

Daily Compliance Activity Report Trade Date: 03/31/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					- 0			TICIDE (IO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BALLAST CAP	040	AAP	SS	3,500	65.27	n/a	n/a	175.00	5.0
BALLAST CAP	040	ACXM	В	24,200	14.13	n/a	n/a	1,210.00	5.0
GEOSPHERE CAPITAL MGMT	084	ADM	SS	50,000	36.25	n/a	14-Mar	1,500.00	3.0
BALLAST CAP	040	AKR	S	9,900	18.81	n/a	n/a	495.00	5.0
BARON ASSET MGMT*	012	ALV	S	20,000	73.54	n/a	2-Feb	1,000.00	5.0
SURVEYOR CAPITAL	041	AON	SS	7,000	52.73	n/a	n/a	210.00	3.0
BALLAST CAP	040	AZO	SS	1,200	272.35	n/a	n/a	60.00	5.0
MERRILL ASSET/BLACKROCK	266	BACWSA	S	2,029	7.61	n/a	n/a	81.16	4.0
PIONEER PATH	028	CREE	В	25,000	47.03	n/a	n/a	750.00	3.0
MERRILL ASSET/BLACKROCK	266	CWSB	S	1,092	0.19	n/a	n/a	10.92	1.0
SANDLER O'NEILL ASSET	031	С	В	9,500	4.43	n/a	28-Mar	190.00	2.0
IRIDIAN ASSET MGMT.	036	DAN	S	100,000	17.44	n/a	24-Feb	3,000.00	3.0
BALYASNY ASSET MGMT	044	DDS	С	20,000	40.17	n/a	n/a	1,000.00	5.0
PARAMETER CAPITAL MGMT LI	LC044	ENH	В	5,450	47.55	n/a	n/a	218.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	ROYCE TRADING	012	FINL	В	3,000	19.74	n/a	25-Mar	150.00	5.0
õ	Doug Rogers		FOR	S	100 1	.8.9427	n/a	7-Feb	0.00	0.0
õ	Doug Rogers		FOR	s	100 1	8.9484	n/a	7-Feb	0.00	0.0
õ	Doug Rogers		FOR	S	100 1	8.9527	n/a	7-Feb	0.00	0.0
õ	Doug Rogers		FOR	S	300 1	8.9410	n/a	7-Feb	0.00	0.0
õ	Doug Rogers		FOR	S	586 1	8.9440	n/a	7-Feb	0.00	0.0
	AVESTA CAP	229	F	S	200,000	14.77	n/a	31-Mar	6,000.00	3.0
	IRIDIAN ASSET MGMT.	036	GM	S	5,940	31.18	n/a	31-Mar	297.00	5.0
	CAXTON PART	040	GT	В	50,000	14.99	n/a	n/a	1,750.01	3.5
	MA CAPITAL MGMT/MELLON A	.DV041	IP	В	2,000	29.85	n/a	17-Mar	100.00	5.0
	SURVEYOR CAPITAL	041	IVZ	В	19,708	25.40	n/a	2-Mar	591.24	3.0
	SURVEYOR CAPITAL	041	JNS	SS	40,388	12.30	n/a	n/a	1,211.64	3.0
	BARON ASSET MGMT*	012	KMX	S	150,000	32.43	n/a	n/a	7,500.00	5.0
	BALLAST CAP	040	KSS	SS	7,500	52.70	n/a	31-Mar	375.00	5.0
	CAERUS GLOBAL	041	KSS	В	21,200	52.62	n/a	31-Mar	848.00	4.0
	BALLAST CAP	040	LOGM	SS	3,100	41.90	n/a	n/a	155.00	5.0
	BALLAST CAP	040	LOW	SS	15,000	26.45	n/a	23-Feb	750.00	5.0
	BALLAST CAP	040	LTM	SS	5,400	37.22	n/a	n/a	270.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
	BALLAST CAP	040	MAS	SS	11,600	13.98	n/a	n/a	580.00	5.0
	MATRIX ASSET ADV.	091	MHP	s	3,500	39.96	n/a	n/a	140.00	4.0
	TALPION LLC	040	MJN	S	10,000	58.11	n/a	n/a	400.00	4.0
	BALLAST CAP	040	MLM	SS	2,900	89.88	n/a	n/a	145.00	5.0
	SURVEYOR CAPITAL	041	MMC	В	20,127	29.76	n/a	n/a	603.81	3.0
	IRIDIAN ASSET MGMT.	036	MRVL	S	55,260	15.74	n/a	n/a	2,763.00	5.0
	WHITE PINE CAPITAL	030	MS	S	1,000	27.30	n/a	28-Mar	50.00	5.0
õ	Doug Rogers		MWA	В	5000	4.4600	n/a	n/a	0.00	0.0
	FIRST NY SEC/CHRIS	041	М	В	10,000	23.84	n/a	31-Mar	500.00	5.0
	THE JAY GOLDMAN	028	М	S	50,000	23.99	n/a	31-Mar	2,000.00	4.0
	SMITH MGMT LLC	029	NDN	В	50,000	19.62	n/a	31-Mar	0.00	0.0
	NOMURA CAPITAL	029	NRG	S	1,000	21.51	n/a	n/a	30.00	3.0
	SANDLER CAPITAL	028	OII	S	111,100	89.01	n/a	n/a	5,555.00	5.0
	BALYASNY ASSET MGMT	044	ORLY	С	30,000	57.21	n/a	n/a	1,500.00	5.0
	BALLAST CAP	040	PCL	S	2,800	43.61	n/a	1-Feb	140.00	5.0
	ROYCE TRADING	012	PLCE	В	6,000	49.84	n/a	9-Mar	300.00	5.0

