



Daily Compliance Activity Report

Trade Date: 03/04/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALPION LLC	040	ABV	B	4,000	27.89	n/a	n/a	120.00	3.0
TALPION LLC	040	AMT	B	2,000	52.79	n/a	n/a	60.00	3.0
SAC TRADING TOM LEDDY	035	ANN	S	20,000	24.13	n/a	n/a	700.00	3.5
PILOT ADV	048	ASNA	SS	10,000	30.99	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	AXL	SS	20,000	13.23	n/a	9-Feb	1,000.00	5.0
BALYASNY ASSET MGMT	044	BWA	SS	21,000	77.63	n/a	11-Feb	1,050.00	5.0
TALPION LLC	040	CCE	B	15,000	25.78	n/a	n/a	450.00	3.0
BAIRD INVESTMENT	047	CVE	S	23,800	39.41	n/a	n/a	1,190.00	5.0
SCHOTTENFELD ASSOC	041	C	B	15,000	4.57	n/a	16-Feb	450.00	3.0
KLEINHEINZ CAP PART	031	DDS	SS	40,000	39.92	n/a	n/a	2,000.00	5.0
SUFFOLK CAPITAL MGMT	040	DD	B	147,000	53.43	n/a	4-Mar	5,880.00	4.0
MERRILL ASSET/BLACKROCK	266	DFS	S	39,300	21.36	n/a	2-Mar	1,572.00	4.0
TALPION LLC	040	DLTR	B	6,000	51.81	n/a	23-Feb	180.00	3.0
Ö Abram Chappel		DY	B	295	16.6752	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOROS	036	EEM	SS	430,000	46.52	n/a	n/a	12,900.00	3.0
DSM CAPITAL PARTNERS	085	EMR	S	12,000	59.87	n/a	n/a	600.00	5.0
ASCEND PARTNERS	033	FL	B	104,149	20.05	n/a	3-Mar	5,207.45	5.0
NEWLAND CAPITAL MGT	025	FOE	B	8,000	15.25	n/a	n/a	320.00	4.0
SOROS	036	FOE	B	14,693	15.25	n/a	n/a	587.72	4.0
PZENA INV ADV	044	FO	S	300	61.27	n/a	n/a	10.50	3.5
CATAPULT	040	F	B	181,000	14.43	n/a	2-Mar	7,240.00	4.0
OZ MGMT	040	F	C	367,523	14.51	n/a	2-Mar	11,025.69	3.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	43.17	n/a	n/a	600.00	3.0
ROSEDALE CAPITAL	046	GERN	B	25,000	5.00	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	30.90	n/a	9-Feb	600.00	3.0
BNP PARIBAS SEC	040	GM	SS	25,000	32.62	n/a	2-Mar	1,250.00	5.0
CATAPULT	040	GM	SS	81,000	32.37	n/a	2-Mar	3,240.00	4.0
MAPLE LEAF PARTNERS	031	GM	SS	100,000	32.85	n/a	2-Mar	5,000.00	5.0
OZ MGMT	040	GM	S	334,482	32.37	n/a	2-Mar	10,034.46	3.0
SURVEYOR CAPITAL	041	GRMN	B	41,815	34.84	n/a	n/a	1,254.45	3.0
BALYASNY ASSET MGMT	044	GTI	SS	25,000	20.31	n/a	n/a	1,250.00	5.0
HUNTER GLOBAL INVESTOR	028	GT	SS	361,000	13.67	n/a	n/a	12,635.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	HBI	S	20,000	25.62	n/a	28-Jan	600.00	3.0
BAIRD INVESTMENT	047	HOG	B	10,875	40.06	n/a	n/a	543.75	5.0
MATRIX ASSET ADV.	091	HRS	B	2,000	45.82	n/a	5-Jan	80.00	4.0
SHEFFIELD ASSET MGMT	031	HSY	SS	78,000	53.00	n/a	n/a	3,900.00	5.0
ARMATURE CAPITAL	041	JCI	S	25,000	41.03	n/a	20-Jan	1,000.00	4.0
SURSUM CAPITAL	215	JNY	B	20,000	12.90	n/a	3-Mar	600.00	3.0
SURSUM CAPITAL	215	JNY	S	25,000	12.83	n/a	3-Mar	750.00	3.0
