
RBC CAPITAL MARKETS	040	DOW	B	30,000	38.33	n/a	8-Mar	1,200.00	4.0
SURVEYOR CAPITAL	041	EIG	B	24,510	20.34	n/a	n/a	735.30	3.0
NEWLAND CAPITAL MGT	025	ENTG	S	47,700	8.79	n/a	n/a	1,431.00	3.0
CATAPULT	040	ETN	SS	15,000	53.82	n/a	1-Mar	600.00	4.0
Õ Alice Longley		FCX	S	950	49.83	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FL	S	20,000	19.73	n/a	3-Mar	non-brg	4.0
PZENA INV ADV	044	FRX	S	950	32.09	n/a	7-Mar	33.25	3.5
f ALICE BEEBE LONGLEY	FID	F	S	2000	14.30	n/a	2-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	F	S	500,000	14.50	n/a	2-Mar	15,000.00	3.0
CAVU CAP ADV	028	F	S	25,000	14.46	n/a	2-Mar	1,250.00	5.0
B BUCK CAPITAL MGMT		GES	S	10,000	44.04	n/a	20-Jan	non-brg	4.0
Õ Alice Longley		GE	S	2000	20.73	n/a	n/a	0.00	0.0
TALPION LLC	040	GPS	SS	3,000	21.33	n/a	n/a	90.00	3.0
PARKWEST	084	GSL	B	27,900	6.98	n/a	n/a	837.00	3.0
PZENA INV ADV	044	GS	S	200	159.70	n/a	14-Feb	7.00	3.5
PNC CAPITAL ADV	028	HES	B	63,691	83.27	n/a	n/a	2,547.64	4.0
PZENA INV ADV	044	HIG	S	725	28.01	n/a	n/a	25.38	3.5
HILLTOP PARK ASSOC	086	HON	B	50,000	57.33	n/a	4-Mar	2,500.00	5.0
NEWLAND CAPITAL MGT	025	HON	S	8,749	57.00	n/a	4-Mar	349.96	4.0
PZENA INV ADV	044	HPQ	B	225	42.15	n/a	n/a	7.88	3.5
PZENA INV ADV	044	HPQ	S	1,600	42.00	n/a	n/a	56.00	3.5
CAMBIAR CAP	046	HSP	B	115,770	53.86	n/a	8-Mar	4,630.80	4.0
SENATOR INVESTMENT GROUP	036	HUN	B	65,200	17.35	n/a	n/a	1,956.00	3.0
f FRANCIS MICHAEL MCCA	FID	HWCC	B	500	12.67	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	HZO	B	1180	8.92	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	IRM	B	15,500	26.41	n/a	n/a	775.00	5.0
f CHRISTOPHER ROBERT C	FID	ITW	S	100	55.64	n/a	1-Feb	0.00	0.0
TALPION LLC	040	JAH	SS	1,500	34.28	n/a	n/a	45.00	3.0
UBS OCONNOR	031	JCI	B	75,000	41.07	n/a	20-Jan	2,250.00	3.0
PZENA INV ADV	044	JCP	S	3,675	33.43	n/a	3-Mar	128.63	3.5
BARROW HANLEY MEWHINNEY	031	JNJ	B	53,790	60.57	n/a	n/a	1,882.65	3.5
f CHRISTOPHER ROBERT C	FID	JNY	B	500	12.86	n/a	3-Mar	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	30,000	45.93	n/a	n/a	non-brg	4.0
GRANAHAN INV	048	KEG	B	40,000	15.46	n/a	24-Feb	1,600.00	4.0
TALPION LLC	040	KMB	SS	800	64.64	n/a	18-Feb	24.00	3.0
TALPION LLC	040	KSS	SS	1,200	54.16	n/a	3-Mar	36.00	3.0
f ALEXANDRA ELISE ZOLI	FID	LFUGY	B	1000	6.00	n/a	n/a	0.00	0.0
SONTERRA CAP	041	LOW	B	25,000	26.69	n/a	23-Feb	1,000.00	4.0
f ALEXANDRA ELISE ZOLI	FID	LVMUY	B	200	31.79	n/a	n/a	0.00	0.0
OSS CAPITAL	036	MAT	S	75,000	25.63	n/a	n/a	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	MCD	SS	14,000	75.39	n/a	8-Mar	560.00	4.0
RBC CAPITAL MARKETS	040	MDC	B	10,000	26.00	n/a	n/a	400.00	4.0
TALPION LLC	040	MHK	SS	500	57.38	n/a	n/a	15.00	3.0
CAMBIAR CAP	046	MMI	B	150,000	26.96	n/a	n/a	6,000.00	4.0
RBC CAPITAL MARKETS	040	MON	B	20,000	72.06	n/a	7-Feb	800.00	4.0
SAC TRADING TOM LEDDY	035	MPEL	S	25,000	7.18	n/a	1-Mar	875.00	3.5
IRIDIAN ASSET MGMT.	036	MSFT	S	21,200	25.83	n/a	n/a	1,060.00	5.0
PERRY PARTNERS	085	MWV	S	50,000	28.72	n/a	26-Jan	2,500.00	5.0
RBC CAPITAL MARKETS	040	NAV	B	25,000	61.00	n/a	14-Feb	1,000.00	4.0
f CALEF CAMPBELL DAVIS	FID	NEPT	S	90	2.49	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	NFLX	S	50	196.52	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	PCAR	S	15,000	48.66	n/a	2-Feb	600.00	4.0
