



Daily Compliance Activity Report

Trade Date: 03/23/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
CENTURION PARTNERS	041	AA	B	20,000	16.73	n/a	n/a	800.00 4.0
TROUBH PART	070	ADM	B	15,000	36.03	n/a	14-Mar	750.00 5.0
SURVEYOR CAPITAL	041	AXL	B	20,000	12.71	n/a	9-Feb	600.00 3.0
WAGONHOUND/NIC	048	BAC	S	75,000	13.51	n/a	21-Mar	3,000.00 4.0
IMPALA ASSET MMT	012	BKE	SS	5,000	35.60	n/a	n/a	200.00 4.0
TALPION LLC	040	BYI	S	15,000	35.07	n/a	21-Mar	450.00 3.0
BALLAST CAP	040	CAG	B	10,000	23.01	n/a	n/a	500.00 5.0
EATON VANCE MGMT	048	CAT	S	385,918	106.62	n/a	28-Jan	11,577.54 3.0
PILOT ADV	048	COF	SS	11,000	50.45	n/a	22-Mar	220.00 2.0
MERRILL ASSET/BLACKROCK	266	CYN	S	7,900	55.54	n/a	n/a	316.00 4.0
BUCK CAPITAL MGMT	001	DDS	B	40,000	39.16	n/a	n/a	1,200.00 3.0
IMPALA ASSET MMT	012	FBN	S	20,000	4.29	n/a	n/a	400.00 2.0
ROYCE TRADING	012	FINL	B	103,382	17.47	n/a	18-Mar	5,169.10 5.0
OZ MGMT	040	F	S	495,549	14.37	n/a	2-Mar	14,866.47 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DENVER INST. ADV	046	GES	B	140,000	37.93	n/a	17-Mar	5,600.00	4.0
AMBER CAPITAL	046	GIS	B	111,000	36.07	n/a	n/a	4,440.00	4.0
TROUBH PART	070	GM	B	25,000	30.75	n/a	2-Mar	1,250.00	5.0
IMPALA ASSET MMT	012	GT	SS	5,000	14.54	n/a	n/a	250.00	5.0
WAGONHOUND/NIC	048	HIIWI	S	14,776	0.00	n/a	n/a	591.04	4.0
BALYASNY ASSET MGMT	044	HOT	S	20,000	56.62	n/a	23-Feb	1,000.00	5.0
CATAPULT	040	IP	B	10,000	26.83	n/a	17-Mar	400.00	4.0
IMPALA ASSET MMT	012	JBLU	S	20,000	5.76	n/a	n/a	400.00	2.0
OSKIE CAPITAL MGMT	224	LEA	S	5,000	48.01	n/a	21-Mar	250.00	5.0
OSKIE CAPITAL MGMT	224	LO	S	10,000	94.35	n/a	n/a	500.00	5.0
OSKIE CAPITAL MGMT	224	LYB	S	5,000	38.76	n/a	n/a	250.00	5.0
DENVER INST. ADV	046	MFB	B	30,000	27.15	n/a	n/a	1,200.00	4.0
M&I FUNDS	047	MMR	S	78,790	16.71	n/a	n/a	3,151.60	4.0
DELTEC ASSET MGMT.	040	MTW	S	15,000	20.71	n/a	2-Feb	750.00	5.0
SMITH MGMT LLC	029	NDN	B	25,000	19.57	n/a	11-Mar	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	PLCE	B	33,200	47.47	n/a	9-Mar	1,660.00	5.0
TALPION LLC	040	PLXS	SS	4,000	31.67	n/a	n/a	120.00	3.0
SAC TRADING TOM LEDDY	035	PSS	SS	40,000	20.71	n/a	n/a	1,400.00	3.5
SONTERRA CAP	041	RGC	SS	75,000	13.47	n/a	n/a	3,000.00	4.0
SURVEYOR CAPITAL	041	SAI	B	44,500	16.97	n/a	n/a	1,335.00	3.0
SANDLER CAPITAL	028	SNI	S	50,000	50.15	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	266	THG	S	5,800	45.20	n/a	n/a	232.00	4.0
IMPALA ASSET MMT	012	TIF	S	3,000	58.68	n/a	n/a	150.00	5.0
IRIDIAN ASSET MGMT.	036	TYC	B	9,870	44.03	n/a	28-Jan	493.50	5.0
IMPALA ASSET MMT	012	UTIW	S	10,500	18.76	n/a	n/a	420.00	4.0
OSKIE CAPITAL MGMT	224	VC	S	2,000	62.96	n/a	n/a	100.00	5.0
SENATOR INVESTMENT GROUP	036	XLE	B	40,000	77.61	n/a	n/a	1,200.00	3.0
IMPALA ASSET MMT	012	XRT	SS	4,000	48.06	n/a	n/a	200.00	5.0
TOTAL (Trade Date) :								74,142.25	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/15	MERRILL ASSET/BLACKROCK (MERR22)	266	MNKD	B	31,000	3.71	n/a	n/a	930.00 3.0
AO,	03/15	MERRILL ASSET/BLACKROCK (MERR22)	266	MNKD	B	31,000	3.71	n/a	n/a	1240.00 4.0
AO,CXL	03/15	MERRILL ASSET/BLACKROCK (MERR700)	266	MNKD	B	129,000	3.71	n/a	n/a	3870.00 3.0
AO,	03/15	MERRILL ASSET/BLACKROCK (MERR700)	266	MNKD	B	129,000	3.71	n/a	n/a	5160.00 4.0

TOTAL (AO, CXL, CRT) :**1,600.00**

TOTAL (Trade Date) :

74,142.25

TOTAL (AO, CXL, CRT) :

1,600.00

TOTAL (RUN DATE) / NFS:**75,742.25**

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