



Daily Compliance Activity Report

Trade Date: 04/04/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	AN	S	75,000	34.62	n/a	9-Feb	3,750.00	5.0
STRONG/MARK GRONET	030	ASTI	S	350,000	1.82	n/a	n/a	3,500.00	1.0
BNP PARIBAS SEC	040	AVY	SS	20,000	41.93	n/a	10-Mar	1,000.00	5.0
BMO NESBITT BURNS	041	AXL	SS	4,000	12.46	n/a	9-Feb	200.00	5.0
CATAPULT	040	CAT	SS	5,000	112.82	n/a	28-Jan	200.00	4.0
MERRILL ASSET/BLACKROCK	266	CNA	B	10,800	30.53	n/a	n/a	432.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	COG	B	19,703	53.96	n/a	4-Apr	689.61	3.5
NEWLAND CAPITAL MGT	025	CPE	B	25,000	7.80	n/a	n/a	750.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,100	143.15	n/a	11-Jan	44.00	4.0
KLEINHEINZ CAP PART	031	EBAY	S	150,000	30.98	n/a	n/a	7,500.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	S	60,293	38.73	n/a	4-Apr	2,411.72	4.0
AVESTA CAP	229	ETN	B	25,000	55.63	n/a	1-Mar	750.00	3.0
OHIO PERS	047	FFIV	S	37,000	94.16	n/a	n/a	1,110.00	3.0
ROYCE TRADING	012	FINL	B	17,500	19.74	n/a	25-Mar	875.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Doug Rogers		FOR	S	100	19.0735	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	300	19.0710	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	300	19.0740	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	500	19.0710	n/a	7-Feb	0.00	0.0
PERRY PARTNERS	085	F	S	71,216	15.63	n/a	4-Apr	3,560.80	5.0
PARAMETER CAPITAL MGMT LLC	044	GD	B	20,000	73.00	n/a	15-Feb	800.00	4.0
CAMBIAR CAP	046	GLW	B	227,500	20.62	n/a	23-Mar	9,100.00	4.0
LATEFF MGMT	035	GLW	B	500	20.64	n/a	23-Mar	50.00	10.0
COOPER CREEK PART	028	GME	S	15,000	22.54	n/a	n/a	600.00	4.0
AVESTA CAP	229	HON	B	100,000	59.29	n/a	10-Mar	3,000.00	3.0
FARALLON CAP MGMT	040	INTC	SS	110,000	19.57	n/a	n/a	3,300.00	3.0
LATEFF MGMT	035	INTC	B	500	19.47	n/a	n/a	50.00	10.0
THRIVENT ASSET MGMT	030	IWM	S	61,334	84.82	n/a	n/a	2,453.36	4.0
KAYNE ANDERSON ADV	084	LPHI	S	32,905	8.05	n/a	n/a	1,316.20	4.0
FIRST NY SEC/CHRIS	041	LPX	SS	15,000	10.71	n/a	10-Feb	750.00	5.0
SCOPUS FUND	041	LPX	SS	50,000	10.48	n/a	10-Feb	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	LPX	SS	50,000	10.37	n/a	10-Feb	2,000.00	4.0
CAPITAL GROWTH MGMT.	241	LUV	S	250,000	12.34	n/a	n/a	10,000.00	4.0
CATAPULT	040	LYB	SS	20,000	40.57	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OSKIE CAPITAL MGMT	224	LYB	B	5,000	40.66	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	LYV	B	2,700	9.85	n/a	n/a	135.00	5.0
CAPITAL GROWTH MGMT.	241	MEE	B	100,000	70.81	n/a	n/a	5,000.00	5.0
LATEFF MGMT	035	MMM	S	350	93.73	n/a	28-Mar	70.00	20.0
GLENHILL CAPITAL	036	MTOR	B	50,000	16.87	n/a	n/a	2,500.00	5.0
Õ Doug Rogers		MWA	B	5100	4.5100	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	MWV	B	27,175	31.14	n/a	1-Apr	1,358.75	5.0
CR INTRINIC INVESTMENT	044	M	B	10,000	24.03	n/a	31-Mar	350.00	3.5
SMITH MGMT LLC	029	NDN	B	42,200	19.61	n/a	31-Mar	2,110.00	5.0
SENATOR INVESTMENT GROUP	036	OIH	B	15,000	165.98	n/a	n/a	450.00	3.0
CATAPULT	040	OI	SS	5,000	30.24	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	266	PRA	B	7,900	63.80	n/a	n/a	316.00	4.0
PARAMETER CAPITAL MGMT LLC	044	PRU	B	30,000	62.98	n/a	n/a	1,200.00	4.0
CATAPULT	040	RKT	SS	5,000	69.80	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	RKT	B	60,000	69.66	n/a	n/a	1,800.00	3.0
WEISS PECK	040	SCVL	S	3,400	27.69	n/a	n/a	170.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	SON	SS	5,000	36.65	n/a	n/a	200.00	4.0
