



## Daily Compliance Activity Report

Trade Date: 03/18/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
DW INVESTMENT MGMT.	048	ANN	B	100,000	26.62	n/a	n/a	3,000.00 3.0
DELTEC ASSET MGMT.	040	BEAV	B	14,000	33.49	n/a	4-Mar	700.00 5.0
OSKIE CAPITAL MGMT	224	BK	B	5,000	29.18	n/a	18-Mar	250.00 5.0
OSKIE CAPITAL MGMT	224	BK	S	25,000	28.85	n/a	18-Mar	1,250.00 5.0
PZENA INV ADV	044	CA	B	25,000	22.77	n/a	n/a	875.09 3.5
TALPION LLC	040	CCE	B	5,000	25.73	n/a	n/a	150.00 3.0
RBC CAPITAL MARKETS	040	CCL	SS	25,000	39.64	n/a	n/a	1,000.00 4.0
SCOPUS FUND	041	CMI	B	10,600	101.92	n/a	1-Mar	424.00 4.0
ADAGE CAPITAL MGMT	030	COH	SS	40,000	49.54	n/a	26-Jan	1,200.00 3.0
APEX CAPITAL MGMT.	261	COH	B	150,000	50.23	n/a	26-Jan	6,000.00 4.0
MILLRACE FUND LP	028	CPKI	B	25,000	16.03	n/a	15-Mar	1,000.00 4.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	22,500	14.42	n/a	n/a	900.00 4.0
SCOPUS FUND	041	DE	B	20,000	90.79	n/a	18-Feb	800.00 4.0
TALKOT CAPITAL LLC	084	EAT	B	15,000	23.98	n/a	26-Jan	600.00 4.0
CATAPULT	040	EMR	SS	2,900	57.52	n/a	n/a	116.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	EMR	S	12,100	57.50	n/a	n/a	484.00	4.0
ROYCE TRADING	012	FINL	B	60,000	17.21	n/a	18-Mar	3,000.00	5.0
BRANDWINE	028	FITB	B	23,830	14.11	n/a	n/a	953.20	4.0
BALYASNY ASSET MGMT	044	FL	B	50,000	19.19	n/a	3-Mar	2,500.00	5.0
CATAPULT	040	FMC	B	5,000	77.24	n/a	8-Dec	200.00	4.0
OSKIE CAPITAL MGMT	224	F	S	10,000	14.46	n/a	2-Mar	500.00	5.0
OZ MGMT	040	F	S	290,000	14.58	n/a	2-Mar	8,700.00	3.0
WAGONHOUND/NIC	048	F	B	50,683	14.54	n/a	2-Mar	2,027.32	4.0
LEVIN CAPITAL STRATEGIES	012	GM	SS	120,000	31.87	n/a	2-Mar	3,600.00	3.0
RAINIER INV MGMT	035	HCA	B	186,480	32.50	n/a	n/a	7,459.20	4.0
SUFFOLK CAPITAL MGMT	040	HNZ	B	57,000	48.91	n/a	n/a	2,280.00	4.0
TALPION LLC	040	HSNI	B	5,000	30.17	n/a	n/a	150.00	3.0
ARMATURE CAPITAL	041	IP	S	48,200	26.75	n/a	17-Mar	1,928.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	IP	S	2,500	26.87	n/a	17-Mar	125.00	5.0
CAVU CAP ADV	028	KBH	B	20,000	13.18	n/a	n/a	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	48.85	n/a	18-Mar	300.00	3.0
OZ MGMT	040	LEA	B	25,000	48.80	n/a	18-Mar	750.00	3.0
TALPION LLC	040	LOW	B	5,000	26.19	n/a	23-Feb	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	LPX	B	67,000	9.85	n/a	10-Feb	3,350.00	0.0
BNP PARIBAS SEC	040	LPX	B	30,000	9.81	n/a	10-Feb	1,500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	LPX	B	4,000	9.89	n/a	10-Feb	120.00	3.0
SCOPUS FUND	041	LPX	B	123,700	9.90	n/a	10-Feb	4,948.00	4.0
US BANCORP	030	LTM	B	76,859	37.21	n/a	n/a	3,458.66	4.5
AAD CAPITAL	084	LVS	B	10,000	36.94	n/a	10-Mar	400.00	4.0
GRYPHON CAPITAL MGMT	084	LVS	B	100,000	36.99	n/a	10-Mar	3,000.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	LVS	B	10,000	37.99		n/a 10-Mar	500.00	5.0
OSKIE CAPITAL MGMT	224	LYB	B	5,000	38.34	n/a	n/a	250.00	5.0
AAD CAPITAL	084	MGM	S	200,000	12.64	n/a	10-Mar	6,000.00	3.0
CHARTER OAK	033	MSFT	B	125,000	24.99	n/a	n/a	6,250.00	5.0
CASTLEROCK	040	NOK	SS	200,000	8.27	n/a	n/a	8,000.00	4.0
