



Daily Compliance Activity Report

Trade Date: 04/15/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	AEO	SS	49,000	15.70	n/a	10-Mar	1,470.00	3.0
BALLAST CAP	040	ATVI	B	20,900	11.17	n/a	n/a	1,045.00	5.0
RBC CAPITAL MARKETS	040	BA	B	5,000	72.57	n/a	15-Apr	200.00	4.0
MILLENNIUM-ANDEW	031	BPL	S	10,000	62.50	n/a	n/a	600.00	6.0
RBC CAPITAL MARKETS	040	CAT	B	5,000	107.76	n/a	12-Apr	200.00	4.0
FARALLON CAP MGMT	040	CHRW	SS	11,019	76.73	n/a	n/a	330.57	3.0
RBC CAPITAL MARKETS	040	CMI	SS	5,000	104.67	n/a	1-Mar	200.00	4.0
CRAMER ROSENTHAL/SCOTT	012	CYT	B	32,600	53.67	n/a	n/a	1,304.00	4.0
STATE TEACHERS RET SYS	047	DOW	B	30,000	37.38	n/a	15-Apr	1,500.00	5.0
STATE TEACHERS RET SYS	047	EQR	S	5,000	56.61	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	FHN	SS	75,000	10.91	n/a	n/a	3,000.00	4.0
ROYCE TRADING	012	FINL	B	10,000	20.93	n/a	25-Mar	500.00	5.0
SCOPUS FUND	041	FINL	S	10,000	21.00	n/a	25-Mar	400.00	4.0
RBC CAPITAL MARKETS	040	GD	B	5,000	71.97	n/a	15-Apr	200.00	4.0
NEW JERSEY DIV OF INV.	030	GE	B	200,000	20.20	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	033	GM	SS	12,500	30.37	n/a	13-Apr	500.00	4.0
STATE TEACHERS RET SYS	047	HIW	S	10,000	34.51	n/a	n/a	500.00	5.0
BALLAST CAP	040	HNZ	B	13,000	50.26	n/a	n/a	650.00	5.0
RBC CAPITAL MARKETS	040	HST	S	15,000	16.87	n/a	23-Feb	600.00	4.0
BALYASNY ASSET MGMT	044	IP	SS	10,000	29.82	n/a	14-Apr	500.00	5.0
PAULSON & CO INC	041	IP	S	500,000	29.91	n/a	14-Apr	15,000.00	3.0
RIDGECREST INV MGMT LLC	028	IP	B	10,000	30.19	n/a	14-Apr	500.00	5.0
STATE TEACHERS RET SYS	047	KIM	S	25,000	17.90	n/a	n/a	1,250.00	5.0
LOMBARDIA CAP MGMT	084	KND	B	16,900	23.86	n/a	n/a	676.00	4.0
CAXTON PART	040	KSS	B	22,104	53.70	n/a	8-Apr	773.67	3.5
RBC CAPITAL MARKETS	040	LPX	B	10,000	9.29	n/a	14-Apr	400.00	4.0
MERRILL ASSET/BLACKROCK	266	MAC	S	77,000	49.50	n/a	n/a	3,080.00	4.0
SURVEYOR CAPITAL	041	MAT	B	150,000	26.87	n/a	n/a	4,500.00	3.0
KENNEDY CAPITAL	046	MOV	S	13,001	17.00	n/a	n/a	520.04	4.0
IVORY CAPITAL	034	MSFT	B	19,900	25.33	n/a	n/a	995.00	5.0
IVORY CAPITAL	034	MU	B	135,000	10.52	n/a	n/a	6,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BURL CAPITAL LLC	048	MWV	B	11,000	31.51	n/a	14-Apr	440.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	MWV	B	10,000	31.54		n/a 14-Apr	500.00	5.0
LIONEYE CAPITAL	040	NDN	B	7,500	20.03	n/a	15-Apr	300.00	4.0
STATE TEACHERS RET SYS	047	NHP	S	5,000	43.15	n/a	n/a	250.00	5.0
DE SHAW	070	NUS	B	40,000	29.87	n/a	n/a	1,200.00	3.0