TALPION LLC	040	PG	SS	600	62.07	n/a	18-Feb	18.00	3.0
B BUCK CAPITAL MGMT		PLCE	S	30,000	43.63	n/a	7-Mar	non-brg	4.0
CIRCLE T/SES PART	033	PLCE	S	5,000	44.00	n/a	7-Mar	200.00	4.0
BARROW HANLEY MEWHINNEY	031	PNC	B	52,345	62.71	n/a	n/a	1,832.07	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	PNC	S	5,000	62.37	n/a	n/a	200.00	4.0
HILLTOP PARK ASSOC	086	PNC	B	75,000	62.48	n/a	n/a	3,750.00	5.0
TALPION LLC	040	PNRA	SS	400	119.72	n/a	11-Feb	12.00	3.0
SAC TRADIN/BINDER	044	PXP	S	9,100	35.27	n/a	n/a	318.50	3.5
SYSTEMATIC FINANCIAL MGT	035	ROC	S	27,000	47.04	n/a	n/a	810.00	3.0
f CHRISTOPHER ROBERT C	FID	RRR	S	500	13.82	n/a	12-Jan	0.00	0.0
TALPION LLC	040	SIG	SS	800	43.63	n/a	n/a	24.00	3.0
B BUCK CAPITAL MGMT		SODA	B	20,000	41.96	n/a	n/a	non-brg	2.5
BARROW HANLEY MEWHINNEY	098	SPIL	B	203,600	6.69	n/a	n/a	7,126.00	3.5
SONTERRA CAP	041	SPLS	SS	25,000	20.29	n/a	n/a	1,000.00	4.0
TALPION LLC	040	SPLS	SS	2,600	20.28	n/a	n/a	78.00	3.0
PARKWEST	084	STE	SS	21,700	34.84	n/a	n/a	868.00	4.0
TALPION LLC	040	SWY	SS	2,000	21.57	n/a	n/a	60.00	3.0
COLUMBUS CIRCLE	036	SYK	B	8,178	64.44	n/a	n/a	327.12	4.0
RBC CAPITAL MARKETS	040	TCK	S	10,000	54.25	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	TGT	S	615,127	51.55	n/a	24-Feb	24,605.08	4.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	B	5,000	22.92	n/a	8-Feb	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041	TIN		S	5,000	23.30	n/a	8-Feb	250.00	5.0
f KAREN F LEDDY	FID	TMBCF	B	1500	5.11	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	UA	S	1,400	69.15	n/a	28-Jan	140.00	10.0
f ALICE BEEBE LONGLEY	FID	URRE	S	1000	2.62	n/a	n/a	0.00	0.0
f CALEF CAMPBELL DAVIS	FID	URRE	B	81	2.65	n/a	n/a	0.00	0.0
PARAMETER CAPITAL MGMT LLC044	UTX		B	25,000	83.03	n/a	n/a	1,000.00	4.0
AAD CAPITAL	084	WNR	B	30,000	15.01	n/a	n/a	900.00	3.0
T. ROWE PRICE	033	WY	S	367,400	23.48	n/a	4-Feb	14,696.00	4.0
RBC CAPITAL MARKETS	040	YUM	SS	10,000	51.73	n/a	3-Feb	400.00	4.0
f KAREN F LEDDY	FID	ZLC	B	1200	4.25	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								145,420.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/07	MOORE CAPITAL	041	ACL	B	15,000	165.51	n/a	7-Mar	450.00 3.0
AO,CXL	03/07	MOORE CAPITAL	041	ACL	B	15,000	165.51	n/a	7-Mar	600.00 4.0
AO,CXL	03/07	MOORE CAPITAL	041	FDO	S	5,000	50.84	n/a	16-Feb	200.00 4.0
AO,CRT	03/07	MOORE CAPITAL	041	FDO	S	5,000	50.84	n/a	16-Feb	150.00 3.0
AO,CXL	03/07	CAMBIAR CAP	046	MMI	B	53,000	26.52	n/a	n/a	2120.00 4.0
AO,CRT	03/07	CAMBIAR CAP	046	MMI	B	53,000	26.52	n/a	n/a	2120.00 4.0
AO,CRT	03/07	MOORE CAPITAL	041	RGS	B	5,000	17.74	n/a	n/a	150.00 3.0
AO,CXL	03/07	MOORE CAPITAL	041	RGS	B	5,000	17.74	n/a	n/a	200.00 4.0

TOTAL (AO, CXL, CRT) :	-250.00
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TOTAL (Trade Date) :	145,420.40
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TOTAL (AO, CXL, CRT) :	-250.00
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TOTAL (RUN DATE) / NFS :	145,170.40
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO	03/07	BUCK CAPITAL MGMT	URBN	B	20,000	33.48	n/a	n/a	200.00 1.0

MRI Securities with Trade Activity on 8-Mar.
NONE

MRI Securities without Trade Activity on 8-Mar.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 4%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)