GRANITE CAPITAL	028	PAG	S	45,000	18.70	n/a	17-Feb	2,250.00	5.0
BMO NESBITT BURNS	041	PCL	S	16,700	42.63	n/a	1-Feb	835.00	0.0
SUFFOLK CAPITAL MGMT	040	PG	S	199,500	60.70	n/a	14-Mar	7,980.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	B	18,690	27.08	n/a	17-Mar	934.50	5.0
ROYCE TRADING	012	PLCE	B	29,026	47.65	n/a	9-Mar	1,451.30	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>PVH</b>	<b>B</b>	<b>5,000</b>	<b>57.30</b>	<b>n/a</b>	<b>1-Feb</b>	<b>300.00</b>	<b>6.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	PVH	S	3,400	56.78	n/a	1-Feb	136.00	4.0
IMPALA ASSET MMT	012	QCOM	B	5,000	52.97	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	RYN	S	3,000	59.77	n/a	26-Jan	150.00	0.0
CSFB GLOBAL PROPRIETARY	041	RYN	S	15,000	59.67	n/a	26-Jan	750.00	5.0
ELM RIDGE ADVISORS	044	RYN	S	95,000	59.81	n/a	26-Jan	3,800.00	4.0
SCOPUS FUND	041	SEE	SS	50,000	25.77	n/a	n/a	2,000.00	4.0
IMPALA ASSET MMT	012	SPY	B	2,000	128.73	n/a	n/a	100.00	5.0
OSKIE CAPITAL MGMT	224	SWFT	B	10,000	14.35	n/a	n/a	500.00	5.0
LANE GATE PARTNERS LLC	012	SWN	B	3,000	40.99	n/a	25-Feb	90.00	3.0
GREEN ARROW DOUG	040	SYY	B	10,000	27.62	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	TEX	S	20,000	37.64	n/a	11-Feb	1,000.00	5.0
TRUSTCO/SUNTRUST	040	TGT	B	14,100	50.01	n/a	24-Feb	493.50	3.5
RBC CAPITAL MARKETS	040	TXRH	SS	1,300	16.07	n/a	n/a	52.00	4.0
NEWLAND CAPITAL MGT	025	USU	S	55,626	4.48	n/a	n/a	1,668.78	3.0
CRAMER ROSENTHAL/SCOTT	012	VIAB	S	1,890	44.25	n/a	n/a	75.60	4.0
PERRY PARTNERS	085	V	S	100,000	71.08	n/a	7-Mar	5,000.00	5.0
RBC CAPITAL MARKETS	040	WAG	S	25,000	41.68	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	WPI	S	125,000	54.43	n/a	16-Mar	6,250.00	5.0
SENATOR INVESTMENT GROUP	036	WRC	B	25,000	53.28	n/a	1-Mar	750.00	3.0
IMPALA ASSET MMT	012	XLY	B	2,000	37.89	n/a	n/a	80.00	4.0
<b>TOTAL (Trade Date) :</b>							<b>130,545.15</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/17	PARTNER REINSURANCE (PARRPAREME)	033	EWY	B	26,800	58.06	n/a	n/a	1072.00 4.0
CRT	03/18	BMO NESBITT BURNS (BMONFLIP)	041	LPX	B	50,000	9.85	n/a	10-Feb	2500.00 0.0
CRT	03/18	BMO NESBITT BURNS (BMONFLIP)	041	LPX	B	17,000	9.71	n/a	10-Feb	850.00 0.0
AO,CXL	03/17	COUGAR TRADING (COUGPB MS)	044	LULU	SS	5,000	77.01	n/a	17-Mar	0.00 0.0
AO,	03/17	COUGAR TRADING (COUGPB MS)	044	LULU	SS	5,000	77.01	n/a	17-Mar	250.00 5.0
CRT	03/18	GRYPHON CAPITAL MGMT (GRYPMSPB)	084	LVS	B	100,000	36.99	n/a	10-Mar	3000.00 3.0
CRT	03/18	BMO NESBITT BURNS (BMONFLIP)	041	PCL	S	16,700	42.63	n/a	1-Feb	835.00 0.0
<b>CRT</b>	<b>03/18</b>	<b>EGS ASSOCIATES LP (EGASBANC O)</b>	<b>091</b>	<b>PVH</b>	<b>B</b>	<b>5,000</b>	<b>57.30</b>	<b>n/a</b>	<b>1-Feb</b>	<b>300.00 6.0</b>
CRT	03/18	BMO NESBITT BURNS (BMONFLIP)	041	RYN	S	3,000	59.77	n/a	26-Jan	150.00 0.0

**TOTAL (AO, CXL, CRT) :****8,957.00**

TOTAL (Trade Date):

130,545.15

TOTAL (AO, CXL, CRT):

8,957.00

**TOTAL (RUN DATE) / NFS:****139,502.15**

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