



## Daily Compliance Activity Report

Trade Date: 04/06/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
HALCYON LLC	041	ACL	S	50,000	167.55	n/a	4-Apr	1,500.00 3.0
SCOPUS FUND	041	ASNA	S	33,217	33.11	n/a	n/a	1,328.68 4.0
STRONG/MARK GRONET	030	ASTI	S	26,690	1.69	n/a	n/a	266.90 1.0
WAGONHOUND/NIC	048	AXE	B	7,887	71.43	n/a	24-Mar	315.48 4.0
CAXTON PART	040	AXP	B	12,608	46.11	n/a	6-Apr	441.30 3.5
MERRILL ASSET/BLACKROCK	266	BOH	B	6,600	48.06	n/a	n/a	264.00 4.0
NEWLAND CAPITAL MGT	025	CGI	S	20,000	16.68	n/a	n/a	800.00 4.0
WAGONHOUND/NIC	048	CMI	S	8,545	110.25	n/a	1-Mar	341.80 4.0
CAXTON PART	040	CNK	B	10,000	20.55	n/a	n/a	350.01 3.5
ROSEDALE CAPITAL	046	COV	S	10,000	52.67	n/a	n/a	500.00 5.0
UNICOM CAPITAL	033	CSCO	B	25,000	17.96	n/a	n/a	1,250.00 5.0
L.R.BURTSCHY & CO	029	C	S	50,000	4.60	n/a	28-Mar	3,000.00 6.0
MERRILL ASSET/BLACKROCK	266	C	B	1,000,000	4.55	n/a	28-Mar	30,000.00 3.0
PLATTE RIVER CAPITAL	240	C	S	298,761	4.62	n/a	28-Mar	8,962.83 3.0
KLEINHEINZ CAP PART	031	DDS	B	55,000	42.63	n/a	n/a	2,750.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	END	S	25,000	13.97	n/a	n/a	1,000.00	4.0
CAXTON PART	040	FCX	S	19,611	56.94	n/a	n/a	686.41	3.5
DSM CAPITAL PARTNERS	085	FDO	B	14,600	52.02	n/a	31-Mar	730.00	5.0
ROYCE TRADING	012	FINL	B	12,800	20.20	n/a	25-Mar	640.00	5.0
ISLE RIDGE PARTNERS	041	F	B	62,500	15.79	n/a	4-Apr	2,500.00	4.0
OZ MGMT	040	F	SS	175,000	15.73	n/a	4-Apr	5,250.00	3.0
CATAPULT	040	GE	B	100,000	20.43	n/a	n/a	5,000.00	5.0
BALYASNY ASSET MGMT	044	GNTX	C	10,000	29.91	n/a	31-Jan	500.00	5.0
SENATOR INVESTMENT GROUP	036	GTI	B	75,630	20.98	n/a	n/a	2,268.90	3.0
STATE TEACHERS RET SYS	047	HR	S	10,000	22.88	n/a	n/a	500.00	5.0
SAC CHICAGO ANDREW	031	JWN	B	71,783	45.56	n/a	31-Mar	2,512.41	3.5
SONTERRA CAP	041	LINTA	B	100,000	16.79	n/a	n/a	4,000.00	4.0
CATAPULT	040	LPX	SS	10,000	10.00	n/a	6-Apr	400.00	4.0
SCOPUS FUND	041	LPX	B	50,000	9.90	n/a	6-Apr	2,000.00	4.0
TRELLUS PARTNERS LP	028	LPX	C	50,000	10.00	n/a	6-Apr	2,500.00	5.0
RBC CAPITAL MARKETS	040	MCD	B	15,000	76.74	n/a	8-Mar	600.00	4.0
LATEFF MGMT	035	MMM	S	1,250	93.50	n/a	28-Mar	125.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	070	MSFT	B	25,000	26.05	n/a	n/a	1,250.00	5.0
<b>Õ Abram Chappel</b>		<b>MTH</b>	<b>B</b>	<b>205</b>	<b>24.5356</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MA CAPITAL MGMT/MELLON ADV041		MWV	S	3,000	32.01	n/a	1-Apr	150.00	5.0
ASCEND PARTNERS	033	M	S	47,800	25.26	n/a	31-Mar	2,390.00	5.0
SMITH MGMT LLC	029	NDN	B	92,800	19.74	n/a	31-Mar	4,640.00	5.0
MILLRACE FUND LP	028	NOA	SS	10,000	12.06	n/a	n/a	400.00	4.0
CAXTON PART	040	OXY	S	13,065	101.46	n/a	n/a	457.29	3.5
BMO NESBITT BURNS	041	PKG	SS	23,500	28.81	n/a	17-Mar	1,175.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	25,000	28.57	n/a	17-Mar	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV041		PKG	SS	5,000	28.62	n/a	17-Mar	250.00	5.0
SCHOTTENFELD ASSOC	041	PKG	SS	10,000	28.65	n/a	17-Mar	300.00	3.0
CROWN CAP MGMT	084	PLCE	B	40,000	52.84	n/a	9-Mar	2,000.00	5.0
