



Daily Compliance Activity Report

Trade Date: 02/28/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CENTURION PARTNERS	041	ABX	B	30,000	52.39	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	ALR	S	1,900	38.66	n/a	n/a	57.00	3.0
CATAPULT	040	AMTD	SS	10,000	21.81	n/a	n/a	400.00	4.0
HARVEST MGMT	029	ARGN	B	20,000	12.93	n/a	18-Feb	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	25.94	n/a	4-Feb	200.00	2.0
CASTLEROCK	040	ATVI	SS	90,546	11.00	n/a	n/a	3,621.84	4.0
CATAPULT	040	AWI	B	4,000	42.24	n/a	n/a	160.00	4.0
CYRUS CAPITAL	025	AWI	B	10,000	41.49	n/a	n/a	400.00	4.0
TRELLUS PARTNERS LP	028	AXL	C	50,000	13.27	n/a	9-Feb	2,500.00	5.0
TROUBH PART	070	BBY	B	25,000	32.48	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	028	CAKE	S	10,000	28.96	n/a	11-Feb	400.00	4.0
WAGONHOUND/NIC	289	CHD	B	5,007	74.80	n/a	18-Feb	200.28	4.0
SAC TRADING TOM LEDDY	035	CHS	S	13,482	14.00	n/a	5-Feb	471.87	3.5
THOMPSON SIEGAL&WALMSLEY	029	CMI	S	4,300	101.04	n/a	2-Feb	172.00	4.0
SAC TRADING TOM LEDDY	035	COH	B	40,000	54.92	n/a	26-Jan	1,400.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	COST	B	19,000	74.54	n/a	n/a	665.00	3.5
COLUMBIA PARTNERS	028	CRR	B	1,352	123.40	n/a	11-Jan	54.08	4.0
WAGONHOUND/NIC	289	CYMI	B	17,901	50.69	n/a	n/a	716.04	4.0
NEUBERGER BERMAN	036	DDR	B	2,300	14.03	n/a	n/a	92.00	4.0
M&I FUNDS	047	DD	B	4,951	54.57	n/a	23-Feb	198.04	4.0
SAC TRADING TOM LEDDY	035	DPS	SS	20,000	36.32	n/a	n/a	700.00	3.5
CATAPULT	040	EMN	B	20,000	92.98	n/a	n/a	800.00	4.0
PERRY PARTNERS	085	FCX	SS	15,000	52.55	n/a	n/a	750.00	5.0
CATAPULT	040	F	SS	94,300	14.92	n/a	28-Feb	3,772.00	4.0
CATAPULT CAP/DEFRANCO	040	F	SS	26,000	15.15	n/a	28-Feb	1,040.00	4.0
OZ MGMT	040	F	SS	200,000	14.91	n/a	28-Feb	6,000.00	3.0
CATAPULT	040	GGC	S	5,000	31.60	n/a	n/a	200.00	4.0
OZ MGMT	040	GM	B	175,000	33.58	n/a	28-Feb	5,250.00	3.0
PHILADELPHIA FINANCIAL	033	GM	C	39,509	32.98	n/a	28-Feb	1,580.36	4.0
RIDGECREST INV MGMT LLC	028	GM	B	20,000	33.44	n/a	28-Feb	1,000.00	5.0
CATAPULT	040	GNTX	SS	15,000	30.18	n/a	31-Jan	600.00	4.0
SAC TRADING TOM LEDDY	035	GPS	S	24,000	22.40	n/a	n/a	840.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	GPS	S	38,500	22.47	n/a	n/a	1,540.00	4.0
EPOCH INV MGMT	030	GWR	S	600	51.95	n/a	n/a	18.00	3.0
KLEINHEINZ CAP PART	031	HBI	B	20,000	26.02	n/a	28-Jan	1,000.00	5.0
CATAPULT	040	HCBK	SS	1,250	11.45	n/a	22-Feb	50.00	4.0
CATAPULT	040	HLX	B	25,000	15.36	n/a	n/a	1,000.00	4.0
SENVEST PART	085	HOT	B	11,421	61.00	n/a	23-Feb	571.05	5.0
NCM CAPITAL MGMT	035	HP	B	2,285	64.25	n/a	n/a	91.40	4.0
EPOCH INV MGMT	030	HSC	S	1,950	34.70	n/a	5-Jan	58.50	3.0
BUCK CAPITAL MGMT	001	IGT	B	10,000	16.51	n/a	27-Jan	200.00	2.0
EPOCH INV MGMT	030	IHS	S	1,500	83.82	n/a	n/a	45.00	3.0
ELM RIDGE ADVISORS	044	IP	B	53,300	27.77	n/a	3-Feb	2,132.00	4.0
SANDLER O'NEILL ASSET	031	JPM	B	9,700	46.56	n/a	16-Feb	194.00	2.0
SYSTEMATIC FINANCIAL MGT	035	KCP	S	50,000	12.48	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	KMT	S	2,250	38.37	n/a	28-Jan	67.50	3.0
BERMAN CAPITAL MGMT	046	KO	B	30,000	64.07	n/a	18-Feb	900.00	3.0
