



## Daily Compliance Activity Report

Trade Date: 04/12/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CHICAGO ANDREW	031	AAP	SS	50,000	65.66	n/a	n/a	1,750.00	3.5
SUN AMERICA ASSET MGMT	030	ABT	B	12,900	50.78	n/a	n/a	516.00	4.0
STATE TEACHERS RET SYS	047	ACN	S	25,000	55.76	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	AEO	SS	10,000	15.79	n/a	10-Mar	400.00	4.0
GREEN ARROW DOUG	040	AMR	S	25,000	5.98	n/a	n/a	1,250.00	5.0
PAW PARTNERS	025	APKT	SS	5,000	70.54	n/a	n/a	250.00	5.0
CASTLEROCK	040	ATML	B	50,000	12.58	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	AXL	B	55,000	11.37	n/a	9-Feb	2,750.00	5.0
MILLRACE FUND LP	028	AXL	B	10,000	11.41	n/a	9-Feb	400.00	4.0
NEW JERSEY DIV OF INV.	030	BBY	S	100,000	30.55	n/a	n/a	4,000.00	4.0
SUN AMERICA ASSET MGMT	030	BEXP	S	19,100	32.28	n/a	n/a	764.00	4.0
MILLENNIUM-ANDEW	031	CAT	B	5,000	106.71	n/a	12-Apr	300.00	6.0
RBC CAPITAL MARKETS	040	CAT	B	10,000	107.16	n/a	12-Apr	400.00	4.0
CATAPULT	040	CBE	B	10,000	67.01	n/a	5-Jan	400.00	4.0
COUGAR TRADING	044	CBRL	B	5,000	48.84	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CCK	SS	5,000	37.93	n/a	n/a	200.00	4.0
1798 CAP/LOMBARD ASSET	040	CCL	C	75,000	38.62	n/a	n/a	3,750.00	5.0
SAC CHICAGO ANDREW	031	CL	B	10,000	83.09	n/a	4-Apr	350.00	3.5
GOLD SACHS SPECIAL SIT	030	CVGI	B	7,500	16.83	n/a	n/a	375.00	5.0
1798 CAP/LOMBARD ASSET	040	CVI	S	50,000	21.79	n/a	n/a	2,500.00	5.0
NEW JERSEY DIV OF INV.	030	CYH	S	50,000	28.89	n/a	n/a	2,000.00	4.0
LONG OAR GLOBAL INV	040	DAN	SS	98,250	16.59	n/a	24-Feb	3,930.00	4.0
RBC CAPITAL MARKETS	040	DD	SS	5,000	54.39	n/a	28-Mar	200.00	4.0
ROYCE TRADING	012	FINL	B	10,000	20.36	n/a	25-Mar	500.00	5.0
BNP PARIBAS SEC	040	F	B	60,000	14.80	n/a	12-Apr	3,000.00	5.0
OZ MGMT	040	F	SS	100,000	14.71	n/a	12-Apr	3,000.00	3.0
SUN AMERICA ASSET MGMT	030	GES	B	8,600	39.51	n/a	17-Mar	344.00	4.0
CAXTON PART	040	GIS	B	19,244	36.60	n/a	n/a	673.56	3.5
US BANCORP	030	GME	B	210,684	23.76	n/a	n/a	9,480.79	4.5
PHILADELPHIA FINANCIAL	033	GM	C	69,473	30.47	n/a	12-Apr	2,778.92	4.0
TRELLUS PARTNERS LP	028	GM	SS	50,000	31.14	n/a	12-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	GM	B	100,000	31.01	n/a	12-Apr	4,000.00	4.0
1798 CAP/LOMBARD ASSET	040	GPS	SS	25,000	22.25	n/a	n/a	1,250.00	5.0
FRED ALGER MGMT	035	GS	B	38,440	160.28	n/a	28-Mar	1,383.84	3.6
SENATOR INVESTMENT GROUP	036	GTI	B	112,800	19.65	n/a	n/a	3,384.00	3.0