										=
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
BUCK CAPITAL MGMT	001	PVH	S	20,000	64.96	n/a	30-Mar	600.00	3.0	
PRIMECAP MGMT	084	PXP	S	80,000	36.40	n/a	n/a	3,200.00	4.0	
EPOCH INV MGMT	030	RKT	В	29,402	69.18	n/a	n/a	882.06	3.0	
WEISS PECK	040	SCVL	S	18,300	28.21	n/a	n/a	915.00	5.0	
WHITE PINE CAPITAL	030	SGMS	S	2,000	8.78	n/a	n/a	100.00	5.0	
MERRILL ASSET/BLACKROCK	266	SPN	S	12,302	41.00	n/a	n/a	492.08	4.0	
BALLAST CAP	040	STE	SS	4,400	34.64	n/a	n/a	220.00	5.0	
BALLAST CAP	040	STRA	SS	1,200	129.27	n/a	n/a	60.00	5.0	
WHITE PINE CAPITAL	030	SURG	S	2,000	5.89	n/a	n/a	100.00	5.0	
FIRST NEW YORK LEDDY	035	S	S	20,000	4.63	n/a	n/a	800.00	4.0	
MERRILL ASSET/BLACKROCK	266	TESO	S	3,400	22.16	n/a	n/a	136.00	4.0	
SAC CAPITAL/M GRONET	030	TJX	В	10,000	49.45	n/a	31-Mar	350.00	3.5	
ARMATURE CAPITAL	041	UFS	В	30,000	91.19	n/a	n/a	1,200.00	4.0	
SCOPUS FUND	041	UPS	SS	15,000	74.40	n/a	n/a	600.00	4.0	
CAXTON PART	040	VIAB	В	12,689	46.80	n/a	n/a	444.13	3.5	
	BUCK CAPITAL MGMT PRIMECAP MGMT EPOCH INV MGMT WEISS PECK WHITE PINE CAPITAL MERRILL ASSET/BLACKROCK BALLAST CAP BALLAST CAP WHITE PINE CAPITAL FIRST NEW YORK LEDDY MERRILL ASSET/BLACKROCK SAC CAPITAL/M GRONET ARMATURE CAPITAL SCOPUS FUND	BUCK CAPITAL MGMT 001 PRIMECAP MGMT 084 EPOCH INV MGMT 030 WEISS PECK 040 WHITE PINE CAPITAL 030 MERRILL ASSET/BLACKROCK 266 BALLAST CAP 040 WHITE PINE CAPITAL 030 FIRST NEW YORK LEDDY 035 MERRILL ASSET/BLACKROCK 266 SAC CAPITAL/M GRONET 030 ARMATURE CAPITAL 041 SCOPUS FUND 041	BUCK CAPITAL MGMT PRIMECAP MGMT EPOCH INV MGMT WEISS PECK WHITE PINE CAPITAL MERRILL ASSET/BLACKROCK BALLAST CAP BALLAST CAP WHITE PINE CAPITAL WHITE PINE CAPITAL WHITE PINE CAPITAL BALLAST CAP WHITE PINE CAPITAL WHATTE CAPIT	BUCK CAPITAL MGMT PVH S PRIMECAP MGMT 084 PXP S EPOCH INV MGMT 030 RKT B WEISS PECK 040 SCVL S WHITE PINE CAPITAL 030 SGMS S MERRILL ASSET/BLACKROCK 266 SPN S BALLAST CAP 040 STE SS WHITE PINE CAPITAL 030 SURG