



Daily Compliance Activity Report

Trade Date: 03/10/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AGCO	S	10,000	51.66	n/a	9-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	50,000	53.79	n/a	17-Feb	1,500.00	3.0
BNP PARIBAS SEC	040	ANN	B	25,000	24.18	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	24.95	n/a	4-Feb	1,200.00	3.0
SURSUM CAPITAL	215	ARO	B	5,000	24.70	n/a	4-Feb	150.00	3.0
SUN AMERICA ASSET MGMT	030	ASML	S	4,800	41.22	n/a	n/a	192.00	4.0
IRIDIAN ASSET MGMT.	036	ATML	B	131,200	11.84	n/a	n/a	6,560.00	5.0
LEVIN CAPITAL STRATEGIES	012	AVP	B	50,000	27.41	n/a	18-Feb	1,500.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	30,000	13.57	n/a	9-Feb	1,500.00	5.0
SUN AMERICA ASSET MGMT	030	BTU	S	7,900	62.72	n/a	n/a	316.00	4.0
WHITE PINE CAPITAL	030	BUD	B	12,800	57.27	n/a	4-Mar	640.00	5.0
GREEN ARROW DOUG	040	BYI	B	15,000	35.48	n/a	10-Mar	750.00	5.0
1798 CAP/LOMBARD ASSET	040	CAT	S	10,000	98.48	n/a	28-Jan	500.00	5.0
BALYASNY ASSET MGMT	044	CAT	SS	20,000	98.16	n/a	28-Jan	1,000.00	5.0
COLUMBUS CIRCLE	036	CELG	S	7,931	52.19	n/a	n/a	317.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	CMCSA	S	30,000	24.66	n/a	n/a	1,500.00	5.0
DAWSON CAPITAL MGMT.	085	COG	B	53,050	42.76	n/a	11-Jan	2,652.50	5.0
BALYASNY ASSET MGMT	044	CROX	B	30,000	18.60	n/a	n/a	1,500.00	5.0
1798 CAP/LOMBARD ASSET	040	CSX	S	10,000	74.49	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	CWEI	S	5,984	88.18	n/a	n/a	239.36	4.0
STANDARD PACIFIC CAPITAL	040	CX	B	100,000	8.71	n/a	n/a	4,000.00	4.0
SANDLER CAPITAL	028	DE	S	55,000	86.83	n/a	18-Feb	2,750.00	5.0
LEVIN CAPITAL STRATEGIES	012	ECL	SS	15,000	48.02	n/a	17-Feb	450.00	3.0
BALYASNY ASSET MGMT	044	FDX	S	20,000	89.75	n/a	n/a	1,000.00	5.0
ROYCE TRADING	012	FINL	B	133,500	17.71	n/a	1-Mar	6,675.00	5.0
KADE CAPITAL LLC	028	FL	B	10,000	20.12	n/a	3-Mar	500.00	5.0
SUN AMERICA ASSET MGMT	030	FNSR	B	5,400	24.28	n/a	n/a	216.00	4.0
OHIO PERS	047	F	B	172,000	14.25	n/a	2-Mar	5,160.00	3.0
TROUBH PART	070	F	B	100,000	14.19	n/a	2-Mar	5,000.00	5.0
DAVIDSON KEMPNER ADVISOR	040	GDXJ	C	20,000	36.81	n/a	n/a	1,000.00	5.0
MERCHANTS GATE CAP LP	036	GLT	C	26,724	11.97	n/a	n/a	1,068.96	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	GLW	S	6,600	21.83	n/a	11-Feb	264.00	4.0
BMO NESBITT BURNS	041	GM	B	50,000	31.50	n/a	2-Mar	2,500.00	5.0
GOLD SACHS SPECIAL SIT	030	GM	B	65,000	31.66	n/a	2-Mar	3,250.00	5.0
OZ MGMT	040	GM	S	83,898	31.51	n/a	2-Mar	2,516.94	3.0
PHILADELPHIA FINANCIAL	033	GM	SS	130,970	31.28	n/a	2-Mar	5,238.80	4.0
