



## Daily Compliance Activity Report

Trade Date: 03/03/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	ABD	B	2,300	8.85	n/a	n/a	92.00	4.0
TALPION LLC	040	ABV	B	5,000	28.14	n/a	n/a	150.00	3.0
CAMBIAR CAP	046	ADM	S	46,655	37.14	n/a	24-Feb	1,866.20	4.0
~ Doug Rogers		APC	B	432	81.8860	n/a	25-Feb	0.00	0.0
~ Doug Rogers		APC	B	68	81.8500	n/a	25-Feb	0.00	0.0
SENATOR INVESTMENT GROUP	036	ATI	SS	30,000	66.23	n/a	n/a	900.00	3.0
LAGRANGE CAP ADV	048	AXL	B	20,000	13.47	n/a	9-Feb	1,000.00	5.0
BUCK CAPITAL MGMT	001	BID	S	10,000	49.52	n/a	n/a	300.00	3.0
SAXON WOODS ADVISORS	048	BUD	B	5,000	57.75	n/a	18-Feb	200.00	4.0
BNP PARIBAS SEC	040	CBRL	SS	25,000	49.24	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	CMI	B	942	101.92	n/a	1-Mar	37.68	4.0
BAIRD INVESTMENT	047	COH	B	6,350	55.34	n/a	26-Jan	317.50	5.0
SURSUM CAPITAL	215	COH	S	5,000	55.47	n/a	26-Jan	150.00	3.0
GREEN ARROW DOUG	040	COT	B	10,000	7.88	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	COV	S	13,200	52.45	n/a	n/a	528.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OSKIE CAPITAL MGMT	224	DAL	S	25,000	10.12	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>B</b>	<b>20,000</b>	<b>39.17</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>2.0</b>
SYSTEMATIC FINANCIAL MGT	035	DIS	B	94,650	43.92	n/a	n/a	2,839.50	3.0
TALPION LLC	040	DLTR	B	10,000	51.49	n/a	23-Feb	300.00	3.0
GREEN ARROW DOUG	040	EAT	S	58,000	23.82	n/a	26-Jan	2,320.00	4.0
LAGRANGE CAP ADV	048	ELY	B	20,000	7.66	n/a	n/a	1,000.00	5.0
TALPION LLC	040	EL	B	2,500	92.16	n/a	25-Feb	75.00	3.0
GREEN ARROW DOUG	040	EMN	B	5,000	97.22	n/a	n/a	250.00	5.0
TALPION LLC	040	ERTS	S	19,000	19.16	n/a	n/a	570.00	3.0
LAGRANGE CAP ADV	048	FII	S	20,000	27.70	n/a	2-Mar	1,000.00	5.0
BASIX	033	FL	S	27,400	19.58	n/a	3-Mar	822.00	3.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FL</b>	<b>B</b>	<b>3,500</b>	<b>19.98</b>	<b>n/a</b>	<b>3-Mar</b>	<b>210.00</b>	<b>6.0</b>
GREEN ARROW DOUG	040	FOE	B	10,000	15.47	n/a	n/a	500.00	5.0
<b>Õ Doug Rogers</b>		<b>FOR</b>	<b>S</b>	<b>100</b>	<b>19.1600</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>FOR</b>	<b>S</b>	<b>100</b>	<b>19.1700</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>FOR</b>	<b>S</b>	<b>1140</b>	<b>19.1680</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>FOR</b>	<b>S</b>	<b>200</b>	<b>19.1600</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Doug Rogers		FOR	S	290	19.1860	n/a	7-Feb	0.00	0.0
Õ	Doug Rogers		FOR	S	300	19.1800	n/a	7-Feb	0.00	0.0
	OZ MGMT	040	F	SS	75,000	14.70	n/a	2-Mar	2,250.00	3.0
	ROSEDALE CAPITAL	046	F	B	25,000	14.71	n/a	2-Mar	1,250.00	5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>40,000</b>	<b>40.22</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>3.0</b>
	S.A.C. CAP/ORENSTEIN	044	GE	S	250,000	20.82	n/a	n/a	8,750.00	3.5
	CYRUS CAPITAL	025	GM	SS	50,000	32.99	n/a	2-Mar	2,000.00	4.0
	KLEINHEINZ CAP PART	031	HBI	B	20,000	25.61	n/a	28-Jan	1,000.00	5.0
	GREEN ARROW DOUG	040	HNZ	SS	300	49.18	n/a	n/a	15.00	5.0
	BNP PARIBAS SEC	040	IP	B	20,000	27.26	n/a	3-Feb	1,000.00	5.0
	SURSUM CAPITAL	215	JAH	B	10,000	34.52	n/a	n/a	300.00	3.0
	SURSUM CAPITAL	215	JAH	SS	10,000	34.37	n/a	n/a	300.00	3.0