S FIRST NEW YORK LEDDY 035 S MERRILL ASSET/BLACKROCK 266 TESO S SAC CAPITAL/M GRONET 030 TJX B ARMATURE CAPITAL 041 UPS SS S S S S S S S S S S S	BUCK CAPITAL MGMT 001 PVH S 20,000 PRIMECAP MGMT 084 PXP S 80,000 EPOCH INV MGMT 030 RKT B 29,402 WEISS PECK 040 SCVL S 18,300 WHITE PINE CAPITAL 030 SGMS S 2,000 MERRILL ASSET/BLACKROCK 266 SPN S 12,302 BALLAST CAP 040 STE SS 4,400 BALLAST CAP 040 STRA SS 1,200 WHITE PINE CAPITAL 030 SURG S 2,000 FIRST NEW YORK LEDDY 035 S S 20,000 MERRILL ASSET/BLACKROCK 266 TESO S 3,400 SAC CAPITAL/M GRONET 030 TJX B 10,000 ARMATURE CAPITAL 041 UFS B 30,000 SCOPUS FUND 041 UPS SS 15,000	BUCK CAPITAL MGMT 001 PVH S 20,000 64.96 PRIMECAP MGMT 084 PXP S 80,000 36.40 EPOCH INV MGMT 030 RKT B 29,402 69.18 WEISS PECK 040 SCVL S 18,300 28.21 WHITE PINE CAPITAL 030 SGMS S 2,000 8.78 MERRILL ASSET/BLACKROCK 266 SPN S 12,302 41.00 BALLAST CAP 040 STE SS 4,400 34.64 BALLAST CAP 040 STRA SS 1,200 129.27 WHITE PINE CAPITAL 030 SURG S 2,000 5.89 FIRST NEW YORK LEDDY 035 S S 20,000 4.63 MERRILL ASSET/BLACKROCK 266 TESO S 3,400 22.16 SAC CAPITAL/M GRONET 030 TJX B 10,000 49.45 ARMATURE CAPITAL 041 UFS B 30,000 91.19 SCOPUS FUND 041 UPS SS 15,000 74.40	BUCK CAPITAL MGMT 001 PVH S 20,000 64.96 n/a PRIMECAP MGMT 084 PXP S 80,000 36.40 n/a EPOCH INV MGMT 030 RKT B 29,402 69.18 n/a WEISS PECK 040 SCVL S 18,300 28.21 n/a WHITE PINE CAPITAL 030 SGMS S 2,000 8.78 n/a MERRILL ASSET/BLACKROCK 266 SPN S 12,302 41.00 n/a BALLAST CAP 040 STE SS 4,400 34.64 n/a BALLAST CAP 040 STRA SS 1,200 129.27 n/a WHITE PINE CAPITAL 030 SURG S 2,000 5.89 n/a FIRST NEW YORK LEDDY 035 S S 20,000 4.63 n/a MERRILL ASSET/BLACKROCK 266 TESO S 3,400 22.16 n/a SAC CAPITAL/M GRONET 030 TJX B 10,000 49.45 n/a ARMATURE CAPITAL 041 UFS B 30,000 91.19 n/a SCOPUS FUND 041 UPS SS 15,000 74.40 n/a	BUCK CAPITAL MGMT 001 PVH S 20,000 64.96	BUCK CAPITAL MGMT 001 PVR S 20,000 64.96	BUCK CAPITAL MGMT 001 PVH S 20,000 64.96