CAERUS GLOBAL	041	HBI	B	25,000	25.96	n/a	28-Jan	1,000.00	4.0
PNC CAPITAL ADV	028	HES	B	224,997	79.48	n/a	n/a	8,999.88	4.0
SURVEYOR CAPITAL	041	HIG	SS	14,593	27.33	n/a	n/a	437.79	3.0
MERRILL ASSET/BLACKROCK	266	HMA	B	35,000	10.35	n/a	n/a	1,400.00	4.0
SCOUT/UMB	047	HSP	B	123,825	55.10	n/a	10-Mar	3,714.75	3.0
ELM RIDGE ADVISORS	044	IP	B	103,000	25.71	n/a	3-Feb	4,120.00	4.0
SURSUM CAPITAL	215	JAH	B	30,000	34.43	n/a	n/a	900.00	3.0
SURSUM CAPITAL	215	JAH	SS	10,000	34.17	n/a	n/a	300.00	3.0
KLEINHEINZ CAP PART	031	JCP	SS	80,000	37.11	n/a	3-Mar	4,000.00	5.0
SAC COHEN	044	JNY	S	53,000	12.57	n/a	3-Mar	1,855.00	3.5
GRANAHAN INV	048	KEG	B	35,000	14.47	n/a	24-Feb	1,400.00	4.0
OZ MGMT	040	LEA	B	10,000	102.52	n/a	2-Feb	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	LOGM	B	1,800	35.59	n/a	n/a	72.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	LPX	B	4,000	9.76	n/a	10-Feb	120.00	3.0
CASTLEROCK	040	LVS	B	40,009	39.90	n/a	10-Mar	1,600.36	4.0
LAGRANGE CAP ADV	048	LVS	B	10,000	40.80	n/a	10-Mar	500.00	5.0
OHIO PERS	047	MCD	S	32,000	76.99	n/a	8-Mar	960.00	3.0
SUN AMERICA ASSET MGMT	030	MCD	B	8,900	77.15	n/a	8-Mar	356.00	4.0
AAD CAPITAL	084	MGM	B	50,000	12.97	n/a	10-Mar	1,500.00	3.0
GREEN ARROW DOUG	040	MGM	B	20,000	12.90	n/a	10-Mar	1,000.00	5.0
KLEINHEINZ CAP PART	031	MON	S	75,000	67.43	n/a	7-Feb	3,750.00	5.0
SUN AMERICA ASSET MGMT	030	MSFT	S	6,000	25.56	n/a	n/a	240.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	50,000	28.19	n/a	26-Jan	2,500.00	5.0
SAC CHICAGO ANDREW	031	MW	SS	75,000	27.89	n/a	n/a	2,625.00	3.5
KLEINHEINZ CAP PART	031	M	B	50,000	23.59	n/a	3-Mar	2,500.00	5.0
SUN AMERICA ASSET MGMT	030	OPEN	B	800	86.75	n/a	n/a	32.00	4.0
ROYCE TRADING	012	PLCE	B	100,000	47.54	n/a	9-Mar	5,000.00	5.0
PIONEER PATH	028	SAFM	B	25,000	44.69	n/a	n/a	750.00	3.0
NOMURA CAPITAL	029	SIX	S	4,960	65.23	n/a	n/a	148.80	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	SLB	S	13,026	84.78	n/a	n/a	455.93	3.5
CAVU CAP ADV	028	STLD	B	25,000	17.89	n/a	n/a	1,250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	11,126	49.54	n/a	10-Mar	389.41	3.5
NEUBERGER BERMAN	036	TFM	S	2,500	38.34	n/a	n/a	100.00	4.0
SUN AMERICA ASSET MGMT	030	TGT	B	19,800	51.48	n/a	24-Feb	792.00	4.0
SURSUM CAPITAL	215	TIF	B	5,000	62.43	n/a	n/a	150.00	3.0
SENATOR INVESTMENT GROUP	036	TIN	B	25,000	22.49	n/a	8-Feb	750.00	3.0
RBC CAPITAL MARKETS	040	USG	B	5,000	16.39	n/a	27-Jan	200.00	4.0
RIDGECREST INV MGMT LLC	028	USG	B	10,000	16.70	n/a	27-Jan	500.00	5.0
