



Daily Compliance Activity Report

Trade Date: 03/14/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABT	B	3,600	48.21	n/a	n/a	108.00	3.0
PZENA INV ADV	044	ABT	B	3,325	48.21	n/a	n/a	116.38	3.5
EPOCH INV MGMT	030	AET	B	4,600	36.01	n/a	n/a	138.00	3.0
EPOCH INV MGMT	030	AMAT	B	250	14.93	n/a	n/a	7.50	3.0
EPOCH INV MGMT	030	AMP	B	4,650	60.99	n/a	n/a	139.50	3.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	27.52	n/a	n/a	600.00	3.0
CATAPULT	040	APH	B	8,776	56.02	n/a	n/a	351.04	4.0
BNP PARIBAS SEC	040	AXL	SS	25,000	13.31	n/a	9-Feb	1,250.00	5.0
EPOCH INV MGMT	030	AXP	B	2,800	43.82	n/a	14-Mar	84.00	3.0
EPOCH INV MGMT	030	BA	B	3,200	70.79	n/a	14-Mar	96.00	3.0
EPOCH INV MGMT	030	BEN	B	2,050	120.10	n/a	2-Mar	61.50	3.0
PIONEER PATH	028	BEN	B	13,000	119.81	n/a	2-Mar	390.00	3.0
RBC CAPITAL MARKETS	040	CCJ	SS	30,000	31.10	n/a	n/a	1,200.00	4.0
PIONEER PATH	028	CME	B	6,419	294.19	n/a	14-Mar	192.57	3.0
MERRILL ASSET/BLACKROCK	266	CNA	B	14,200	29.09	n/a	n/a	568.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	COH	S	12,975	53.07	n/a	26-Jan	648.75	5.0
IMPALA ASSET MMT	012	CP	SS	8,400	64.40	n/a	n/a	420.00	5.0
NOMURA CAPITAL	029	DAL	S	2,621	10.96	n/a	n/a	78.63	3.0
RBC CAPITAL MARKETS	040	DOW	B	25,000	36.69	n/a	8-Mar	1,000.00	4.0
BNP PARIBAS SEC	040	DSW	B	20,000	41.16	n/a	11-Feb	1,000.00	5.0
RBC CAPITAL MARKETS	040	EAT	B	10,000	24.16	n/a	26-Jan	400.00	4.0
ROTHSCHILD ASSET	040	EME	S	32,353	31.53	n/a	n/a	1,294.12	4.0
PROSPECTOR PARTNERS LLC	036	EP	B	10,000	17.37	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	FAF	B	5,000	16.07	n/a	n/a	200.00	4.0
ROYCE TRADING	012	FINL	B	91,783	17.89	n/a	1-Mar	4,589.15	5.0
LEVIN CAPITAL STRATEGIES	012	FL	B	25,000	20.11	n/a	3-Mar	750.00	3.0
PROSPECTOR PARTNERS LLC	036	GEN	B	25,000	3.78	n/a	n/a	1,000.00	4.0
NOMURA CAPITAL	029	GGC	S	10,000	32.83	n/a	n/a	300.00	3.0
CIRCLE T/SES PART	033	GM	B	25,000	31.98	n/a	2-Mar	1,000.00	4.0
GOLD SACHS SPECIAL SIT	030	GM	B	85,000	31.70	n/a	2-Mar	4,250.00	5.0
PHILADELPHIA FINANCIAL	033	GM	SS	37,954	32.13	n/a	2-Mar	1,518.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	GPI	S	31,500	40.42	n/a	11-Feb	1,575.00	5.0
MOORE CAPITAL	041	HRBN	B	24,247	17.70	n/a	n/a	727.41	3.0
ENTRUST CAPITAL	040	IR	B	20,800	45.65	n/a	4-Mar	1,040.00	5.0
RBC CAPITAL MARKETS	040	JEC	S	19,000	48.07	n/a	n/a	760.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	10,000	43.17	n/a	3-Mar	400.00	4.0
SAXON WOODS ADVISORS	048	LDR	B	5,000	67.51	n/a	n/a	200.00	4.0
BASIX	033	LEA	S	9,700	100.71	n/a	2-Feb	291.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	LPX	S	10,000	10.25	n/a	10-Feb	300.00	3.0
SURVEYOR CAPITAL	041	MAR	B	26,497	37.82	n/a	23-Feb	794.91	3.0
AAD CAPITAL	084	MGM	B	27,200	12.68	n/a	10-Mar	816.00	3.0
ROSEDALE CAPITAL	046	NAV	B	10,000	63.14	n/a	10-Mar	500.00	5.0
SMITH MGMT LLC	029	NDN	B	360,000	19.51	n/a	11-Mar	10,800.00	3.0
PROSPECTOR PARTNERS LLC	036	NP	B	6,600	17.84	n/a	4-Mar	264.00	4.0
LAGRANGE CAP ADV	048	PAG	B	10,000	19.50	n/a	17-Feb	500.00	5.0
PROSPECTOR PARTNERS LLC	036	PEG	B	4,000	31.47	n/a	n/a	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	PFE	B	132,257	19.89	n/a	n/a	5,290.28	4.0
S.A.C. HEALTHCARE BOBBY	044	PFE	B	25,000	20.00	n/a	n/a	875.00	3.5
LATEFF MGMT	035	PKG	B	4,000	27.32	n/a	17-Feb	400.00	10.0
ROYCE TRADING	012	PLCE	B	47,500	47.06	n/a	9-Mar	2,375.00	5.0
PERRY PARTNERS	085	POT	S	25,000	53.15	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	PRX	S	21,783	30.44	n/a	14-Mar	871.32	4.0
MERRILL ASSET/BLACKROCK	266	RE	S	4,500	82.10	n/a	n/a	180.00	4.0
BERMAN CAPITAL MGMT	046	SPY	S	11,000	130.03	n/a	n/a	330.00	3.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.03	n/a	n/a	800.00	4.0
CAVU CAP ADV	028	TEX	B	10,000	34.45	n/a	11-Feb	500.00	5.0
PARAMETER CAPITAL MGMT LLC	044	TRV	B	51,517	58.80	n/a	n/a	2,060.68	4.0
MERRILL ASSET/BLACKROCK	266	UBSI	S	27,000	26.56	n/a	n/a	1,080.00	4.0
RBC CAPITAL MARKETS	040	VFC	SS	20,000	96.51	n/a	14-Mar	800.00	4.0
RBC CAPITAL MARKETS	040	WM	B	22,000	36.99	n/a	n/a	880.00	4.0
COOPER CREEK PART	028	WY	SS	15,000	24.61	n/a	4-Feb	600.00	4.0
PATTEN & PATTEN	025	WY	S	81,025	24.58	n/a	4-Feb	4,051.25	5.0

