



Daily Compliance Activity Report

Trade Date: 03/11/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	AXP	B	100,000	44.02	n/a	9-Mar	4,000.00	4.0
RBC CAPITAL MARKETS	040	BBBY	B	7,000	45.64	n/a	n/a	280.00	4.0
SAC CHICAGO ANDREW	031	BBBY	B	100,000	45.81	n/a	n/a	3,500.00	3.5
HAHN CAPITAL MANAGEMENT	084	BCO	S	71,729	29.62	n/a	n/a	3,586.45	5.0
GREEN ARROW DOUG	040	BC	B	10,000	23.51	n/a	n/a	500.00	5.0
VISIUM/BALY BOBBY	044	BYI	B	12,500	35.12	n/a	10-Mar	625.00	5.0
VISIUM/BALY BOBBY	044	CAKE	B	4,000	29.25	n/a	11-Feb	200.00	5.0
ARMATURE CAPITAL	041	CBI	S	30,000	35.36	n/a	n/a	1,200.00	4.0
BALYASNY ASSET MGMT	044	COH	SS	25,000	55.82	n/a	26-Jan	1,250.00	5.0
ST OF MICHIAN	047	COP	S	180,000	76.08	n/a	n/a	5,400.00	3.0
AVESTA CAP	229	CSX	B	50,000	74.48	n/a	n/a	1,500.00	3.0
M&I FUNDS	047	DAN	B	27,190	17.08	n/a	24-Feb	1,087.60	4.0
CATAPULT	040	DIS	B	25,000	42.59	n/a	n/a	1,000.00	4.0
SAC CAPITAL/M GRONET	030	DLTR	B	40,000	53.47	n/a	23-Feb	1,400.00	3.5
ROYCE TRADING	012	FINL	B	105,000	17.93	n/a	1-Mar	5,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	FINL	B	25,000	17.90	n/a	1-Mar	1,000.00	4.0
OZ MGMT	040	F	S	100,000	14.02	n/a	2-Mar	3,000.00	3.0
PHILADELPHIA FINANCIAL	033	GM	SS	42,813	31.40	n/a	2-Mar	1,712.52	4.0
GALT INVESTMENT	041	GPI	S	3,164	40.56	n/a	11-Feb	158.20	5.0
EMERSON CAPITAL MGMT	048	GT	S	14,312	14.92	n/a	n/a	429.36	3.0
MILLENNIUM-ANDEW	031	JOYG	B	10,000	90.76	n/a	3-Mar	600.00	6.0
OZ MGMT	040	LEA	B	10,251	102.49	n/a	2-Feb	307.53	3.0
CASTLEROCK	040	LXK	B	53,471	36.45	n/a	n/a	2,138.84	4.0
GEORGE WEISS	034	MCD	SS	13,000	76.82	n/a	8-Mar	520.00	4.0
PECONIC PARTNERS	036	MMI	SS	250,000	24.61	n/a	n/a	12,500.00	5.0
IVORY CAPITAL	034	MU	S	145,000	10.04	n/a	n/a	7,250.00	5.0
CATAPULT	040	NAV	B	6,000	64.30	n/a	10-Mar	240.00	4.0
ROSEDALE CAPITAL	046	NAV	S	5,000	65.04	n/a	10-Mar	250.00	5.0
SMITH MGMT LLC	029	NDN	B	153,000	19.65	n/a	11-Mar	4,590.00	3.0
NEUBERGER BERMAN	036	NEU	B	6,000	130.34	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	OXM	B	20,000	25.07	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	PFCB	B	10,000	47.35	n/a	16-Feb	500.00	5.0
ROYCE TRADING	012	PLCE	B	77,000	47.19	n/a	9-Mar	3,850.00	5.0
PARAMETER CAPITAL MGMT LLC044		PRE	S	20,000	74.95	n/a	n/a	800.00	4.0
AVESTA CAP	229	QCOM	B	25,000	53.80	n/a	n/a	750.00	3.0
ST OF MICHIAN	047	RDSA	B	200,000	68.61	n/a	n/a	6,000.00	3.0
MFP INVESTORS	085	RURL	B	7,500	13.82	n/a	n/a	375.00	5.0
SAC TRADING TOM LEDDY	035	SKS	SS	35,000	12.70	n/a	n/a	1,225.00	3.5
