



Daily Compliance Activity Report

Trade Date: 04/01/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	AAPL	B	1,100	349.12	n/a	n/a	44.00	4.0
APEX CAPITAL MGMT.	261	ADSK	SS	61,500	43.49	n/a	n/a	2,460.00	4.0
MERRILL ASSET/BLACKROCK	266	AFG	S	7,800	35.61	n/a	n/a	312.00	4.0
BRANDWINE	028	ANF	S	114,850	59.67	n/a	14-Mar	4,594.00	4.0
BWAN	028	ANF	S	100	59.67	n/a	14-Mar	4.00	4.0
NEW JERSEY DIV OF INV.	030	AVT	B	20,000	33.55	n/a	n/a	800.00	4.0
NEWLAND CAPITAL MGT	025	BEAV	S	25,000	36.52	n/a	4-Mar	1,000.00	4.0
NEW JERSEY DIV OF INV.	030	BIG	B	20,000	43.44	n/a	3-Mar	800.00	4.0
NEW JERSEY DIV OF INV.	030	BJ	B	20,000	49.12	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	BLK	S	10,000	202.31	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	BLK	B	5,900	203.27	n/a	n/a	236.00	4.0
SCOPUS FUND	041	BUD	SS	25,000	58.85	n/a	29-Mar	1,000.00	4.0
RBC CAPITAL MARKETS	040	CAR	S	30,000	18.02	n/a	n/a	1,200.00	4.0
T. ROWE PRICE	033	CAT	B	25,800	112.89	n/a	28-Jan	1,032.00	4.0
RBC CAPITAL MARKETS	040	CL	SS	15,000	80.39	n/a	18-Feb	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	CNA	B	15,000	30.14	n/a	n/a	600.00	4.0
NEW JERSEY DIV OF INV.	030	CSH	S	10,000	45.96	n/a	n/a	400.00	4.0
AMBER CAPITAL	046	C	B	33,400	4.46	n/a	28-Mar	1,336.00	4.0
SIGMA CAPITAL ASSOCIATES	041	DELL	SS	240,000	14.31	n/a	n/a	8,400.00	3.5
RBC CAPITAL MARKETS	040	DRI	S	20,000	48.83	n/a	25-Mar	800.00	4.0
NEW JERSEY DIV OF INV.	030	DTV	S	10,000	46.95	n/a	n/a	400.00	4.0
BARROW HANLEY MEWHINNEY	031	FDO	S	52,500	51.71	n/a	31-Mar	1,837.50	3.5
ROBX	084	FFIV	S	22,600	96.29	n/a	n/a	904.00	4.0
LISTED ERR	099	FFIV	B	22,600	96.29	n/a	n/a	0.00	0.0
LISTED ERR	099	FFIV	S	22,600	96.19	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	20,000	19.98	n/a	25-Mar	1,000.00	5.0
AVESTA CAP	229	FLR	B	50,000	73.60	n/a	n/a	1,500.00	3.0
NEWLAND CAPITAL MGT	025	F	S	20,000	15.37	n/a	31-Mar	800.00	4.0
RBC CAPITAL MARKETS	040	GIS	SS	15,000	36.50	n/a	n/a	600.00	4.0
CIRCLE T/SES PART	033	GM	SS	5,000	31.77	n/a	1-Apr	200.00	4.0
IRIDIAN ASSET MGMT.	036	GM	S	7,150	31.56	n/a	1-Apr	357.50	5.0
PHILADELPHIA FINANCIAL	033	GM	C	30,000	31.38	n/a	1-Apr	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	GM	SS	35,000	31.19	n/a	1-Apr	1,400.00	4.0
BNP PARIBAS SEC	040	GS	B	3,606	160.58	n/a	28-Mar	180.30	5.0
CAXTON PART	040	GT	B	50,000	15.20	n/a	n/a	1,750.01	3.5