TOTAL (Trade Date):

65,623.15

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/11	COLUMBUS CIRCLE (COLC5000)	036	CELG	S	7,482	52.07	n/a	n/a	299.28 4.0
AO,CXL	03/11	SCOPUS FUND (SCOPGS)	041	FINL	B	2,750	17.90	n/a	1-Mar	110.00 4.0
AO,CRT	03/11	SCOPUS FUND (SCOPGS)	041	FINL	B	1,375	17.90	n/a	1-Mar	55.00 4.0
AO,CXL	03/11	SCOPUS FUND (SCOPUBS)	041	FINL	B	22,250	17.90	n/a	1-Mar	890.00 4.0
AO,CRT	03/11	SCOPUS FUND (SCOPUBS)	041	FINL	B	23,625	17.90	n/a	1-Mar	945.00 4.0
CRT	03/14	CIRCLE T/SES PART (CIRCMAIN)	033	GM	B	25,000	31.98	n/a	2-Mar	1000.00 4.0
CRT	03/14	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	GM	B	85,000	31.70	n/a	2-Mar	4250.00 5.0
CRT	03/14	ROSEDALE CAPITAL (ROSEGS)	046	NAV	B	10,000	63.14	n/a	10-Mar	500.00 5.0
CRT	03/14	SMITH MGMT LLC (SMITJPMORG)	029	NDN	B	360,000	19.51	n/a	11-Mar	10800.00 3.0
AO,	03/11	COLUMBUS CIRCLE (COLC3050)	036	ROVI	S	2,775	55.08	n/a	n/a	111.00 4.0

TOTAL (AO, CXL, CRT) :**16,960.28**

TOTAL (Trade Date):

65,623.15

TOTAL (AO, CXL, CRT):

16,960.28

TOTAL (RUN DATE) / NFS:**82,583.43**

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