



Daily Compliance Activity Report

Trade Date: 04/18/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ May Tang		AAPL	B	50324	6400	n/a	n/a	0.00	0.0
PZENA INV ADV	044	ABT	B	21,250	51.34	n/a	n/a	743.75	3.5
TALPION LLC	040	ABV	S	20,000	29.71	n/a	n/a	800.00	4.0
WAGONHOUND/NIC	048	AXE	B	2,110	70.19	n/a	24-Mar	84.40	4.0
BUCK CAPITAL MGMT	001	BID	B	20,000	47.99	n/a	n/a	600.00	3.0
FARALLON CAP MGMT	040	BMC	B	152,081	49.06	n/a	n/a	6,083.24	4.0
CLOVIS CAPITAL	012	BMS	SS	50,000	31.57	n/a	n/a	1,500.00	3.0
SCOPUS FUND	041	CBS	B	25,000	24.02	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	40,000	14.49	n/a	5-Feb	1,200.00	3.0
Õ Nilsa Vazquez		CRUS	B	500	15.2100	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	CSCO	B	10,000	16.70	n/a	n/a	500.00	5.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	47,100	16.30	n/a	n/a	2,355.00	5.0
CASTLEROCK	040	DNDN	B	76,456	41.61	n/a	n/a	3,058.24	4.0
ENTRUST CAPITAL	040	EBAY	B	25,300	30.58	n/a	n/a	1,265.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	FINL	B	22,000	20.70	n/a	25-Mar	1,100.00	5.0
SCOPUS FUND	041	FL	B	40,000	20.98	n/a	3-Mar	1,600.00	4.0
MELLON/BANK OF NEW YORK	046	FNFG	B	149,740	13.70	n/a	n/a	5,989.60	4.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	39.13	n/a	n/a	600.00	3.0
ROTHSCHILD ASSET	040	GE	B	143,281	19.76	n/a	n/a	5,731.24	4.0
PHILADELPHIA FINANCIAL	033	GM	C	42,489	30.12	n/a	13-Apr	1,699.56	4.0
CAMBIAR CAP	046	HBI	B	150,000	27.87	n/a	14-Apr	6,000.00	4.0
M&I FUNDS	047	INTC	S	46,034	19.53	n/a	n/a	1,841.36	4.0
TALPION LLC	040	JCP	SS	3,000	37.00	n/a	8-Apr	120.00	4.0
CAXTON PART	040	JPM	B	41,385	43.90	n/a	13-Apr	1,448.50	3.5
TALPION LLC	040	KMB	B	3,500	65.54	n/a	18-Feb	140.00	4.0
PIONEER PATH	028	KO	SS	25,000	67.28	n/a	18-Feb	750.00	3.0
SAC TRADING TOM LEDDY	035	MCD	B	25,000	77.00	n/a	15-Apr	875.00	3.5
DELTEC ASSET MGMT.	040	MWA	B	14,000	4.01	n/a	n/a	420.00	3.0
WAGONHOUND/NIC	048	MWV	B	23,598	31.37	n/a	14-Apr	943.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	OMX	B	40,000	11.98	n/a	n/a	2,000.00	5.0
LONG OAR GLOBAL INV	040	PCX	S	65,800	23.45	n/a	n/a	2,632.00	4.0
PIONEER PATH	028	PEP	B	20,000	67.15	n/a	n/a	600.00	3.0
BACKBAY	041	PKG	SS	25,000	27.67	n/a	14-Apr	1,250.00	5.0
BNP PARIBAS SEC	040	PKG	SS	20,000	27.54	n/a	14-Apr	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	25,000	27.88	n/a	14-Apr	1,250.00	5.0
FIRST NY SEC/CHRIS	041	PKG	SS	10,000	27.86	n/a	14-Apr	500.00	5.0
ROYCE TRADING	012	PLCE	B	19,500	51.90	n/a	9-Mar	975.00	5.0
BRANDWINE	028	PLXS	B	27,106	32.75	n/a	n/a	1,084.24	4.0
SCOPUS FUND	041	SPAR	S	16,000	6.01	n/a	n/a	640.00	4.0
FIRST NEW YORK NICK	029	S	S	10,000	4.73	n/a	n/a	500.00	5.0
TALPION LLC	040	TAP	B	2,500	47.67	n/a	n/a	100.00	4.0
DELTEC ASSET MGMT.	040	TEX	B	11,000	31.45	n/a	11-Feb	550.00	5.0
MERRILL ASSET/BLACKROCK	266	TTI	B	2,320	13.98	n/a	n/a	92.80	4.0
FARALLON CAP MGMT	040	WFC	B	190,000	29.47	n/a	13-Apr	7,600.00	4.0
TOTAL (Trade Date) :								69,222.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/15	SCOPUS FUND (SCOPUBS)	041	FINL	S	9,100	21.00	n/a	25-Mar	364.00	4.0
AO,CRT	04/15	SCOPUS FUND (SCOPUBS)	041	FINL	S	8,650	21.00	n/a	25-Mar	346.00	4.0
AO,CXL	04/15	SCOPUS FUND (SCOPGS)	041	FINL	S	900	21.00	n/a	25-Mar	36.00	4.0
AO,CRT	04/15	SCOPUS FUND (SCOPGS)	041	FINL	S	1,350	21.00	n/a	25-Mar	54.00	4.0
AO,	04/15	CAMBIAR CAP (CAMB1179)	046	HBI	B	400	27.89	n/a	14-Apr	16.00	4.0
AO,	04/15	CAMBIAR CAP (CAMB1178)	046	HBI	B	850	27.89	n/a	14-Apr	34.00	4.0
AO,	04/15	CAMBIAR CAP (CAMB1166)	046	HBI	B	520	27.89	n/a	14-Apr	20.80	4.0
AO,	04/15	CAMBIAR CAP (CAMB1152)	046	HBI	B	190	27.89	n/a	14-Apr	7.60	4.0
AO,	04/15	CAMBIAR CAP (CAMB1160)	046	HBI	B	250	27.89	n/a	14-Apr	10.00	4.0
AO,	04/15	CAMBIAR CAP (CAMB1143)	046	HBI	B	16,700	27.89	n/a	14-Apr	668.00	4.0
AO,	04/15	CAMBIAR CAP (CAMB412)	046	HBI	B	81,000	27.89	n/a	14-Apr	3240.00	4.0
AO,	04/15	CAMBIAR CAP (CAMB600)	046	HBI	B	90	27.89	n/a	14-Apr	3.60	4.0
AO,	04/15	COLUMBUS CIRCLE (COLC3050)	036	ICO	S	8,847	10.77	n/a	n/a	353.88	4.0
AO,CXL	04/14	STANDARD PACIFIC CAPITAL (SPACUBS)	040	OI	B	93,161	29.88	n/a	n/a	3726.44	4.0
AO,	04/14	STANDARD PACIFIC CAPITAL (SPACUBS)	040	OI	B	93,161	29.88	n/a	n/a	4658.05	5.0
TOTAL (AO, CXL, CRT) :										5,285.49	

TOTAL (Trade Date) :	69,222.85
TOTAL (AO, CXL, CRT) :	5,285.49

TOTAL (RUN DATE) / NFS:	74,508.34
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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