COBALT	041	VFC	B	50,000	97.98	n/a	23-Feb	2,500.00	5.0
SUN AMERICA ASSET MGMT	030	WDC	S	3,900	34.75	n/a	n/a	156.00	4.0
RBC CAPITAL MARKETS	040	WY	B	40,000	23.00	n/a	4-Feb	1,600.00	4.0
LEVIN CAPITAL STRATEGIES	012	XOM	C	10,000	81.90	n/a	n/a	300.00	3.0
GREEN ARROW DOUG	040	XRT	SS	125,000	48.65	n/a	n/a	5,000.00	4.0
TOTAL (Trade Date) :								131,981.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/09	MOORE CAPITAL (MOORUBS)	041	AEO	SS	10,000	15.58	n/a	10-Mar	400.00 4.0
AO,	03/09	MOORE CAPITAL (MOORMS)	041	AEO	SS	10,000	15.58	n/a	10-Mar	400.00 4.0
AO,CXL	03/09	SCOPUS FUND (SCOPGS)	041	DKS	B	3,472	40.34	n/a	8-Mar	138.88 4.0
AO,CRT	03/09	SCOPUS FUND (SCOPGS)	041	DKS	B	3,260	40.34	n/a	8-Mar	130.40 4.0
AO,CXL	03/09	SCOPUS FUND (SCOPUBS)	041	DKS	B	28,094	40.34	n/a	8-Mar	1123.76 4.0
AO,CRT	03/09	SCOPUS FUND (SCOPUBS)	041	DKS	B	28,306	40.34	n/a	8-Mar	1132.24 4.0
AO,	03/09	ROYCE TRADING (ROYC67)	012	FINL	B	109,900	17.89	n/a	1-Mar	5495.00 5.0
AO,	03/09	ROYCE TRADING (ROYC66)	012	FINL	B	6,900	17.89	n/a	1-Mar	345.00 5.0
AO,	03/09	ROYCE TRADING (ROYC64)	012	FINL	B	3,700	17.89	n/a	1-Mar	185.00 5.0
AO,	03/09	ROYCE TRADING (ROYC20)	012	FINL	B	1,400	17.89	n/a	1-Mar	70.00 5.0
AO,	03/09	ROYCE TRADING (ROYC181)	012	FINL	B	700	17.89	n/a	1-Mar	35.00 5.0
AO,	03/09	ROYCE TRADING (ROYC180)	012	FINL	B	2,100	17.89	n/a	1-Mar	105.00 5.0
AO,	03/09	ROYCE TRADING (ROYC174)	012	FINL	B	1,500	17.89	n/a	1-Mar	75.00 5.0
AO,	03/09	ROYCE TRADING (ROYC100)	012	FINL	B	1,500	17.89	n/a	1-Mar	75.00 5.0
CRT	03/10	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	GM	B	65,000	31.66	n/a	2-Mar	3250.00 5.0
AO,CXL	03/09	MOORE CAPITAL (MOORUBS)	041	GPS	C	7,500	21.39	n/a	n/a	300.00 4.0
AO,	03/09	MOORE CAPITAL (MOORMS)	041	GPS	C	7,500	21.39	n/a	n/a	300.00 4.0
CRT	03/10	SAC CHICAGO ANDREW (SCASMERR)	031	MW	SS	75,000	27.89	n/a	n/a	2625.00 3.5
AO,CXL	03/08	NEUBERGER BERMAN (NBER9WJ4)	036	TGT	S	63,200	51.55	n/a	24-Feb	2528.00 4.0
AO,	03/08	NEUBERGER BERMAN (NBER9W76)	036	TGT	S	63,200	51.55	n/a	24-Feb	2528.00 4.0
AO,CXL	03/09	MOORE CAPITAL (MOORUBS)	041	XLP	C	12,500	29.91	n/a	n/a	375.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,	03/09	MOORE CAPITAL (MOORMS)	041	XLP	C	12,500	29.91	n/a	n/a	375.00	3.0
TOTAL (AO, CXL, CRT) :										12,260.00	
TOTAL (Trade Date) :										131,981.72	
TOTAL (AO, CXL, CRT) :										12,260.00	
TOTAL (RUN DATE) / NFS:										144,241.72	

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