



## Daily Compliance Activity Report

Trade Date: 03/31/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	AAP	SS	3,500	65.27	n/a	n/a	175.00	5.0
BALLAST CAP	040	ACXM	B	24,200	14.13	n/a	n/a	1,210.00	5.0
GEOSPHERE CAPITAL MGMT	084	ADM	SS	50,000	36.25	n/a	14-Mar	1,500.00	3.0
BALLAST CAP	040	AKR	S	9,900	18.81	n/a	n/a	495.00	5.0
BARON ASSET MGMT*	012	ALV	S	20,000	73.54	n/a	2-Feb	1,000.00	5.0
SURVEYOR CAPITAL	041	AON	SS	7,000	52.73	n/a	n/a	210.00	3.0
BALLAST CAP	040	AZO	SS	1,200	272.35	n/a	n/a	60.00	5.0
MERRILL ASSET/BLACKROCK	266	BACWSA	S	2,029	7.61	n/a	n/a	81.16	4.0
PIONEER PATH	028	CREE	B	25,000	47.03	n/a	n/a	750.00	3.0
MERRILL ASSET/BLACKROCK	266	CWSB	S	1,092	0.19	n/a	n/a	10.92	1.0
SANDLER O'NEILL ASSET	031	C	B	9,500	4.43	n/a	28-Mar	190.00	2.0
IRIDIAN ASSET MGMT.	036	DAN	S	100,000	17.44	n/a	24-Feb	3,000.00	3.0
BALYASNY ASSET MGMT	044	DDS	C	20,000	40.17	n/a	n/a	1,000.00	5.0
PARAMETER CAPITAL MGMT LLC044		ENH	B	5,450	47.55	n/a	n/a	218.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	FINL	B	3,000	19.74	n/a	25-Mar	150.00	5.0
Õ Doug Rogers		FOR	S	100	18.9427	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	100	18.9484	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	100	18.9527	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	300	18.9410	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	586	18.9440	n/a	7-Feb	0.00	0.0
AVESTA CAP	229	F	S	200,000	14.77	n/a	31-Mar	6,000.00	3.0
IRIDIAN ASSET MGMT.	036	GM	S	5,940	31.18	n/a	31-Mar	297.00	5.0
CAXTON PART	040	GT	B	50,000	14.99	n/a	n/a	1,750.01	3.5
MA CAPITAL MGMT/MELLON ADV	041	IP	B	2,000	29.85	n/a	17-Mar	100.00	5.0
SURVEYOR CAPITAL	041	IVZ	B	19,708	25.40	n/a	2-Mar	591.24	3.0
SURVEYOR CAPITAL	041	JNS	SS	40,388	12.30	n/a	n/a	1,211.64	3.0
BARON ASSET MGMT*	012	KMX	S	150,000	32.43	n/a	n/a	7,500.00	5.0
BALLAST CAP	040	KSS	SS	7,500	52.70	n/a	31-Mar	375.00	5.0
CAERUS GLOBAL	041	KSS	B	21,200	52.62	n/a	31-Mar	848.00	4.0
BALLAST CAP	040	LOGM	SS	3,100	41.90	n/a	n/a	155.00	5.0
BALLAST CAP	040	LOW	SS	15,000	26.45	n/a	23-Feb	750.00	5.0
BALLAST CAP	040	LTM	SS	5,400	37.22	n/a	n/a	270.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	MAS	SS	11,600	13.98	n/a	n/a	580.00	5.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>MHP</b>	<b>S</b>	<b>3,500</b>	<b>39.96</b>	<b>n/a</b>	<b>n/a</b>	<b>140.00</b>	<b>4.0</b>
TALPION LLC	040	MJN	S	10,000	58.11	n/a	n/a	400.00	4.0
BALLAST CAP	040	MLM	SS	2,900	89.88	n/a	n/a	145.00	5.0
SURVEYOR CAPITAL	041	MMC	B	20,127	29.76	n/a	n/a	603.81	3.0
IRIDIAN ASSET MGMT.	036	MRVL	S	55,260	15.74	n/a	n/a	2,763.00	5.0
WHITE PINE CAPITAL	030	MS	S	1,000	27.30	n/a	28-Mar	50.00	5.0
<b>Õ Doug Rogers</b>		<b>MWA</b>	<b>B</b>	<b>5000</b>	<b>4.4600</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	M	B	10,000	23.84	n/a	31-Mar	500.00	5.0
THE JAY GOLDMAN	028	M	S	50,000	23.99	n/a	31-Mar	2,000.00	4.0
SMITH MGMT LLC	029	NDN	B	50,000	19.62	n/a	31-Mar	0.00	0.0
NOMURA CAPITAL	029	NRG	S	1,000	21.51	n/a	n/a	30.00	3.0
SANDLER CAPITAL	028	OII	S	111,100	89.01	n/a	n/a	5,555.00	5.0
BALYASNY ASSET MGMT	044	ORLY	C	30,000	57.21	n/a	n/a	1,500.00	5.0
BALLAST CAP	040	PCL	S	2,800	43.61	n/a	1-Feb	140.00	5.0
ROYCE TRADING	012	PLCE	B	6,000	49.84	n/a	9-Mar	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PVH	S	20,000	64.96	n/a	30-Mar	600.00	3.0
PRIMECAP MGMT	084	PXP	S	80,000	36.40	n/a	n/a	3,200.00	4.0