	CASTLE ARK	031	JOYG	B	152,220	96.77	n/a	3-Mar	7,611.00	5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>30,000</b>	<b>44.91</b>	<b>n/a</b>	<b>3-Mar</b>	<b>600.00</b>	<b>2.0</b>
	TRUST CO/COWEN/CALF.	040	KIM	B	46,400	18.33	n/a	n/a	1,856.00	4.0
	SAC TRADING TOM LEDDY	035	KR	SS	20,000	22.77	n/a	n/a	700.00	3.5
	TALPION LLC	040	KR	B	10,000	23.09	n/a	n/a	300.00	3.0
	THE JAY GOLDMAN	028	KSS	B	10,000	53.96	n/a	3-Mar	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	KSS	SS	10,000	54.52	n/a	3-Mar	400.00	4.0
ARMATURE CAPITAL	041	LEA	SS	15,000	105.31	n/a	2-Feb	600.00	4.0
OZ MGMT	040	LEA	B	15,000	104.72	n/a	2-Feb	450.00	3.0
OZ MGMT	040	LEA	S	47,000	105.24	n/a	2-Feb	1,410.00	3.0
LAGRANGE CAP ADV	048	LVS	B	15,000	43.50	n/a	1-Mar	750.00	5.0
THIRD COAST CAPITAL	035	MRX	B	10,000	31.64	n/a	n/a	500.00	5.0
FIRST NY SEC/CHRIS	041	M	B	15,000	23.64	n/a	3-Mar	750.00	5.0
SURVEYOR CAPITAL	041	NDAQ	SS	14,119	28.36	n/a	n/a	423.57	3.0
TALPION LLC	040	NKE	B	1,000	89.83	n/a	n/a	30.00	3.0
SENATOR INVESTMENT GROUP	036	PKI	B	50,000	28.02	n/a	n/a	1,500.00	3.0
ROARING BLUE LION MGMT	012	PLCE	B	13,000	44.60	n/a	14-Feb	520.00	4.0
Õ Nilsa Vazquez		RGC	S	500	14.3513	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	SHAW	B	25,000	40.85	n/a	n/a	1,000.00	4.0
GREEN ARROW DOUG	040	SJM	S	15,000	70.01	n/a	n/a	750.00	5.0
GREEN ARROW DOUG	040	SONC	B	7,800	8.95	n/a	n/a	390.00	5.0
NEWLAND CAPITAL MGT	025	SPW	B	1,300	78.31	n/a	n/a	52.00	4.0
NEWLAND CAPITAL MGT	025	SPW	S	3,518	80.90	n/a	n/a	140.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LITESPEED	028	SSCC	S	70,816	39.17	n/a	7-Jan	2,124.48	3.0
SURSUM CAPITAL	215	TGT	B	10,000	51.60	n/a	24-Feb	300.00	3.0
SURSUM CAPITAL	215	TIF	S	5,000	62.12	n/a	n/a	150.00	3.0
TALPION LLC	040	TIF	B	1,500	62.03	n/a	n/a	45.00	3.0
JP MORGAN VENTURES	046	TSO	SS	10,000	25.11	n/a	n/a	500.00	5.0
CASTLEROCK	040	VMW	B	39,149	85.28	n/a	n/a	1,565.96	4.0
NORTHWESTERN MUTUAL LIFE	047	VWO	B	2,776,000	47.37	n/a	n/a	55,520.00	2.0
GREEN ARROW DOUG	040	WEN	S	25,000	5.02	n/a	3-Mar	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	WEN	SS	12,000	5.07	n/a	3-Mar	360.00	3.0
CATAPULT	040	WTS	B	5,000	39.36	n/a	n/a	200.00	4.0
T. ROWE PRICE	033	WY	S	142,892	24.03	n/a	4-Feb	5,715.68	4.0
TALPION LLC	040	YUM	B	5,000	50.60	n/a	3-Feb	150.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>125,907.29</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/02	BROADARCH CAP/OLD NEWC (BROAJPM)	070	AME	S	270	42.20	n/a	n/a	10.80 4.0
AO,CXL	03/02	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	AME	S	730	42.20	n/a	n/a	29.20 4.0
AO,CRT	03/02	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	AME	S	1,000	42.20	n/a	n/a	40.00 4.0
AO,	03/02	BROADARCH CAP/OLD NEWC (BROAGSPB)	70	ECL	B	280	48.50	n/a	17-Feb	11.20 4.0
AO,CXL	03/02	BROADARCH CAP/OLD NEWC (BROAJPM)	070	ECL	B	270	48.50	n/a	17-Feb	10.80 4.0
AO,	03/02	BROADARCH CAP/OLD NEWC (BROAJPM)	070	ECL	B	720	48.50	n/a	17-Feb	28.80 4.0
AO,CXL	03/02	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	ECL	B	730	48.50	n/a	17-Feb	29.20 4.0
CRT	03/03	MA CAPITAL MGMT/MELLON ADV (MACAJEFF)	041	WEN	SS	12,000	5.07	n/a	3-Mar	360.00 3.0

**TOTAL (AO, CXL, CRT) :****360.00**

TOTAL (Trade Date) :

125,907.29

TOTAL (AO, CXL, CRT) :

360.00

**TOTAL (RUN DATE) / NFS :****126,267.29**

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