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
SURVEYOR CAPITAL	041	WDR	SS	6 , 718	40.52	n/a	2-Mar	201.54 3.0
SURVEYOR CAPITAL	041	WFT	В	90,000	22.56	n/a	n/a	2,700.00 3.0

TOTAL (Trade Date): 57,605.59

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	03/30	COLUMBUS CIRCLE (COLC5000)	036	GILD	В	4,721	42.77	n/a	n/a	188.84	4.0
CRT	03/31	THE JAY GOLDMAN (GOLDGSBULK)	028	М	S	50,000	23.99	n/a	31-Mar	2000.00	4.0
AO,	03/30	COLUMBUS CIRCLE (COLC5000)	036	STJ	В	1,915	51.57	n/a	n/a	76.60	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TDC	S	10	50.43	n/a	n/a	0.40	4.0
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	TDC	S	1,381	50.43	n/a	n/a	55.24	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TE	S	1,766	18.73	n/a	n/a	70.64	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TEG	S	641	50.66	n/a	n/a	25.64	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TER	S	37	17.94	n/a	n/a	1.48	4.0
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	TER	S	1,496	17.94	n/a	n/a	59.84	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TIE	S	164	18.29	n/a	n/a	6.56	4.0
AO,	03/30	PARTNER REINSURANCE (PARRBDATEQ)	033	TIE	S	576	18.29	n/a	n/a	23.04	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TLAB	S	2,999	5.32	n/a	n/a	119.96	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TMK	S	640	65.85	n/a	n/a	25.60	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TROW	S	2,129	66.23	n/a	n/a	85.16	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TRV	S	3,543	59.38	n/a	n/a	141.72	4.0
AO,	03/30	PARTNER REINSURANCE (PARRPUSTEQ)	033	TSO	S	1,161	27.76	n/a	n/a	46.44	4.0

Туре	Date	Account		RR #	Symbol	B/S	Shares	Price	MRI I	Research	Comm.	Shr.
AO,	03/30	PARTNER REINSURANCE	(PARRBDATEQ)	033	TSO	S	15	27.76	n/a	n/a	0.60	4.0
AO,	03/30	PARTNER REINSURANCE	(PARRPUSTEQ)	033	TSS	S	1,344	18.08	n/a	n/a	53.76	4.0
AO,	03/30	PARTNER REINSURANCE	(PARRPUSTEQ)	033	TXN	S	9,694	34.74	n/a	n/a	387.76	4.0
AO,	03/30	PARTNER REINSURANCE	(PARRPUSTEQ)	033	UNM	S	2,545	26.60	n/a	n/a	101.80	4.0
AO,	03/30	PARTNER REINSURANCE	(PARRPUSTEQ)	033	USB	S	15 , 797	26.65	n/a	n/a	631.88	4.0
AO,	03/30	PARTNER REINSURANCE		033	V V	S S	142 3 , 866	74.13 74.13	n/a n/a	7-Mar 7-Mar	5.68 154.64	4.0
AO,	03/30	TANTINEN NETHOUNANCE	(I MUMDATEQ)	033	v	5	3,000	77.13	11/ a	, rial	101.04	7.0
TOTAL	(AO, (CXL, CRT):								4,2	263.28	

TOTAL (AO, CXL, CRT):	4,263.28
TOTAL (RUN DATE) / NFS:	61,868.87

Legend:

O: 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