MERRILL ASSET/BLACKROCK	266	SM	B	5,700	70.30	n/a	n/a	228.00	4.0
GREEN ARROW DOUG	040	SONC	B	25,000	8.91	n/a	n/a	1,250.00	5.0
BNP PARIBAS SEC	040	TIF	B	15,000	61.32	n/a	n/a	750.00	5.0
TRUST CO/COWEN/CALF.	040	TWX	S	53,415	36.55	n/a	n/a	2,670.75	5.0
MERRILL ASSET/BLACKROCK	266	UBSI	S	22,100	26.90	n/a	n/a	884.00	4.0
MERRILL ASSET/BLACKROCK	266	UMBF	S	19,100	38.90	n/a	n/a	764.00	4.0
BUCK CAPITAL MGMT	001	VFC	B	32,462	97.17	n/a	23-Feb	973.86	3.0
S.A.C. HEALTHCARE BOBBY	044	VPHM	SS	15,000	18.86	n/a	n/a	525.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	WY	SS	45,000	24.22	n/a	4-Feb	2,250.00	5.0
SCHOTTENFELD ASSOC	041	WY	S	10,000	23.90	n/a	4-Feb	300.00	3.0
EMERSON CAPITAL MGMT	048	XOM	B	24,034	82.89	n/a	n/a	721.02	3.0
LEVIN CAPITAL STRATEGIES	012	XRT	SS	25,000	48.73	n/a	n/a	750.00	3.0
GEORGE WEISS	034	YUM	SS	20,000	52.46	n/a	3-Feb	800.00	4.0
KLEINHEINZ CAP PART	031	YUM	B	75,000	52.56	n/a	3-Feb	3,750.00	5.0
PARAMETER CAPITAL MGMT LLC	044	ZION	B	43,000	23.34	n/a	n/a	1,720.00	4.0
TOTAL (Trade Date) :								98,152.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/10	STRONG/WELLS CAP ANN F (SCHTWC200G)	047	F	S	722	14.06	n/a	2-Mar	28.88 4.0
AO,	03/10	STRONG/WELLS CAP ANN F (SCHTST9989)	047	F	S	7	14.06	n/a	2-Mar	0.28 4.0
AO,	03/10	STRONG/WELLS CAP ANN F (SCHTST9915)	047	F	S	132,400	14.06	n/a	2-Mar	5296.00 4.0
AO,	03/10	STRONG/WELLS CAP ANN F (SCHT484700)	047	F	S	55,216	14.06	n/a	2-Mar	2208.64 4.0
AO,	03/10	STRONG/WELLS CAP ANN F (SCHT921501)	047	F	S	7,297	14.06	n/a	2-Mar	291.88 4.0
AO,	03/10	STRONG/WELLS CAP ANN F (SCHT821101)	047	F	S	52,308	14.06	n/a	2-Mar	2092.32 4.0
AO,CXL	03/10	SAC CHICAGO ANDREW (SCASMERR)	031	MW	SS	75,000	27.89	n/a	n/a	2625.00 3.5
AO,CRT	03/10	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	MW	SS	75,000	27.89	n/a	n/a	2625.00 3.5
AO,CXL	03/10	RBC CAPITAL MARKETS (RBCCMAIN)	040	USG	B	5,000	16.39	n/a	27-Jan	200.00 4.0
AO,	03/10	RBC CAPITAL MARKETS (RBCCMAIN)	040	USG	B	5,000	16.40	n/a	27-Jan	200.00 4.0
AO,	03/10	NOMURA CAPITAL (NOMUSTRAT)	029	USO	B	10,800	41.24	n/a	n/a	324.00 3.0
AO,	03/10	NOMURA CAPITAL (NOMUBATT2)	029	USO	B	5,400	41.24	n/a	n/a	162.00 3.0
AO,	03/10	NOMURA CAPITAL (NOMUBSMAIN)	029	USO	B	8,800	41.24	n/a	n/a	264.00 3.0

TOTAL (AO, CXL, CRT) :**10,668.00**

TOTAL (Trade Date) :

98,152.13

TOTAL (AO, CXL, CRT) :

10,668.00

TOTAL (RUN DATE) / NFS:**108,820.13**

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