



## Daily Compliance Activity Report

Trade Date: 03/07/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	041	ACL	B	15,000	165.51	n/a	7-Mar	600.00	4.0
TROUBH PART	070	ADM	SS	35,000	36.55	n/a	24-Feb	1,750.00	5.0
BNP PARIBAS SEC	040	AVY	SS	20,000	41.05	n/a	3-Mar	1,000.00	5.0
MERRILL ASSET/BLACKROCK	266	BKD	S	25,000	26.97	n/a	n/a	1,000.00	4.0
CAXTON PART	040	BUD	B	42,983	57.84	n/a	4-Mar	1,504.43	3.5
BMO NESBITT BURNS	041	BWS	SS	9,000	14.19	n/a	n/a	270.00	3.0
FIRST NY SEC/CHRIS	041	COH	B	10,000	55.35	n/a	26-Jan	500.00	5.0
RBC CAPITAL MARKETS	040	COST	B	10,000	72.36	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	DKS	B	2,000	37.64	n/a	7-Mar	60.00	3.0
NEUBERGER BERMAN	036	DTSI	B	22,500	47.24	n/a	n/a	900.00	4.0
MOORE CAPITAL	041	FDO	S	5,000	50.84	n/a	16-Feb	200.00	4.0
TRUST CO/COWEN/CALF.	040	GCA	B	13,930	3.17	n/a	n/a	417.90	3.0
SUFFOLK CAPITAL MGMT	040	GPS	S	80,000	21.37	n/a	n/a	3,200.00	4.0
PARKWEST	084	GSL	B	8,300	6.94	n/a	n/a	249.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAXON WOODS ADVISORS	048	HAS	B	10,000	47.14	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	HBI	B	20,000	25.21	n/a	28-Jan	1,000.00	5.0
LONG OAR GLOBAL INV	040	JCI	B	17,100	41.09	n/a	20-Jan	684.00	4.0
UBS OCONNOR	031	JCI	B	75,000	41.07	n/a	20-Jan	2,250.00	3.0
SURSUM CAPITAL	215	JWN	B	10,000	43.59	n/a	3-Mar	300.00	3.0
GRANAHAN INV	048	KEG	B	58,000	15.67	n/a	24-Feb	2,320.00	4.0
PARAMETER CAPITAL MGMT LLC044		KMT	B	15,000	38.59	n/a	28-Jan	600.00	4.0
PARAMETER CAPITAL MGMT LLC044		KMT	S	15,000	37.87	n/a	28-Jan	600.00	4.0
SAC CHICAGO ANDREW	031	KR	B	800	23.50	n/a	n/a	28.00	3.5
OZ MGMT	040	LEA	B	15,000	103.78	n/a	2-Feb	450.00	3.0
AAD CAPITAL	084	MGM	B	22,800	13.32	n/a	14-Feb	684.00	3.0
CYRUS CAPITAL	025	MHK	SS	12,900	55.04	n/a	n/a	516.00	4.0
CAMBIAR CAP	046	MMI	B	83,045	26.52	n/a	n/a	3,321.80	4.0
BNP PARIBAS SEC	040	MMM	SS	10,000	92.30	n/a	28-Feb	500.00	5.0
KLEINHEINZ CAP PART	031	MMM	B	10,000	93.24	n/a	28-Feb	500.00	5.0
WATERFRONT CAP	028	MPEL	B	100,000	7.34	n/a	1-Mar	4,000.00	4.0
PERRY PARTNERS	085	M	S	50,000	23.33	n/a	3-Mar	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPIA CAPITAL	048	M	B	100,000	23.39	n/a	3-Mar	4,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	100,000	16.31	n/a	3-Feb	4,000.00	4.0
COLUMBIA PARTNERS	028	PAG	SS	110,645	19.21	n/a	17-Feb	4,425.80	4.0
RAIL-SPLITTER	031	PNRA	B	6,825	121.81	n/a	11-Feb	341.25	5.0
RBC CAPITAL MARKETS	040	PVH	S	10,000	59.39	n/a	1-Feb	400.00	4.0
CYRUS CAPITAL	025	RES	B	10,000	21.16	n/a	n/a	400.00	4.0
MOORE CAPITAL	041	RGS	B	5,000	17.74	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	ROST	S	10,000	70.61	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	SCVL	SS	2,000	25.98	n/a	n/a	60.00	3.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.39	n/a	n/a	800.00	4.0
ROSEDALE CAPITAL	046	S	B	40,000	4.42	n/a	n/a	1,200.00	3.0
SAC TRADIN/BINDER	044	TCB	SS	50,000	15.93	n/a	n/a	1,750.00	3.5
RBC CAPITAL MARKETS	040	TJX	S	10,000	49.48	n/a	3-Mar	400.00	4.0
ASCEND PARTNERS	033	UA	C	12,600	66.65	n/a	28-Jan	630.00	5.0
BMO NESBITT BURNS	041	UA	B	2,000	66.30	n/a	28-Jan	60.00	3.0
MERRILL ASSET/BLACKROCK	266	UMBF	S	20,600	38.50	n/a	n/a	824.00	4.0
RBC CAPITAL MARKETS	040	VALE	S	65,000	33.36	n/a	n/a	2,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURSUM CAPITAL	215	VFC	B	5,000	95.90	n/a	23-Feb	150.00	3.0
SAC TRADIN/BINDER	044	WBS	SS	50,000	22.10	n/a	n/a	1,750.00	3.5
AAD CAPITAL	084	WNR	B	50,000	15.62	n/a	n/a	1,500.00	3.0
ARMATURE CAPITAL	041	WY	SS	50,000	23.45	n/a	4-Feb	2,000.00	4.0
T. ROWE PRICE	033	WY	S	234,400	23.39	n/a	4-Feb	9,376.00	4.0
GREEN ARROW DOUG	040	XLP	SS	25,000	29.50	n/a	n/a	1,250.00	5.0
CAXTON PART	040	XOM	B	19,117	85.80	n/a	n/a	669.13	3.5
<b>TOTAL (Trade Date):</b>								<b>71,891.31</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/07	TROUBH PART (TROUGOLD)	070	ADM	SS	35,000	36.55	n/a	24-Feb	1750.00 5.0
AO,	03/04	COLUMBUS CIRCLE (COLC3060)	036	MON	B	6,700	72.45	n/a	7-Feb	268.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,018.00</b>

TOTAL (Trade Date):	71,891.31
TOTAL (AO, CXL, CRT):	2,018.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>73,909.31</b>
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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