BNP PARIBAS SEC	040	PKG	SS	20,000	28.21	n/a	14-Apr	1,000.00	5.0
BURL CAPITAL LLC	048	PKG	SS	12,000	28.16	n/a	14-Apr	480.00	4.0
TRELLUS PARTNERS LP	028	PKG	SS	50,000	28.32	n/a	14-Apr	2,500.00	5.0
ROYCE TRADING	012	PLCE	B	1,400	52.62	n/a	9-Mar	70.00	5.0
BRANDWINE	028	PLXS	B	23,163	33.16	n/a	n/a	926.52	4.0
SCOPIA CAPITAL	048	PXP	B	50,000	34.49	n/a	n/a	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	RKT	B	2,000	69.10	n/a	n/a	100.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	RKT	S	2,000	69.63	n/a	n/a	100.00	5.0
BALLAST CAP	040	RSH	S	15,000	15.75	n/a	n/a	750.00	5.0
AVESTA CAP	229	SLB	S	75,000	86.61	n/a	n/a	2,250.00	3.0
SAC ADV/LEE/PECK	044	SWC	B	24,700	20.95	n/a	n/a	864.50	3.5
MILLENNIUM-ANDEW	031	TGP	S	30,000	37.77	n/a	n/a	1,800.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	TTI	B	6,780	14.08	n/a	n/a	271.20	4.0
KACELA CAPITAL	034	WAG	B	35,000	42.05	n/a	n/a	1,400.00	4.0
RAINIER INV MGMT	035	WTR	S	63,740	22.16	n/a	n/a	2,549.60	4.0
BMO NESBITT BURNS	041	WY	B	4,000	22.60	n/a	14-Apr	200.00	5.0
GRYPHON CAPITAL MGMT	084	WY	SS	125,000	22.69	n/a	14-Apr	3,750.00	3.0
BMO NESBITT BURNS	041	XLB	S	3,000	39.29	n/a	n/a	150.00	5.0
TOTAL (Trade Date):								80,246.10	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/14	STELLIAM INV ADV (STLLGSBULK)	034	LOGI	B	25,000	13.73	n/a	n/a	1250.00	5.0
AO,CRT	04/14	STELLIAM INV ADV (STLLMSEXEC)	034	LOGI	B	25,000	13.73	n/a	n/a	1250.00	5.0
AO,CXL	04/14	SCOPUS FUND (SCOPGS)	041	LOW	S	2,250	26.90	n/a	23-Feb	90.00	4.0
AO,CRT	04/14	SCOPUS FUND (SCOPGS)	041	LOW	S	3,375	26.90	n/a	23-Feb	135.00	4.0
AO,CXL	04/14	SCOPUS FUND (SCOPUBS)	041	LOW	S	22,750	26.90	n/a	23-Feb	910.00	4.0
AO,CRT	04/14	SCOPUS FUND (SCOPUBS)	041	LOW	S	21,625	26.90	n/a	23-Feb	865.00	4.0
AO,	04/14	KENNEDY CAPITAL (KENN738)	046	MOV	S	41	17.00	n/a	n/a	1.64	4.0
AO,	04/14	KENNEDY CAPITAL (KENN755)	046	MOV	S	6	17.00	n/a	n/a	0.24	4.0
AO,	04/14	KENNEDY CAPITAL (KENN750)	046	MOV	S	246	17.00	n/a	n/a	9.84	4.0
AO,	04/14	KENNEDY CAPITAL (KENN725)	046	MOV	S	669	17.00	n/a	n/a	26.76	4.0
AO,	04/14	KENNEDY CAPITAL (KENN473)	046	MOV	S	27	17.00	n/a	n/a	1.08	4.0
AO,	04/14	KENNEDY CAPITAL (KENN458)	046	MOV	S	193	17.00	n/a	n/a	7.72	4.0
AO,	04/14	KENNEDY CAPITAL (KENN428)	046	MOV	S	409	17.00	n/a	n/a	16.36	4.0
AO,	04/14	KENNEDY CAPITAL (KENN378)	046	MOV	S	17	17.00	n/a	n/a	0.68	4.0
AO,	04/14	KENNEDY CAPITAL (KENN973)	046	MOV	S	2	17.00	n/a	n/a	0.08	4.0
