



Daily Compliance Activity Report

Trade Date: 04/13/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	AAP	B	2,000	64.00	n/a	n/a	100.00	5.0
SAC ADV/LEE/PECK	044	AA	B	60,000	16.58	n/a	n/a	2,100.00	3.5
MILLRACE FUND LP	028	AEO	B	10,300	15.85	n/a	10-Mar	412.00	4.0
CASTLEROCK	040	AKS	SS	100,000	15.03	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	AVY	B	20,000	41.21	n/a	10-Mar	1,000.00	5.0
BRANDWINE	028	AXL	B	13,100	11.75	n/a	13-Apr	524.00	4.0
BALLAST CAP	040	AZO	B	500	279.26	n/a	n/a	25.00	5.0
SAC ADV/LEE/PECK	044	BHI	B	25,000	68.45	n/a	n/a	875.00	3.5
TALPION LLC	040	BJ	S	5,000	48.90	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	266	BMR	B	3,000	18.26	n/a	n/a	120.00	4.0
SCOPUS FUND	041	BWA	B	25,000	72.23	n/a	13-Apr	1,000.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	BZ	B	12,000	8.66	n/a	n/a	360.00	3.0
SCHOTTENFELD ASSOC	041	BZ	B	12,100	8.69	n/a	n/a	363.00	3.0
SONTERRA CAP	041	CTB	B	578	24.77	n/a	n/a	23.12	4.0
ROSEDALE CAPITAL	046	CVS	S	15,000	36.06	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	DD	S	10,000	53.22	n/a	28-Mar	400.00	4.0
BROOKSIDE CAPITAL PART	029	DELL	B	400,000	15.30	n/a	n/a	12,000.00	3.0
CATAPULT	040	DOW	SS	10,000	36.40	n/a	28-Mar	400.00	4.0
ROYCE TRADING	012	FINL	B	17,500	20.12	n/a	25-Mar	875.00	5.0
WEINTRAUB CAPITAL MGT.	040	FL	B	31,200	20.35	n/a	3-Mar	1,248.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	17.85	n/a	7-Feb	400.00	4.0
FIRST NY SEC/CHRIS	041	GE	B	25,000	20.05	n/a	n/a	1,250.00	5.0
CIRCLE T/SES PART	033	GM	S	17,500	30.96	n/a	13-Apr	700.00	4.0
STATE TEACHERS RET SYS	047	GM	B	50,000	30.66	n/a	13-Apr	2,500.00	5.0
LISTED ERR	099	GM	B	10,000	31.09	n/a	13-Apr	0.00	0.0
LISTED ERR	099	GM	SS	10,000	31.06	n/a	13-Apr	0.00	0.0
SENATOR INVESTMENT GROUP	036	GTI	B	87,000	19.87	n/a	n/a	2,610.00	3.0
AMBER CAPITAL	046	HCBK	SS	181,000	9.76	n/a	12-Apr	7,240.00	4.0
PZENA INV ADV	044	HPQ	B	2,400	41.24	n/a	n/a	84.00	3.5
RBC CAPITAL MARKETS	040	HST	S	25,000	16.78	n/a	23-Feb	1,000.00	4.0
RBC CAPITAL MARKETS	040	HTZ	B	25,000	16.44	n/a	n/a	1,000.00	4.0
SAC TRADING TOM LEDDY	035	HTZ	S	15,000	16.48	n/a	n/a	525.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	IP	B	25,000	29.16	n/a	17-Mar	1,000.00	4.0
TPG-AXON	040	JNJ	C	50,000	59.83	n/a	n/a	2,000.00	4.0
RIDGECREST INV MGMT LLC	028	KMT	B	10,000	38.74	n/a	28-Jan	500.00	5.0
BALLAST CAP	040	KSS	B	2,400	54.05	n/a	8-Apr	120.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	47.49	n/a	21-Mar	300.00	3.0
SANDLER CAPITAL	028	LMT	SS	75,000	78.44	n/a	15-Feb	3,750.00	5.0
MERRILL ASSET/BLACKROCK	266	MAC	S	31,782	48.12	n/a	n/a	1,271.28	4.0
BARROW HANLEY MEWHINNEY	031	MDT	B	49,000	40.12	n/a	n/a	1,715.00	3.5
SENATOR INVESTMENT GROUP	036	MHK	SS	9,200	60.14	n/a	n/a	276.00	3.0
SAC TRADING TOM LEDDY	035	MJN	S	16,000	59.62	n/a	n/a	560.00	3.5
BALLAST CAP	040	MLM	B	4,600	88.60	n/a	n/a	230.00	5.0
KENNEDY CAPITAL	046	MOV	S	24,692	17.00	n/a	n/a	987.68	4.0