ROTHSCHILD ASSET	040	HII	S	11,971	41.00	n/a	n/a	478.84	4.0
MA CAPITAL MGMT/MELLON ADV	041	IP	S	2,000	30.66	n/a	17-Mar	100.00	5.0
SUN AMERICA ASSET MGMT	030	IP	S	62,600	30.33	n/a	17-Mar	2,504.00	4.0
SCOPUS FUND	041	IR	B	50,000	48.54	n/a	4-Mar	2,000.00	4.0
TALPION LLC	040	JCP	B	5,000	35.92	n/a	31-Mar	200.00	4.0
CASTLE ARK	031	JOYG	B	57,420	102.47	n/a	3-Mar	2,871.00	5.0
SCOPUS FUND	041	KFRC	B	20,000	18.30	n/a	n/a	800.00	4.0
BNP PARIBAS SEC	040	KFT	B	20,257	31.59	n/a	n/a	1,012.85	5.0
MERRILL ASSET/BLACKROCK	266	LAZ	S	20,000	41.77	n/a	14-Mar	800.00	4.0
NEW JERSEY DIV OF INV.	030	LGF	S	20,000	6.29	n/a	n/a	800.00	4.0
FARALLON CAP MGMT	040	LOGI	B	100,000	14.94	n/a	n/a	4,000.00	4.0
OSS CAPITAL	036	LOGI	B	87,500	15.00	n/a	n/a	2,625.00	3.0
BMO NESBITT BURNS	041	LPX	S	50,000	10.55	n/a	10-Feb	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	LPX	S	200,000	10.66	n/a	10-Feb	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	LXK	B	17,900	35.80	n/a	n/a	716.00	4.0
NEW JERSEY DIV OF INV.	030	MOS	B	10,000	80.55	n/a	n/a	400.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	B	3,000	30.97	n/a	1-Apr	150.00	5.0
SCOPUS FUND	041	MWV	B	100,000	31.08	n/a	1-Apr	4,000.00	4.0
SF SENTRY	085	MWV	B	15,000	30.95	n/a	1-Apr	750.00	5.0
SONTERRA CAP	041	NAV	B	20,000	69.25	n/a	10-Mar	800.00	4.0
SMITH MGMT LLC	029	NDN	B	50,000	19.65	n/a	31-Mar	2,500.00	5.0
NEW JERSEY DIV OF INV.	030	NEM	S	20,000	54.34	n/a	n/a	800.00	4.0
SCOPUS FUND	041	NOC	B	75,000	63.21	n/a	23-Mar	3,000.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	50,000	6.95	n/a	n/a	1,000.00	2.0
BUCK CAPITAL MGMT	001	OXM	S	6,408	34.25	n/a	n/a	192.24	3.0
KENNEDY CAPITAL	046	OXM	S	48,610	34.20	n/a	n/a	1,944.40	4.0
NEWLAND CAPITAL MGT	025	PCAR	S	15,000	53.84	n/a	2-Feb	600.00	4.0
RBC CAPITAL MARKETS	040	PCX	B	35,000	26.40	n/a	n/a	1,400.00	4.0
NEW JERSEY DIV OF INV.	030	PEP	B	20,000	64.90	n/a	n/a	800.00	4.0
BNP PARIBAS SEC	040	PFCB	S	10,000	46.41	n/a	16-Feb	500.00	5.0
SUN AMERICA ASSET MGMT	030	PG	B	3,900	61.98	n/a	21-Mar	156.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	PLCE	B	12,500	49.21	n/a	9-Mar	625.00	5.0
SCOPUS FUND	041	PNRA	SS	50,000	127.61	n/a	15-Mar	2,000.00	4.0
RBC CAPITAL MARKETS	040	POT	B	20,000	59.90	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	65.34	n/a	30-Mar	600.00	3.0
