



Daily Compliance Activity Report

Trade Date: 03/16/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	AAPL	S	200	330.45	n/a	n/a	8.00	4.0
SUN AMERICA ASSET MGMT	030	ADBE	S	3,600	31.94	n/a	n/a	144.00	4.0
MA CAPITAL MGMT/MELLON ADV041		ALV	B	2,000	70.27	n/a	2-Feb	100.00	5.0
SCOPUS FUND	041	ANF	B	25,000	53.87	n/a	14-Mar	1,000.00	4.0
SAC TRADING TOM LEDDY	035	ANN	B	20,000	27.84	n/a	n/a	700.00	3.5
SAC CAP/ROSEN FOR BOBBY	044	ANSS	SS	25,000	51.60	n/a	n/a	875.00	3.5
SURSUM CAPITAL	215	ARO	B	5,000	23.85	n/a	11-Mar	150.00	3.0
BMO NESBITT BURNS	041	AXL	B	25,000	12.85	n/a	9-Feb	0.00	0.0
TRELLUS PARTNERS LP	028	AXL	C	27,930	12.86	n/a	9-Feb	1,396.50	5.0
RBC CAPITAL MARKETS	040	BHP	SS	35,000	86.42	n/a	n/a	1,400.00	4.0
IMPALA ASSET MMT	012	CHRW	SS	9,900	71.28	n/a	n/a	495.00	5.0
HOTCHKIS & WILEY	035	CNW	S	180,000	36.64	n/a	n/a	9,000.00	5.0
DSG CAPITAL	012	CPKI	B	15,000	15.76	n/a	15-Mar	750.00	5.0
MILLRACE FUND LP	028	CPKI	B	15,000	15.75	n/a	15-Mar	600.00	4.0
WEINTRAUB CAPITAL MGT.	040	CPKI	B	28,770	15.76	n/a	15-Mar	1,150.80	4.0
IMPALA ASSET MMT	012	CP	SS	4,400	62.67	n/a	n/a	220.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	CRI	S	2,500	27.92	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	CSX	B	3,000	74.55	n/a	n/a	150.00	5.0
FINDLAY PARK PART	291	C	B	610,000	4.42	n/a	16-Mar	30,500.00	5.0
RBC CAPITAL MARKETS	040	DAL	B	25,000	10.18	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	1,947	14.39	n/a	n/a	77.88	4.0
SCOPUS FUND	041	DSW	B	10,000	39.16	n/a	11-Feb	400.00	4.0
SUN AMERICA ASSET MGMT	030	EMC	S	5,200	25.33	n/a	n/a	208.00	4.0
ROYCE TRADING	012	FINL	B	87,000	17.62	n/a	1-Mar	4,350.00	5.0
SUN AMERICA ASSET MGMT	030	FNSR	B	3,200	23.16	n/a	n/a	128.00	4.0
CAVU CAP ADV	028	F	B	25,000	14.14	n/a	2-Mar	1,250.00	5.0
IMPALA ASSET MMT	012	F	B	10,000	14.61	n/a	2-Mar	300.00	3.0
OZ MGMT	040	F	B	809,228	14.27	n/a	2-Mar	24,276.84	3.0
ROSEDALE CAPITAL	046	F	B	50,000	14.26	n/a	2-Mar	2,000.00	4.0
OZ MGMT	040	GM	S	183,379	31.88	n/a	2-Mar	5,501.37	3.0
RBC CAPITAL MARKETS	040	GM	SS	50,000	31.57	n/a	2-Mar	2,000.00	4.0
SURSUM CAPITAL	215	GPS	B	5,000	21.41	n/a	n/a	150.00	3.0
FINDLAY PARK PART	291	GS	B	30,500	155.37	n/a	14-Mar	1,525.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	HD	SS	200,000	35.75	n/a	22-Feb	6,000.00	3.0
EPOCH INV MGMT	030	IR	B	56,200	45.38	n/a	4-Mar	1,686.00	3.0
PORTER-ORLIN	044	IWM	SS	105,000	78.74	n/a	n/a	5,250.00	5.0
HUNTER GLOBAL INVESTOR	028	JCI	S	226,060	39.51	n/a	20-Jan	11,303.00	5.0
IMPALA ASSET MMT	012	KSU	S	3,006	50.78	n/a	n/a	150.30	5.0
MATRIX ASSET ADV.	091	MET	B	3,000	42.76	n/a	n/a	120.00	4.0
IMPALA ASSET MMT	012	MMYT	S	5,900	24.99	n/a	n/a	236.00	4.0
MERRILL ASSET/BLACKROCK	266	MNKD	B	25,000	3.75	n/a	n/a	1,000.00	4.0
ROSEDALE CAPITAL	046	MSFT	B	30,000	24.99	n/a	n/a	1,500.00	5.0
BNP PARIBAS SEC	040	M	B	50,000	23.02	n/a	3-Mar	2,500.00	5.0
SUN AMERICA ASSET MGMT	030	OCLR	B	4,400	12.20	n/a	n/a	176.00	4.0
