



Daily Compliance Activity Report

Trade Date: 04/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	ABG	S	10,000	17.23	n/a	13-Apr	500.00	5.0
PZENA INV ADV	044	ALL	B	2,000	31.30	n/a	n/a	70.00	3.5
ARMATURE CAPITAL	041	ALV	SS	25,000	78.03	n/a	13-Apr	1,000.00	4.0
BNP PARIBAS SEC	040	ALV	SS	10,000	77.69	n/a	13-Apr	500.00	5.0
EMERSON CAPITAL MGMT	048	ASNA	S	8,638	32.95	n/a	n/a	259.14	3.0
WAGONHOUND/NIC	048	AXE	B	4,447	72.71	n/a	24-Mar	177.88	4.0
Õ Nilsa Vazquez		BAC	S	1000	12.4120	n/a	15-Apr	0.00	0.0
BNP PARIBAS SEC	040	BLL	SS	10,000	37.07	n/a	n/a	500.00	5.0
BASSWOOD PARTNERS	267	BPOP	S	37,700	3.08	n/a	n/a	1,508.00	4.0
GREEN ARROW DOUG	040	BZWS	B	10,000	1.20	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	BZ	B	5,500	8.87	n/a	n/a	275.00	5.0
GREEN ARROW DOUG	040	CHMT	B	25,000	17.32	n/a	18-Feb	1,250.00	5.0
CASTLE ARK	031	EMR	B	227,309	58.14	n/a	n/a	11,365.45	5.0
RIDGECREST INV MGMT LLC	028	ETN	B	10,000	52.83	n/a	20-Apr	500.00	5.0
ROYCE TRADING	012	FINL	B	7,000	21.10	n/a	25-Mar	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	F	B	30,000	15.14	n/a	13-Apr	1,500.00	5.0
OZ MGMT	040	F	C	116,184	15.15	n/a	13-Apr	3,485.52	3.0
BNP PARIBAS SEC	040	GM	B	30,000	29.73	n/a	13-Apr	1,500.00	5.0
GREEN ARROW DOUG	040	GM	B	20,000	29.59	n/a	13-Apr	1,000.00	5.0
CORVEX CAPITAL	041	HCA	S	50,000	31.62	n/a	n/a	1,500.00	3.0
GALT INVESTMENT	041	HGG	S	900	12.21	n/a	n/a	36.00	4.0
NOKOMIS PARTNERS	031	HOGS	B	10,100	15.57	n/a	n/a	303.00	3.0
CAVU CAP ADV	028	HON	B	15,217	59.30	n/a	6-Apr	760.85	5.0
CIRCLE T/SES PART	033	IGT	B	10,000	16.10	n/a	18-Apr	400.00	4.0
DE SHAW	070	IGT	B	90,000	16.04	n/a	18-Apr	2,700.00	3.0
SUN AMERICA ASSET MGMT	030	INTC	B	3,800	21.18	n/a	n/a	152.00	4.0
CAVU CAP ADV	028	JCI	B	7,500	40.11	n/a	4-Apr	375.00	5.0
DELTEC ASSET MGMT.	040	JPM	S	8,800	44.60	n/a	13-Apr	440.00	5.0
SIGMA CAPITAL ASSOCIATES	041	KR	SS	50,000	24.14	n/a	n/a	1,750.00	3.5
SANDLER O'NEILL ASSET	031	LAZ	S	16,800	41.60	n/a	13-Apr	840.00	5.0
AAD CAPITAL	084	LVS	S	20,000	46.02	n/a	8-Apr	800.00	4.0
NORTHWESTERN MUTUAL LIFE	047	MGM	S	178,000	13.56	n/a	13-Apr	7,120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	MOV	S	14,288	17.01	n/a	n/a	571.52	4.0
GALT INVESTMENT	041	MSSR	S	4,300	9.36	n/a	n/a	129.00	3.0
BASSWOOD PARTNERS	267	MS	S	6,900	26.14	n/a	13-Apr	276.00	4.0
SUN AMERICA ASSET MGMT	030	MU	B	14,300	10.89	n/a	n/a	572.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	MWV	S	10,000	32.43		n/a 14-Apr	500.00	5.0
CAVU CAP ADV	028	NEM	S	8,790	59.32	n/a	n/a	439.50	5.0
SONTERRA CAP	041	PDE	S	30,000	42.66	n/a	n/a	1,200.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	PGI	SS	6,000	7.52	n/a	n/a	300.00	5.0
TALKOT CAPITAL LLC	084	PKG	B	5,000	28.00	n/a	19-Apr	200.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	69.71	n/a	30-Mar	600.00	3.0