RBC CAPITAL MARKETS	040	PVH	S	900	66.61	n/a	30-Mar	36.00	4.0
EPOCH INV MGMT	030	RECN	B	50,000	15.53	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	RKT	B	50,000	69.70	n/a	n/a	1,500.00	3.0
APEX CAPITAL MGMT.	261	RUE	SS	26,000	28.77	n/a	n/a	1,040.00	4.0
WEISS PECK	040	SCVL	S	4,609	28.01	n/a	n/a	230.45	5.0
APEX CAPITAL MGMT.	261	SD	B	173,500	13.23	n/a	n/a	6,940.00	4.0
SAXON WOODS ADVISORS	048	SO	S	132,124	38.16	n/a	n/a	5,284.96	4.0
MERRILL ASSET/BLACKROCK	266	SPN	S	2,698	41.36	n/a	n/a	107.92	4.0
MERRILL ASSET/BLACKROCK	266	TESO	S	2,000	22.12	n/a	n/a	80.00	4.0
SUN AMERICA ASSET MGMT	030	TGT	S	6,300	50.55	n/a	31-Mar	252.00	4.0
APEX CAPITAL MGMT.	261	TIVO	B	195,400	8.85	n/a	n/a	5,862.00	3.0
NEW JERSEY DIV OF INV.	030	UPS	B	20,000	74.72	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTPOINT	266	URI	S	68,193	33.72	n/a	n/a	2,727.72	4.0
KAYNE ANDERSON ADV	084	VIVO	S	23,500	24.12	n/a	n/a	940.00	4.0
BNP PARIBAS SEC	040	VRA	SS	7,900	41.79	n/a	n/a	395.00	5.0
BARROW HANLEY MEWHINNEY	031	VZ	S	150,900	38.38	n/a	n/a	5,281.50	3.5
EGS ASSOCIATES LP	091	WMS	B	3,000	35.06	n/a	21-Mar	180.00	6.0
NEW JERSEY DIV OF INV.	030	WMT	B	30,000	52.07	n/a	23-Mar	1,200.00	4.0
BNP PARIBAS SEC	040	WRC	B	16,800	58.47	n/a	1-Mar	840.00	5.0
ADAGE CAPITAL MGMT	030	WSM	SS	100,000	41.73	n/a	n/a	3,000.00	3.0
SACC-SCHWARTZ	044	XLI	B	250,000	38.19	n/a	n/a	8,750.00	3.5
TOTAL (Trade Date) :								138,320.19	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	03/23	WAGONHOUND/NIC (WAGONIC)	048	HII	SS	14,776	0.00	n/a	n/a	0.00	0.0
AO,CXL	03/23	WAGONHOUND/NIC (WAGONIC)	048	HIIWI	S	14,776	0.00	n/a	n/a	591.04	4.0
AO,CXL	03/31	SMITH MGMT LLC (SMITJPMORG)	029	NDN	B	50,000	19.62	n/a	31-Mar	0.00	0.0
AO,CRT	03/31	SMITH MGMT LLC (SMITJPMORG)	029	NDN	B	50,000	19.62	n/a	31-Mar	2500.00	5.0
AO,CXL	03/31	SCOPUS FUND (SCOPGS)	041	UPS	SS	900	74.40	n/a	n/a	36.00	4.0
AO,CRT	03/31	SCOPUS FUND (SCOPGS)	041	UPS	SS	1,350	74.40	n/a	n/a	54.00	4.0
AO,CXL	03/31	SCOPUS FUND (SCOPUBS)	041	UPS	SS	14,100	74.40	n/a	n/a	564.00	4.0
AO,CRT	03/31	SCOPUS FUND (SCOPUBS)	041	UPS	SS	13,650	74.40	n/a	n/a	546.00	4.0
TOTAL (AO, CXL, CRT) :										1,908.96	

TOTAL (Trade Date) :	138,320.19
TOTAL (AO, CXL, CRT) :	1,908.96

TOTAL (RUN DATE) / NFS :	140,229.15
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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