SENATOR INVESTMENT GROUP	036	PKI	B	25,000	25.80	n/a	n/a	750.00	3.0
BMO NESBITT BURNS	041	PLCE	B	2,500	47.00	n/a	9-Mar	0.00	0.0
ROYCE TRADING	012	PLCE	B	33,000	47.12	n/a	9-Mar	1,650.00	5.0
THIRD COAST CAPITAL	035	PLCE	B	10,000	47.73	n/a	9-Mar	500.00	5.0
SAC CAP/ROSEN FOR BOBBY	044	PRX	B	35,000	29.28	n/a	16-Mar	1,225.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	QCOM	S	5,000	51.03	n/a	n/a	250.00	5.0
IRIDIAN ASSET MGMT.	036	RTN	B	56,240	49.96	n/a	15-Feb	2,812.00	5.0
COHE & STEERS	041	RYN	S	50,000	60.39	n/a	26-Jan	2,000.00	4.0
ELM RIDGE ADVISORS	044	RYN	S	100	60.46	n/a	26-Jan	4.00	4.0
DE SHAW	070	SLE	B	70,000	16.78	n/a	n/a	2,100.00	3.0
BALLAST CAP	040	SYX	B	11,000	27.58	n/a	n/a	550.00	5.0
WALKER SMITH	031	S	B	100,000	4.97	n/a	n/a	4,000.00	4.0
DELTEC ASSET MGMT.	040	TEL	B	10,000	33.65	n/a	n/a	500.00	5.0
IMPALA ASSET MMT	012	TPX	B	5,000	48.87	n/a	n/a	250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	UAM	B	13,500	21.30	n/a	n/a	472.50	3.5
CAXTON PART	040	UTX	B	12,933	79.51	n/a	n/a	452.68	3.5
CASTLEROCK	040	WMT	B	145,878	51.40	n/a	22-Feb	5,835.12	4.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	51.14	n/a	3-Feb	2,500.00	5.0
TOTAL (Trade Date) :								147,578.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/15	BMO NESBITT BURNS (BMONFLIP)	041	BWS	B	14,000	11.06	n/a	n/a	0.00	0.0
AO,CRT	03/15	BMO NESBITT BURNS (BMONFLIP)	041	BWS	B	14,000	11.06	n/a	n/a	1400.00	0.0
CRT	03/16	MILLRACE FUND LP (MILRGS)	028	CPKI	B	15,000	15.75	n/a	15-Mar	600.00	4.0
AO,CXL	03/15	MERRILL ASSET/BLACKROCK (MERR22)	266	MNKD	B	31,000	3.71	n/a	n/a	1240.00	4.0
AO,	03/15	MERRILL ASSET/BLACKROCK (MERR22)	266	MNKD	B	31,000	3.71	n/a	n/a	930.00	3.0
AO,CXL	03/15	MERRILL ASSET/BLACKROCK (MERR700)	266	MNKD	B	129,000	3.71	n/a	n/a	5160.00	4.0
AO,	03/15	MERRILL ASSET/BLACKROCK (MERR700)	266	MNKD	B	129,000	3.71	n/a	n/a	3870.00	3.0
AO,CXL	03/15	BALLAST CAP (BALLJPMPB)	040	MON	B	15,500	67.94	n/a	7-Feb	0.00	0.0
AO,CRT	03/15	BALLAST CAP (BALLJPMPB)	040	MON	B	15,500	67.94	n/a	7-Feb	775.00	5.0
AO,CXL	03/15	SCOPUS FUND (SCOPGS)	041	PVH	S	3,996	59.49	n/a	1-Feb	159.84	4.0
AO,CRT	03/15	SCOPUS FUND (SCOPGS)	041	PVH	S	5,994	59.49	n/a	1-Feb	239.76	4.0
AO,CXL	03/15	SCOPUS FUND (SCOPUBS)	041	PVH	S	40,404	59.49	n/a	1-Feb	1616.16	4.0
AO,CRT	03/15	SCOPUS FUND (SCOPUBS)	041	PVH	S	38,406	59.49	n/a	1-Feb	1536.24	4.0
AO,CXL	03/15	SCOPUS FUND (SCOPGS)	041	RKT	B	2,523	65.00	n/a	n/a	100.92	4.0
AO,CRT	03/15	SCOPUS FUND (SCOPGS)	041	RKT	B	3,784	65.00	n/a	n/a	151.36	4.0
AO,CXL	03/15	SCOPUS FUND (SCOPUBS)	041	RKT	B	25,509	65.00	n/a	n/a	1020.36	4.0
AO,CRT	03/15	SCOPUS FUND (SCOPUBS)	041	RKT	B	24,248	65.00	n/a	n/a	969.92	4.0
TOTAL (AO, CXL, CRT) :										1,175.00	

TOTAL (Trade Date):

147,578.99

TOTAL (AO, CXL, CRT):

1,175.00

TOTAL (RUN DATE) / NFS:

148,753.99

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