CYPRESS CAP MGMT LLC	040	HD	B	12,000	37.95	n/a	22-Feb	480.00	4.0
STATE TEACHERS RET SYS	047	HME	S	10,000	58.98	n/a	n/a	500.00	5.0
CAERUS GLOBAL	041	IGT	B	25,000	15.00	n/a	12-Apr	1,000.00	4.0
CIRCLE T/SES PART	033	IGT	B	5,000	15.00	n/a	12-Apr	200.00	4.0
GREEN ARROW DOUG	040	IGT	B	25,000	15.15	n/a	12-Apr	1,250.00	5.0
BALYASNY ASSET MGMT	044	IP	C	10,000	28.93	n/a	17-Mar	500.00	5.0
BMO NESBITT BURNS	041	IP	B	3,000	28.85	n/a	17-Mar	120.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	5,000	28.96	n/a	17-Mar	250.00	5.0
FRED ALGER MGMT	035	JPM	B	132,685	46.68	n/a	6-Apr	4,776.66	3.6
SUN AMERICA ASSET MGMT	030	JWN	B	18,400	46.20	n/a	8-Apr	736.00	4.0
S.A.C. CAP/ORENSTEIN	044	KBE	B	150,000	25.97	n/a	n/a	5,250.00	3.5
CATAPULT	040	KBR	SS	25,000	35.81	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	KBR	S	3,535	35.95	n/a	n/a	141.40	4.0
RBC CAPITAL MARKETS	040	KEX	S	2,100	55.28	n/a	n/a	84.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	LGF	S	30,000	6.46	n/a	n/a	1,200.00	4.0
BARROW HANLEY MEWHINNEY	031	MDT	B	206,000	40.28	n/a	n/a	7,210.00	3.5
KLEINHEINZ CAP PART	031	MMM	S	25,000	92.44	n/a	28-Mar	1,250.00	5.0
KENNEDY CAPITAL	046	MOV	S	3,985	17.00	n/a	n/a	159.40	4.0
1798 CAP/LOMBARD ASSET	040	MRO	S	35,000	50.76	n/a	n/a	1,750.00	5.0
ROSEDALE CAPITAL	046	MSFT	B	20,000	25.64	n/a	n/a	1,000.00	5.0
NEW JERSEY DIV OF INV.	030	MWW	B	25,000	17.23	n/a	n/a	1,000.00	4.0
1798 CAP/LOMBARD ASSET	040	NAV	S	4,000	65.99	n/a	10-Mar	200.00	5.0
NEW JERSEY DIV OF INV.	030	NEM	S	60,000	57.11	n/a	n/a	2,400.00	4.0
HALCYON LLC	041	NSM	B	50,000	24.08	n/a	n/a	1,500.00	3.0
LISTED ERR	099	NSM	B	50,000	24.09	n/a	n/a	0.00	0.0
LISTED ERR	099	NSM	S	50,000	24.08	n/a	n/a	0.00	0.0
BALLAST CAP	040	OI	B	13,800	29.81	n/a	n/a	690.00	5.0
COOKBIELER	028	PAG	B	88,500	19.56	n/a	12-Apr	3,540.00	4.0
COOPER CREEK PART	028	PAG	SS	20,000	19.50	n/a	12-Apr	800.00	4.0
GRANITE CAPITAL	028	PAG	SS	20,000	19.56	n/a	12-Apr	1,000.00	5.0
MILLRACE FUND LP	028	PAG	SS	15,000	19.91	n/a	12-Apr	600.00	4.0
RIDGECREST INV MGMT LLC	028	PAG	SS	10,000	19.56	n/a	12-Apr	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	PCAR	B	108,870	50.20	n/a	2-Feb	5,443.50	5.0
CAERUS GLOBAL	041	PETM	SS	15,000	41.39	n/a	n/a	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	25,000	27.72	n/a	17-Mar	1,250.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	S	30,000	27.89	n/a	17-Mar	1,500.00	5.0