BUCK CAPITAL MGMT	001	RL	S	3,000	131.99	n/a	10-Feb	90.00	3.0
GALT INVESTMENT	041	SCSS	S	25,000	12.71	n/a	n/a	1,000.00	4.0
CATAPULT	040	SLGN	SS	10,000	46.58	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	SLGN	SS	10,000	46.57	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	SLGN	B	25,000	46.57	n/a	n/a	750.00	3.0
SUN AMERICA ASSET MGMT	030	SNDK	S	4,300	47.60	n/a	n/a	172.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	SPY	B	2,830	133.01	n/a	n/a	113.20	4.0
DAVIDSON KEMPNER ADVISOR	040	SRX	S	1,380	30.93	n/a	n/a	69.00	5.0
LITESPEED	028	SSCC	S	59,805	39.16	n/a	14-Apr	1,794.15	3.0
CATAPULT	040	STI	B	5,000	27.70	n/a	n/a	200.00	4.0
SUN AMERICA ASSET MGMT	030	STX	B	7,500	18.10	n/a	n/a	300.00	4.0
GREEN ARROW DOUG	040	SYX	SS	10,000	28.89	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.83	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	TIN	S	6,000	23.81	n/a	20-Apr	300.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	SS	5,000	23.70	n/a	20-Apr	250.00	5.0
SCHOTTENFELD ASSOC	041	TIN	SS	10,000	23.51	n/a	20-Apr	300.00	3.0
GREEN ARROW DOUG	040	TKR	B	10,000	52.23	n/a	n/a	500.00	5.0
CORVEX CAPITAL	041	UAL	S	200,000	20.95	n/a	n/a	6,000.00	3.0
ROSEDALE CAPITAL	046	USB	S	20,000	24.80	n/a	n/a	1,000.00	5.0
BNP PARIBAS SEC	040	USG	B	30,000	15.63	n/a	20-Apr	1,500.00	5.0
TROUBH PART	070	VC	B	10,000	66.91	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	V	B	8,050	77.56	n/a	13-Apr	402.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	WMB	S	50,000	31.57	n/a	n/a	2,000.00	4.0
PROSPECTOR PARTNERS LLC	036	WMT	B	10,000	53.80	n/a	5-Apr	400.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	21,400	63.23	n/a	1-Mar	642.00	3.0
GREEN ARROW DOUG	040	WY	SS	10,000	22.59	n/a	14-Apr	500.00	5.0
TOTAL (Trade Date):								69,188.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/19	CAVU CAP ADV (CAVUJPM)	028	GT	S	3,710	15.45	n/a	n/a	185.50 5.0
AO,CXL	04/19	CAVU CAP ADV (CAVUCREDIS)	028	GT	S	10,000	15.45	n/a	n/a	500.00 5.0
AO,	04/19	CAVU CAP ADV (CAVUCREDIS)	028	GT	S	6,290	15.45	n/a	n/a	314.50 5.0
AO,CXL	04/19	LISTED ERR (LISTED ERR)	097	HCA	B	30,000	32.82	n/a	n/a	0.00 0.0
AO,CXL	04/19	LISTED ERR (LISTED ERR)	099	HCA	S	30,000	32.82	n/a	n/a	0.00 0.0
AO,CXL	04/19	SCOPUS FUND (SCOPGS)	041	LOW	S	2,250	26.65	n/a	23-Feb	90.00 4.0
AO,CRT	04/19	SCOPUS FUND (SCOPGS)	041	LOW	S	3,375	26.65	n/a	23-Feb	135.00 4.0
AO,CXL	04/19	SCOPUS FUND (SCOPUBS)	041	LOW	S	22,750	26.65	n/a	23-Feb	910.00 4.0
AO,CRT	04/19	SCOPUS FUND (SCOPUBS)	041	LOW	S	21,625	26.65	n/a	23-Feb	865.00 4.0
CRT	04/20	LITESPEED (LITEUBS)	028	SSCC	S	59,805	39.16	n/a	14-Apr	1794.15 3.0

TOTAL (AO, CXL, CRT) :**1,794.15**

TOTAL (Trade Date) :

69,188.71

TOTAL (AO, CXL, CRT) :

1,794.15

TOTAL (RUN DATE) / NFS :**70,982.86**

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