BERMAN CAPITAL MGMT	046	MSFT	S	25,000	25.83	n/a	n/a	750.00	3.0
CHILTON CAPITAL MGMT.	036	MSFT	S	250,000	25.81	n/a	n/a	7,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	30.96	n/a	1-Apr	1,250.00	5.0
CATAPULT	040	NCR	B	56,500	18.91	n/a	n/a	2,260.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SMITH MGMT LLC	029	NDN	B	129,000	20.05	n/a	31-Mar	5,160.00	4.0
MILLRACE FUND LP	028	PAG	SS	2,000	19.44	n/a	13-Apr	80.00	4.0
ROTHSCHILD ASSET	040	PII	S	2,639	90.14	n/a	n/a	105.56	4.0
BACKBAY	041	PKG	SS	25,000	27.65	n/a	17-Mar	1,250.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	S	15,800	28.01	n/a	17-Mar	790.00	5.0
ROYCE TRADING	012	PLCE	B	5,000	52.39	n/a	9-Mar	250.00	5.0
BRANDWINE	028	PLXS	B	29,987	32.79	n/a	n/a	1,199.48	4.0
PZENA INV ADV	044	PPG	S	350	91.70	n/a	30-Mar	12.25	3.5
PROSPECTOR PARTNERS LLC	036	PTP	B	10,000	37.45	n/a	n/a	400.00	4.0
ASCEND PARTNERS	033	PVH	B	25,000	65.88	n/a	30-Mar	1,250.00	5.0
SAC ADV/LEE/PECK	044	RIO	SS	14,000	71.81	n/a	n/a	490.00	3.5
CATAPULT	040	SOA	S	10,000	24.20	n/a	n/a	400.00	4.0
STATE TEACHERS RET SYS	047	TE	B	25,000	18.55	n/a	n/a	1,250.00	5.0
AVENUE CAPITAL MGMT	070	TRW	S	75,000	51.20	n/a	n/a	3,000.00	4.0
MERRILL ASSET/BLACKROCK	266	UBSI	S	29,719	25.63	n/a	n/a	1,188.76	4.0
ROTHSCHILD ASSET	040	VZ	B	43,256	37.90	n/a	n/a	1,730.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	WTR	S	55,510	22.01	n/a	n/a	2,220.40	4.0
COOPER CREEK PART	028	WY	SS	10,000	22.22	n/a	8-Apr	400.00	4.0
RIDGECREST INV MGMT LLC	028	WY	SS	10,000	22.39	n/a	8-Apr	500.00	5.0
ROTHSCHILD ASSET	040	WY	S	10,234	22.26	n/a	8-Apr	409.36	4.0
ROTHSCHILD ASSET	040	X	S	3,817	50.74	n/a	n/a	152.68	4.0
SIGMA CAPITAL ASSOCIATES	041	ZUMZ	B	50,000	28.82	n/a	n/a	1,750.00	3.5
TOTAL (Trade Date):								92,542.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/11	1798 CAP/LOMBARD ASSET (1798MS)	040	KR	C	25,000	24.47	n/a	n/a	1250.00 5.0
AO,CXL	04/11	1798 CAP/LOMBARD ASSET (1798MS)	040	KR	C	25,000	24.43	n/a	n/a	1250.00 5.0
AO,CXL	04/11	1798 CAP/LOMBARD ASSET (1798MS)	040	KR	C	70,000	24.38	n/a	n/a	3500.00 5.0
AO,	04/11	1798 CAP/LOMBARD ASSET (1798GS)	040	KR	C	25,000	24.47	n/a	n/a	1250.00 5.0
AO,	04/11	1798 CAP/LOMBARD ASSET (1798GS)	040	KR	C	25,000	24.43	n/a	n/a	1250.00 5.0
AO,	04/11	1798 CAP/LOMBARD ASSET (1798GS)	040	KR	C	70,000	24.38	n/a	n/a	3500.00 5.0
CRT	04/13	SMITH MGMT LLC (SMITJPMORG)	029	NDN	B	129,000	20.05	n/a	31-Mar	5160.00 4.0
AO,CXL	04/08	PILOT ADV (PILOJPM)	048	RCII	SS	700	35.11	n/a	n/a	21.00 3.0
AO,	04/08	PILOT ADV (PILOJPM)	048	RCII	SS	10,300	35.11	n/a	n/a	309.00 3.0
AO,CXL	04/08	PILOT ADV (PILOBOFA)	048	RCII	SS	10,300	35.11	n/a	n/a	309.00 3.0
AO,	04/08	PILOT ADV (PILOBOFA)	048	RCII	SS	700	35.11	n/a	n/a	21.00 3.0
TOTAL (AO, CXL, CRT) :										5,160.00

TOTAL (Trade Date) :	92,542.81
TOTAL (AO, CXL, CRT) :	5,160.00

TOTAL (RUN DATE) / NFS :	97,702.81
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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