AO,	04/14	KENNEDY CAPITAL (KENN372)	046	MOV	S	24	17.00	n/a	n/a	0.96	4.0
AO,	04/14	KENNEDY CAPITAL (KENN977)	046	MOV	S	16	17.00	n/a	n/a	0.64	4.0
AO,	04/14	KENNEDY CAPITAL (KENN368)	046	MOV	S	132	17.00	n/a	n/a	5.28	4.0
AO,	04/14	KENNEDY CAPITAL (KENN966)	046	MOV	S	24	17.00	n/a	n/a	0.96	4.0
AO,	04/14	KENNEDY CAPITAL (KENN366)	046	MOV	S	35	17.00	n/a	n/a	1.40	4.0
AO,	04/14	KENNEDY CAPITAL (KENN979)	046	MOV	S	28	17.00	n/a	n/a	1.12	4.0
AO,	04/14	KENNEDY CAPITAL (KENN353)	046	MOV	S	10	17.00	n/a	n/a	0.40	4.0
AO,	04/14	KENNEDY CAPITAL (KENN965)	046	MOV	S	255	17.00	n/a	n/a	10.20	4.0
AO,	04/14	KENNEDY CAPITAL (KENN315)	046	MOV	S	162	17.00	n/a	n/a	6.48	4.0
AO,	04/14	KENNEDY CAPITAL (KENN952)	046	MOV	S	16	17.00	n/a	n/a	0.64	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/14	KENNEDY CAPITAL (KENN951)	046	MOV	S	262	17.00	n/a	n/a	10.48 4.0
AO,	04/14	KENNEDY CAPITAL (KENN934)	046	MOV	S	32	17.00	n/a	n/a	1.28 4.0
AO,	04/14	KENNEDY CAPITAL (KENN932)	046	MOV	S	34	17.00	n/a	n/a	1.36 4.0
AO,	04/14	KENNEDY CAPITAL (KENN894)	046	MOV	S	30	17.00	n/a	n/a	1.20 4.0
AO,	04/14	KENNEDY CAPITAL (KENN857)	046	MOV	S	21	17.00	n/a	n/a	0.84 4.0
AO,	04/14	KENNEDY CAPITAL (KENN795)	046	MOV	S	28	17.00	n/a	n/a	1.12 4.0
AO,	04/14	KENNEDY CAPITAL (KENN855)	046	MOV	S	128	17.00	n/a	n/a	5.12 4.0
AO,	04/14	KENNEDY CAPITAL (KENN854)	046	MOV	S	14	17.00	n/a	n/a	0.56 4.0
AO,	04/14	KENNEDY CAPITAL (KENN850)	046	MOV	S	16	17.00	n/a	n/a	0.64 4.0
AO,	04/14	KENNEDY CAPITAL (KENN849)	046	MOV	S	12	17.00	n/a	n/a	0.48 4.0
AO,	04/14	KENNEDY CAPITAL (KENN844)	046	MOV	S	6	17.00	n/a	n/a	0.24 4.0
AO,	04/14	KENNEDY CAPITAL (KENN833)	046	MOV	S	19	17.00	n/a	n/a	0.76 4.0
AO,	04/14	KENNEDY CAPITAL (KENN797)	046	MOV	S	97	17.00	n/a	n/a	3.88 4.0
AO,	04/14	KENNEDY CAPITAL (KENN782)	046	MOV	S	17	17.00	n/a	n/a	0.68 4.0
AO,	04/14	KENNEDY CAPITAL (KENN781)	046	MOV	S	68	17.00	n/a	n/a	2.72 4.0
AO,	04/14	KENNEDY CAPITAL (KENN780)	046	MOV	S	31	17.00	n/a	n/a	1.24 4.0
AO,	04/14	KENNEDY CAPITAL (KENN767)	046	MOV	S	222	17.00	n/a	n/a	8.88 4.0
AO,	04/14	KENNEDY CAPITAL (KENN761)	046	MOV	S	11	17.00	n/a	n/a	0.44 4.0
AO,	04/14	KENNEDY CAPITAL (KENN754)	046	MOV	S	24	17.00	n/a	n/a	0.96 4.0
AO,	04/14	STANDARD PACIFIC CAPITAL (SPACUBS)	040	OI	B	93,161	29.88	n/a	n/a	3726.44 4.0

TOTAL (AO, CXL, CRT) :

3,861.80

TOTAL (Trade Date):

80,246.10

TOTAL (AO, CXL, CRT):

3,861.80

TOTAL (RUN DATE) / NFS:

84,107.90

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