EPOCH INV MGMT	030	RKT	B	29,402	69.18	n/a	n/a	882.06	3.0
WEISS PECK	040	SCVL	S	18,300	28.21	n/a	n/a	915.00	5.0
WHITE PINE CAPITAL	030	SGMS	S	2,000	8.78	n/a	n/a	100.00	5.0
MERRILL ASSET/BLACKROCK	266	SPN	S	12,302	41.00	n/a	n/a	492.08	4.0
BALLAST CAP	040	STE	SS	4,400	34.64	n/a	n/a	220.00	5.0
BALLAST CAP	040	STRA	SS	1,200	129.27	n/a	n/a	60.00	5.0
WHITE PINE CAPITAL	030	SURG	S	2,000	5.89	n/a	n/a	100.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.63	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	266	TESO	S	3,400	22.16	n/a	n/a	136.00	4.0
SAC CAPITAL/M GRONET	030	TJX	B	10,000	49.45	n/a	31-Mar	350.00	3.5
ARMATURE CAPITAL	041	UFS	B	30,000	91.19	n/a	n/a	1,200.00	4.0
SCOPUS FUND	041	UPS	SS	15,000	74.40	n/a	n/a	600.00	4.0
CAXTON PART	040	VIAB	B	12,689	46.80	n/a	n/a	444.13	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	WDR	SS	6,718	40.52	n/a	2-Mar	201.54	3.0
SURVEYOR CAPITAL	041	WFT	B	90,000	22.56	n/a	n/a	2,700.00	3.0
<b>TOTAL (Trade Date):</b>								<b>57,605.59</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	03/30	COLUMBUS CIRCLE (COLC5000)	036	GILD	B	4,721	42.77	n/a	n/a	188.84	4.0
CRT	03/31	THE JAY GOLDMAN (GOLDGSBULK)	028	M	S	50,000	23.99	n/a	31-Mar	2000.00	4.0
AO,	03/30	COLUMBUS CIRCLE (COLC5000)	036	STJ	B	1,915	51.57	n/a	n/a	76.60	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TDC	S	10	50.43	n/a	n/a	0.40	4.0
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	TDC	S	1,381	50.43	n/a	n/a	55.24	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TE	S	1,766	18.73	n/a	n/a	70.64	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TEG	S	641	50.66	n/a	n/a	25.64	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TER	S	37	17.94	n/a	n/a	1.48	4.0
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	TER	S	1,496	17.94	n/a	n/a	59.84	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TIE	S	164	18.29	n/a	n/a	6.56	4.0
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	TIE	S	576	18.29	n/a	n/a	23.04	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TLAB	S	2,999	5.32	n/a	n/a	119.96	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TMK	S	640	65.85	n/a	n/a	25.60	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TROW	S	2,129	66.23	n/a	n/a	85.16	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TRV	S	3,543	59.38	n/a	n/a	141.72	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TSO	S	1,161	27.76	n/a	n/a	46.44	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	TSO	S	15	27.76	n/a	n/a	0.60 4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TSS	S	1,344	18.08	n/a	n/a	53.76 4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TXN	S	9,694	34.74	n/a	n/a	387.76 4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	UNM	S	2,545	26.60	n/a	n/a	101.80 4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	USB	S	15,797	26.65	n/a	n/a	631.88 4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	V	S	142	74.13	n/a	7-Mar	5.68 4.0
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	V	S	3,866	74.13	n/a	7-Mar	154.64 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>4,263.28</b>
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TOTAL (Trade Date) :	57,605.59
TOTAL (AO, CXL, CRT) :	4,263.28

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>61,868.87</b>
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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