CAXTON PART	040	JPM	S	19,375	45.15	n/a	16-Feb	678.15	3.5
SURSUM CAPITAL	215	JWN	B	10,000	44.62	n/a	3-Mar	300.00	3.0
GRANAHAN INV	048	KEG	B	205,000	15.50	n/a	24-Feb	8,200.00	4.0
TALPION LLC	040	KR	B	10,000	23.54	n/a	n/a	300.00	3.0
Õ Abram Chappel		LMIA	B	280	17.7600	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	LOW	B	25,000	25.99	n/a	23-Feb	1,250.00	5.0
NOMURA CAPITAL	029	LYB	S	4,800	39.95	n/a	n/a	144.00	3.0
PZENA INV ADV	044	MAS	S	400	13.30	n/a	n/a	14.00	3.5
AAD CAPITAL	084	MGM	B	100,000	13.62	n/a	14-Feb	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		MWV	B	2,500	29.05	n/a	26-Jan	125.00	5.0
MATRIX ASSET ADV.	091	MWW	B	2,000	15.79	n/a	n/a	60.00	3.0
KLEINHEINZ CAP PART	031	M	B	45,000	23.57	n/a	3-Mar	2,250.00	5.0
SONTERRA CAP	041	NSR	SS	20,000	25.97	n/a	n/a	800.00	4.0
PZENA INV ADV	044	OMC	S	275	49.57	n/a	n/a	9.63	3.5
ROARING BLUE LION MGMT	012	PLCE	B	2,100	43.87	n/a	14-Feb	84.00	4.0
HUNTER GLOBAL INVESTOR	028	PNC	B	8,300	61.27	n/a	n/a	415.00	5.0
CYRUS CAPITAL	025	RES	B	15,000	20.39	n/a	n/a	600.00	4.0
SAGE ASSET MGMT	012	RKT	S	18,400	69.23	n/a	n/a	920.00	5.0
PIONEER PATH	028	SFD	B	35,000	22.46	n/a	n/a	1,050.00	3.0
CATAPULT	040	TGI	B	5,000	86.26	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	TX	S	23,425	36.65	n/a	n/a	1,171.25	5.0
BALLAST CAP	040	URBN	B	9,300	38.36	n/a	n/a	465.00	5.0
BASIX	033	URI	B	25,000	31.92	n/a	n/a	750.00	3.0
BALLAST CAP	040	USB	S	7,000	26.79	n/a	n/a	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	USG	SS	10,000	16.71	n/a	27-Jan	500.00	5.0
BAIRD INVESTMENT	047	VAR	B	4,600	70.94	n/a	n/a	230.00	5.0
SOROS	036	WFT	B	250,000	21.23	n/a	n/a	10,000.00	4.0
MATRIX ASSET ADV.	091	WU	S	5,000	21.85	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	WY	C	50,000	23.41	n/a	4-Feb	2,500.00	5.0
CATAPULT	040	WY	SS	15,000	23.41	n/a	4-Feb	600.00	4.0
COHE & STEERS	097	WY	B	110,763	23.56	n/a	4-Feb	3,322.89	3.0
T. ROWE PRICE	033	WY	S	279,100	23.95	n/a	4-Feb	8,373.00	3.0
RBC CAPITAL MARKETS	040	XRT	S	25,000	48.87	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date):								146,792.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/03	COLUMBUS CIRCLE (COLC3060)	036	ACN	B	6,956	52.32	n/a	n/a	278.24 4.0
CRT	03/04	SONTERRA CAP (SONTMSBULK)	041	NSR	SS	20,000	25.97	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										1,078.24

TOTAL (Trade Date):	146,792.94
TOTAL (AO, CXL, CRT):	1,078.24

TOTAL (RUN DATE) / NFS:	147,871.18
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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