EPOCH INV MGMT	030	LEG	S	2,200	23.03	n/a	n/a	66.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	LTD	S	20,000	32.17	n/a	n/a	700.00	3.5
CRAMER ROSENTHAL/SCOTT	012	LYV	B	355,500	10.62	n/a	n/a	14,220.00	4.0
EPOCH INV MGMT	030	MEOH	S	2,600	29.16	n/a	n/a	78.00	3.0
EPOCH INV MGMT	030	MGAM	S	5,500	5.58	n/a	n/a	165.00	3.0
WAGONHOUND/NIC	289	MJN	S	3,181	60.68	n/a	n/a	127.24	4.0
ROSEDALE CAPITAL	046	MSFT	B	25,000	26.62	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	MS	S	12,630	29.46	n/a	14-Feb	631.50	5.0
BMO NESBITT BURNS	041	MWV	B	25,000	29.26	n/a	26-Jan	1,250.00	5.0
SUN AMERICA ASSET MGMT	030	M	B	44,500	23.82	n/a	28-Feb	1,780.00	4.0
TRELLUS PARTNERS LP	028	M	B	50,000	23.66	n/a	28-Feb	2,500.00	5.0
RAINIER INV MGMT	035	NBL	S	128,720	91.79	n/a	n/a	5,148.80	4.0
EPOCH INV MGMT	030	NST	S	2,500	45.19	n/a	n/a	75.00	3.0
NCM CAPITAL MGMT	035	OIS	B	8,550	72.13	n/a	n/a	342.00	4.0
SANDLER CAPITAL	028	OIS	S	50,000	71.59	n/a	n/a	2,500.00	5.0
ELM RIDGE ADVISORS	044	PCL	S	29,000	41.93	n/a	1-Feb	1,160.00	4.0
STELLIAM INV ADV	034	PFE	B	25,000	19.16	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Nilsa Vazquez		RGC	S	500	14.9804	n/a	n/a	0.00	0.0
CASTLEROCK	040	RIMM	SS	29,349	66.24	n/a	n/a	1,173.96	4.0
SERENGETI MGMT	030	RIMM	B	25,000	65.80	n/a	n/a	1,250.00	5.0
CATAPULT	040	ROC	S	10,000	46.30	n/a	n/a	400.00	4.0
ELM RIDGE ADVISORS	044	RYN	S	16,500	61.28	n/a	26-Jan	660.00	4.0
CATAPULT	040	SIVB	SS	1,000	54.65	n/a	n/a	40.00	4.0
SAC TRADING TOM LEDDY	035	SPLS	B	30,000	21.17	n/a	n/a	1,050.00	3.5
SONTERRA CAP	041	SPLS	B	113,400	21.24	n/a	n/a	4,536.00	4.0
SERENGETI MGMT	030	STI	B	25,000	30.37	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.36	n/a	n/a	800.00	4.0
CATAPULT	040	TCB	SS	5,000	16.35	n/a	n/a	200.00	4.0
CATAPULT	040	TGI	S	6,000	86.67	n/a	n/a	240.00	4.0
LONG OAR GLOBAL INV	040	TIN	S	63,548	23.26	n/a	8-Feb	2,541.92	4.0
SENATOR INVESTMENT GROUP	036	TIN	B	50,000	23.26	n/a	8-Feb	1,500.00	3.0
SAC TRADING TOM LEDDY	035	TJX	B	40,910	49.79	n/a	28-Feb	1,431.85	3.5
SAC TRADING TOM LEDDY	035	TOL	S	25,000	21.45	n/a	n/a	875.00	3.5
AVENUE CAPITAL MGMT	070	TRW	S	25,000	57.26	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	VLO	B	84,600	28.16	n/a	n/a	3,384.00	4.0
CATAPULT	040	V	S	1,000	74.58	n/a	17-Feb	40.00	4.0
DSG CAPITAL	012	WERN	B	20,000	23.87	n/a	n/a	600.00	3.0
CATAPULT	040	WFT	SS	18,500	23.66	n/a	n/a	740.00	4.0
NCM CAPITAL MGMT	035	WFT	B	36,215	23.76	n/a	n/a	1,448.60	4.0
SCOPUS FUND	041	WRC	S	28,000	58.16	n/a	20-Jan	1,120.00	4.0
MERRILL ASSET/BLACKROCK	266	WTFC	B	31,600	33.88	n/a	n/a	1,264.00	4.0
SENATOR INVESTMENT GROUP	036	XLE	B	69,776	78.08	n/a	n/a	2,093.28	3.0
SAC TRADING TOM LEDDY	035	ZUMZ	B	15,000	25.97	n/a	n/a	525.00	3.5
TOTAL (Trade Date):								110,465.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/28	ROSEDALE CAPITAL (ROSEGS)	046	MSFT	B	25,000	26.62	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										1,250.00

TOTAL (Trade Date) :	110,465.11
TOTAL (AO, CXL, CRT) :	1,250.00
TOTAL (RUN DATE) / NFS :	111,715.11

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