SAC TRADING TOM LEDDY	035	PLCE	B	15,000	53.24	n/a	9-Mar	525.00	3.5
SUN AMERICA ASSET MGMT	030	SIG	B	1,900	46.02	n/a	n/a	76.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKS</b>	<b>B</b>	<b>50,000</b>	<b>11.98</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>3.0</b>
AMBER CAPITAL	046	SNI	B	42,500	50.87	n/a	n/a	1,700.00	4.0
<b>Õ Abram Chappel</b>		<b>SPF</b>	<b>B</b>	<b>1375</b>	<b>3.6450</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	SPN	S	65,900	40.11	n/a	n/a	2,636.00	4.0
SUN AMERICA ASSET MGMT	030	STEC	B	1,100	20.34	n/a	n/a	44.00	4.0
SUN AMERICA ASSET MGMT	030	STL	B	2,100	10.57	n/a	n/a	84.00	4.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>TEL</b>	<b>S</b>	<b>2,500</b>	<b>34.40</b>	<b>n/a</b>	<b>n/a</b>	<b>100.00</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	025	TEL	B	10,000	33.56	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	TESO	S	2,500	22.33	n/a	n/a	100.00	4.0
RBC CAPITAL MARKETS	040	TGT	B	10,000	51.06	n/a	31-Mar	400.00	4.0
BMO NESBITT BURNS	041	TIN	B	32,000	23.74	n/a	17-Mar	1,600.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	50,000	23.60	n/a	17-Mar	2,500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	B	6,000	23.83	n/a	17-Mar	300.00	5.0
SAC TRADING TOM LEDDY	035	TJX	B	117,800	51.50	n/a	31-Mar	4,123.00	3.5
MERRILL ASSET/BLACKROCK	266	TTI	B	6,600	15.15	n/a	n/a	264.00	4.0
RBC CAPITAL MARKETS	040	URBN	SS	15,000	31.10	n/a	n/a	600.00	4.0
BASSWOOD PARTNERS	267	VCBI	B	25,100	5.97	n/a	n/a	1,004.00	4.0
SUN AMERICA ASSET MGMT	030	VG	B	13,700	4.54	n/a	n/a	411.00	3.0
HAHN CAPITAL MANAGEMENT	084	WAB	S	16,524	69.25	n/a	n/a	826.20	5.0
NEWLAND CAPITAL MGT	025	WAB	B	7,500	69.26	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	WTR	S	38,000	23.10	n/a	n/a	1,520.00	4.0
CATAPULT	040	WY	SS	25,000	24.49	n/a	4-Feb	1,000.00	4.0
COHE & STEERS	041	WY	S	43,135	24.12	n/a	4-Feb	1,294.05	3.0
SIGMA CAP BOBBY	044	WY	B	80,000	24.19	n/a	4-Feb	2,800.00	3.5
GREEN ARROW DOUG	040	XRT	B	25,000	52.17	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>124,903.26</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/05	COLUMBUS CIRCLE (COLC3050)	036	ARUN	S	11,584	31.75	n/a	n/a	463.36 4.0
AO,CXL	04/01	AMBER CAPITAL (AMBRAMFGS)	046	C	B	33,400	4.46	n/a	28-Mar	1336.00 4.0
AO,CRT	04/01	AMBER CAPITAL (AMBRAMFGS)	046	C	B	33,400	4.46	n/a	28-Mar	1002.00 3.0
AO,CXL	04/04	PERRY PARTNERS (PERRGOLDMA)	085	F	S	71,216	15.63	n/a	4-Apr	3560.80 5.0
AO,CRT	04/04	PERRY PARTNERS (PERRGOLDMA)	085	F	S	71,216	15.63	n/a	4-Apr	2848.64 4.0
CRT	04/06	CROWN CAP MGMT (CRCAGSPB)	084	PLCE	B	40,000	52.84	n/a	9-Mar	2000.00 5.0
AO,CXL	04/05	BALLAST CAP (BALLJPMPB)	040	RGC	B	12,200	14.17	n/a	n/a	0.71 0.0
AO,CRT	04/05	BALLAST CAP (BALLJPMPB)	040	RGC	B	12,200	14.17	n/a	n/a	610.00 5.0

**TOTAL (AO, CXL, CRT) :****2,026.49**

TOTAL (Trade Date) :

124,903.26

TOTAL (AO, CXL, CRT) :

2,026.49

**TOTAL (RUN DATE) / NFS:****126,929.75**

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