ROYCE TRADING	012	PLCE	B	5,000	52.54	n/a	9-Mar	250.00	5.0
EPOCH INV MGMT	030	RKT	B	54,148	66.81	n/a	n/a	1,624.44	3.0
PARAMETER CAPITAL MGMT LLC044		ROK	SS	10,000	91.25	n/a	n/a	400.00	4.0
PAW PARTNERS	025	SMSC	B	10,000	24.54	n/a	n/a	500.00	5.0
CATAPULT	040	SOA	S	5,000	24.20	n/a	n/a	200.00	4.0
PARAMETER CAPITAL MGMT LLC044		SPW	S	9,600	79.36	n/a	n/a	384.00	4.0
MOORE CAPITAL	041	SWK	B	5,000	73.96	n/a	n/a	200.00	4.0
BMO NESBITT BURNS	041	TIN	B	4,000	22.11	n/a	17-Mar	160.00	4.0
STATE TEACHERS RET SYS	047	TJX	S	25,000	51.02	n/a	8-Apr	1,250.00	5.0
PARAMETER CAPITAL MGMT LLC044		TXT	S	30,000	26.75	n/a	n/a	1,200.00	4.0
TROUBH PART	070	VC	B	10,000	61.84	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	VFC	B	43,431	99.30	n/a	14-Mar	1,520.09	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	041	WAG	B	7,500	41.09	n/a	n/a	300.00	4.0
CIRCLE T/SES PART	033	WMS	B	5,000	30.28	n/a	12-Apr	200.00	4.0
RBC CAPITAL MARKETS	040	WM	B	25,000	37.77	n/a	n/a	1,000.00	4.0
RAINIER INV MGMT	035	WTR	S	25,000	22.10	n/a	n/a	1,000.00	4.0
CATAPULT	040	WY	SS	5,000	22.53	n/a	8-Apr	200.00	4.0
GRYPHON CAPITAL MGMT	084	WY	B	100,000	22.67	n/a	8-Apr	3,000.00	3.0
1798 CAP/LOMBARD ASSET	040	XLE	C	10,000	76.84	n/a	n/a	500.00	5.0
CAXTON PART	040	XOM	S	19,669	82.84	n/a	n/a	688.43	3.5
SIGMA CAPITAL ASSOCIATES	041	ZUMZ	B	25,000	28.42	n/a	n/a	875.00	3.5
<b>TOTAL (Trade Date):</b>							<b>128,113.03</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/11	MORTAR ROCK (MORTGSEOSP)	033	GM	SS	10,000	30.62	n/a	12-Apr	400.00 4.0
AO,CRT	04/11	MORTAR ROCK (MORTGSEOSP)	033	GM	SS	12,500	30.62	n/a	12-Apr	500.00 4.0
AO,CXL	04/08	PILOT ADV (PILOJPM)	048	RCII	SS	10,300	35.11	n/a	n/a	309.00 3.0
AO,	04/08	PILOT ADV (PILOBOFA)	048	RCII	SS	10,300	35.11	n/a	n/a	309.00 3.0
AO,CXL	04/08	PILOT ADV (PILOJPM)	048	WRLD	SS	2,250	63.97	n/a	n/a	67.50 3.0
AO,	04/08	PILOT ADV (PILOJPM)	048	WRLD	SS	2,200	63.97	n/a	n/a	66.00 3.0
AO,CXL	04/08	PILOT ADV (PILOBOFA)	048	WRLD	SS	50	63.97	n/a	n/a	1.50 3.0
AO,	04/08	PILOT ADV (PILOBOFA)	048	WRLD	SS	100	63.97	n/a	n/a	3.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>100.00</b>

TOTAL (Trade Date):	128,113.03
TOTAL (AO, CXL, CRT):	100.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>128,213.03</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