



Daily Compliance Activity Report

Trade Date: 04/21/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	BHI	S	10,900	74.85	n/a	n/a	545.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	57.56	n/a	14-Apr	300.00	3.0
SIGMA CAPITAL ASSOCIATES	041	COH	S	50,000	57.53	n/a	14-Apr	1,750.00	3.5
NOKOMIS PARTNERS	031	CRVW	SS	10,000	1.70	n/a	n/a	200.00	2.0
MTB INV ADV	034	DAN	B	52,075	18.28	n/a	13-Apr	2,603.75	5.0
BNP PARIBAS SEC	040	DKS	B	20,000	41.43	n/a	8-Mar	1,000.00	5.0
MA CAPITAL MGMT/MELLON ADV041		FBR	B	5,000	15.69	n/a	n/a	150.00	3.0
MA CAPITAL MGMT/MELLON ADV041		FBR	S	5,000	15.79	n/a	n/a	150.00	3.0
SCHOTTENFELD ASSOC	041	FBR	S	35,000	15.88	n/a	n/a	1,050.00	3.0
ROYCE TRADING	012	FINL	B	9,600	21.22	n/a	25-Mar	480.00	5.0
PROSPECTOR PARTNERS LLC	036	FO	B	10,000	63.53	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	F	B	10,000	15.31	n/a	13-Apr	500.00	5.0
BNP PARIBAS SEC	040	GM	B	20,000	30.45	n/a	13-Apr	1,000.00	5.0
CORVEX CAPITAL	041	HCA	S	30,000	31.85	n/a	n/a	900.00	3.0
RBC CAPITAL MARKETS	040	HST	B	10,000	17.62	n/a	20-Apr	400.00	4.0
BRANDWINE	028	IBM	S	40,600	165.64	n/a	n/a	1,624.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AELTUS/ING INVESTMENT MGT	215	IDA	B	6,300	38.07	n/a	n/a	220.50	3.5
STRONG/MARK GRONET	030	INFI	S	200,000	5.95	n/a	n/a	6,000.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	29.95	n/a	14-Apr	1,250.00	5.0
COLUMBUS CIRCLE	036	ISS	B	775	20.06	n/a	n/a	31.00	4.0
WATERFRONT CAP	028	LEG	B	103,100	23.60	n/a	n/a	4,124.00	4.0
BMO NESBITT BURNS	041	LPX	SS	7,000	9.37	n/a	14-Apr	280.00	4.0
CATAPULT	040	LPX	SS	15,000	9.34	n/a	14-Apr	600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LTD	S	50,000	39.39	n/a	n/a	1,750.00	3.5
SIGMA CAPITAL ASSOCIATES	041	MAR	B	100,000	36.49	n/a	21-Apr	3,500.00	3.5
MA CAPITAL MGMT/MELLON ADV	041	MCD	B	2,000	77.14	n/a	21-Apr	100.00	5.0
BALYASNY ASSET MGMT	044	M	S	25,000	24.20	n/a	8-Apr	1,250.00	5.0
AELTUS/ING INVESTMENT MGT	215	NAT	B	19,500	22.16	n/a	n/a	682.50	3.5
SONTERRA CAP	041	NSR	SS	20,000	26.47	n/a	n/a	800.00	4.0
ROYCE TRADING	012	PLCE	B	1,000	54.39	n/a	9-Mar	50.00	5.0
SENATOR INVESTMENT GROUP	036	RKT	B	86,956	71.09	n/a	n/a	2,608.68	3.0
SCOPUS FUND	041	RSH	B	50,000	15.97	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	SRX	S	75,000	30.89	n/a	n/a	2,250.00	3.0
LANE GATE PARTNERS LLC	012	TC	B	10,000	12.16	n/a	n/a	300.00	3.0
DELTEC ASSET MGMT.	040	TEL	B	8,000	34.79	n/a	n/a	400.00	5.0
BMO NESBITT BURNS	041	TIN	B	2,000	22.99	n/a	20-Apr	80.00	4.0
EPOCH INV MGMT	030	TIN	B	72,006	23.20	n/a	20-Apr	2,160.18	3.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	B	5,000	23.41	n/a	20-Apr	250.00	5.0
NEUBERGER BERMAN	036	TISI	S	25,000	26.00	n/a	n/a	1,000.00	4.0
PEAK INV LLC	084	UTX	B	50,000	86.82	n/a	n/a	2,500.00	5.0
AELTUS/ING INVESTMENT MGT	215	WCN	B	12,300	29.79	n/a	n/a	430.50	3.5
SONTERRA CAP	041	WMB	S	50,000	32.05	n/a	n/a	2,000.00	4.0
PEREGRINE	030	WRC	S	15,000	62.85	n/a	1-Mar	600.00	4.0
CATAPULT	040	WY	SS	15,000	22.54	n/a	14-Apr	600.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	YUM	SS	3,000	54.25	n/a	20-Apr	150.00	5.0
TOTAL (Trade Date):								51,020.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/20	GALT INVESTMENT (GALTGS)	041	ABG	S	10,000	17.23	n/a	13-Apr	500.00 5.0
AO,CRT	04/20	GALT INVESTMENT (GALTGS)	041	ABG	S	10,000	17.23	n/a	13-Apr	400.00 4.0
AO,	04/20	COLUMBUS CIRCLE (COLC3050)	036	ISS	B	413	19.56	n/a	n/a	16.52 4.0
CRT	04/21	MA CAPITAL MGMT/MELLON ADV (MACAJEFF)	041	YUM	SS	3,000	54.25	n/a	20-Apr	150.00 5.0

TOTAL (AO, CXL, CRT) :**66.52**

TOTAL (Trade Date) :

51,020.11

TOTAL (AO, CXL, CRT) :

66.52

TOTAL (RUN DATE) / NFS:**51,086.63**

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