TALPION LLC	040	SPLS	B	6,200	20.25	n/a	n/a	248.00	4.0
SAC CRIB	044	SPY	B	25,000	133.28	n/a	n/a	875.00	3.5
MA CAPITAL MGMT/MELLON ADV041		TGT	B	2,000	50.46	n/a	31-Mar	100.00	5.0
CATAPULT	040	WY	SS	15,000	25.10	n/a	4-Feb	600.00	4.0
WHITE PINE CAPITAL	030	WY	S	19,430	24.95	n/a	4-Feb	971.50	5.0
TOTAL (Trade Date):								82,096.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/01	SCOPUS FUND (SCOPGS)	041	BUD	SS	2,250	58.85	n/a	29-Mar	90.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPGS)	041	BUD	SS	1,125	58.85	n/a	29-Mar	45.00 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPUBS)	041	BUD	SS	22,750	58.85	n/a	29-Mar	910.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPUBS)	041	BUD	SS	23,875	58.85	n/a	29-Mar	955.00 4.0
AO,	04/01	SENATOR INVESTMENT GROUP (SENAMS)	040	EEM	B	305,000	49.39	n/a	n/a	9150.00 3.0
AO,CXL	04/01	SCOPUS FUND (SCOPGS)	041	IR	B	4,500	48.54	n/a	4-Mar	180.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPGS)	041	IR	B	2,250	48.54	n/a	4-Mar	90.00 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPUBS)	041	IR	B	45,500	48.54	n/a	4-Mar	1820.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPUBS)	041	IR	B	47,750	48.54	n/a	4-Mar	1910.00 4.0
AO,	04/01	COLUMBUS CIRCLE (COLC5000)	036	JDSU	B	2,775	19.80	n/a	n/a	111.00 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPGS)	041	MWV	B	9,000	31.08	n/a	1-Apr	360.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPGS)	041	MWV	B	5,102	31.08	n/a	1-Apr	204.08 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPUBS)	041	MWV	B	91,000	31.08	n/a	1-Apr	3640.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPUBS)	041	MWV	B	94,898	31.08	n/a	1-Apr	3795.92 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPGS)	041	NOC	B	6,750	63.21	n/a	23-Mar	270.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPGS)	041	NOC	B	10,397	63.21	n/a	23-Mar	415.88 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPUBS)	041	NOC	B	68,250	63.21	n/a	23-Mar	2730.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPUBS)	041	NOC	B	64,603	63.21	n/a	23-Mar	2584.12 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPGS)	041	PNRA	SS	4,500	127.61	n/a	15-Mar	180.00 4.0
AO,CRT	04/01	SCOPUS FUND (SCOPGS)	041	PNRA	SS	3,299	127.61	n/a	15-Mar	131.96 4.0
AO,CXL	04/01	SCOPUS FUND (SCOPUBS)	041	PNRA	SS	45,500	127.61	n/a	15-Mar	1820.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/01	SCOPUS FUND (SCOPUBS)	041	PNRA	SS	46,701	127.61	n/a	15-Mar	1868.04 4.0
AO,	04/01	ROBX (ROBX147)	084	RVBD	S	4,180	35.27	n/a	n/a	167.20 4.0
AO,	04/01	ROBX (ROBX130)	084	RVBD	S	570	35.27	n/a	n/a	22.80 4.0
AO,	04/01	ROBX (ROBX309)	084	RVBD	S	8,800	35.27	n/a	n/a	352.00 4.0
AO,	04/01	ROBX (ROBX63)	084	RVBD	S	9,000	35.27	n/a	n/a	360.00 4.0
AO,	04/01	ROBX (ROBX340)	084	RVBD	S	33,770	35.27	n/a	n/a	1350.80 4.0
AO,	04/01	ROBX (ROBX62)	084	RVBD	S	10,400	35.27	n/a	n/a	416.00 4.0
AO,	04/01	ROBX (ROBX342)	084	RVBD	S	49,580	35.27	n/a	n/a	1983.20 4.0
AO,	04/01	ROBX (ROBX302)	084	RVBD	S	1,860	35.27	n/a	n/a	74.40 4.0
AO,	04/01	ROBX (ROBX341)	084	RVBD	S	6,840	35.27	n/a	n/a	273.60 4.0
TOTAL (AO, CXL, CRT) :										14,261.00
TOTAL (Trade Date) :										82,096.94
TOTAL (AO, CXL, CRT) :										14,261.00
TOTAL (RUN DATE) / NFS:										96,357.94

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