



Daily Compliance Activity Report

Trade Date: 03/22/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	048	AAPL	B	400	342.09	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	AAPL	S	100	340.52	n/a	n/a	3.00	3.0
EATON VANCE MGMT	048	ACN	B	2,900	50.28	n/a	n/a	87.00	3.0
RBC CAPITAL MARKETS	040	ADM	B	29,000	36.04	n/a	14-Mar	1,160.00	4.0
IMPALA ASSET MMT	012	ALK	B	5,000	61.53	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	AMAT	S	1,400	15.11	n/a	n/a	42.00	3.0
EATON VANCE MGMT	048	AMP	B	3,200	61.03	n/a	n/a	96.00	3.0
EATON VANCE MGMT	048	APD	B	1,800	88.41	n/a	8-Mar	54.00	3.0
EATON VANCE MGMT	048	AVB	B	1,800	118.12	n/a	n/a	54.00	3.0
SCOPUS FUND	041	AXL	SS	50,000	12.79	n/a	9-Feb	2,000.00	4.0
EATON VANCE MGMT	048	AXP	B	5,900	44.44	n/a	22-Mar	177.00	3.0
EATON VANCE MGMT	048	BAC	B	39,200	14.04	n/a	21-Mar	1,176.00	3.0
EATON VANCE MGMT	048	BA	B	2,300	71.11	n/a	16-Mar	69.00	3.0
DELTEC ASSET MGMT.	040	BEAV	B	20,000	34.29	n/a	4-Mar	1,000.00	5.0
EATON VANCE MGMT	048	BHP	B	4,200	89.49	n/a	n/a	126.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HILLIARD LYONS CAP MGMT	047	BLK	B	130	185.28	n/a	n/a	3.90	3.0
EATON VANCE MGMT	048	BXP	B	1,800	92.61	n/a	n/a	54.00	3.0
EPOCH INV MGMT	030	CAM	S	600	60.83	n/a	n/a	18.00	3.0
EATON VANCE MGMT	048	CAT	B	1,300	107.37	n/a	28-Jan	39.00	3.0
PZENA INV ADV	044	CA	B	70,000	23.17	n/a	n/a	2,450.21	3.5
IMPALA ASSET MMT	012	CCL	S	127,912	39.22	n/a	n/a	5,116.48	4.0
RBC CAPITAL MARKETS	040	CE	B	25,000	41.22	n/a	n/a	1,000.00	4.0
FARALLON CAP MGMT	040	CMCSA	B	75,000	24.21	n/a	n/a	2,250.00	3.0
EPOCH INV MGMT	030	COL	S	850	63.65	n/a	4-Mar	25.50	3.0
EATON VANCE MGMT	048	CSCO	B	12,300	17.43	n/a	n/a	369.00	3.0
EATON VANCE MGMT	048	C	B	86,400	4.41	n/a	21-Mar	864.00	1.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	6,776	14.45	n/a	n/a	271.04	4.0
EATON VANCE MGMT	048	FCX	B	7,200	52.40	n/a	n/a	216.00	3.0
ROYCE TRADING	012	FINL	B	60,000	17.66	n/a	18-Mar	3,000.00	5.0
EPOCH INV MGMT	030	FIS	S	1,100	31.45	n/a	n/a	33.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	FITB	B	19,200	14.13	n/a	n/a	576.00	3.0
MTB INV ADV	034	FL	S	5,175	18.79	n/a	3-Mar	258.75	5.0
OZ MGMT	040	F	SS	200,000	14.40	n/a	2-Mar	6,000.00	3.0
ROSEDALE CAPITAL	046	F	S	50,000	14.33	n/a	2-Mar	2,000.00	4.0
EATON VANCE MGMT	048	GD	B	4,300	75.80	n/a	15-Feb	129.00	3.0
DENVER INST. ADV	046	GES	B	13,900	37.81	n/a	17-Mar	556.00	4.0
EATON VANCE MGMT	048	GE	B	26,800	19.74	n/a	n/a	804.00	3.0
CATAPULT	040	GM	SS	60,000	30.70	n/a	2-Mar	2,400.00	4.0
IRIDIAN ASSET MGMT.	036	GM	S	6,650	30.81	n/a	2-Mar	332.50	5.0
WEINTRAUB CAPITAL MGT.	040	GM	SS	100,000	30.68	n/a	2-Mar	4,000.00	4.0
EPOCH INV MGMT	030	GPC	S	500	52.79	n/a	n/a	15.00	3.0
KLEINHEINZ CAP PART	031	GPS	S	100,000	21.90	n/a	n/a	5,000.00	5.0
EATON VANCE MGMT	048	GS	B	3,200	160.56	n/a	21-Mar	96.00	3.0
BNP PARIBAS SEC	040	HOG	S	25,000	40.01	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	HOT	S	10,000	56.78	n/a	23-Feb	500.00	5.0
EATON VANCE MGMT	048	HPQ	B	5,800	41.78	n/a	n/a	174.00	3.0
M&I FUNDS	047	HRS	B	5,278	48.63	n/a	21-Mar	211.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	IBM	B	1,600	158.45	n/a	n/a	48.00	3.0
PLATTE RIVER CAPITAL	240	IGT	S	22,670	16.01	n/a	21-Mar	906.80	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	26.82	n/a	17-Mar	1,000.00	5.0
EATON VANCE MGMT	048	ITW	B	5,100	55.04	n/a	1-Feb	153.00	3.0
EATON VANCE MGMT	048	JPM	B	15,900	45.58	n/a	21-Mar	477.00	3.0
EATON VANCE MGMT	048	KEY	B	30,500	8.77	n/a	n/a	610.00	2.0
EPOCH INV MGMT	030	KSS	S	600	53.08	n/a	3-Mar	18.00	3.0
OSKIE CAPITAL MGMT	224	LEA	S	5,000	48.79	n/a	21-Mar	250.00	5.0
EATON VANCE MGMT	048	LMT	B	2,600	81.41	n/a	15-Feb	78.00	3.0
EATON VANCE MGMT	048	LNC	B	10,400	30.36	n/a	n/a	312.00	3.0
COUGAR TRADING	044	LULU	B	10,000	77.44	n/a	17-Mar	500.00	5.0
MA CAPITAL MGMT/MELLON ADV041		LVS	B	2,000	38.50	n/a	21-Mar	100.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		LVS	S	10,000	38.59		n/a 21-Mar	500.00	5.0
HILLIARD LYONS CAP MGMT	047	MCD	S	163	74.16	n/a	8-Mar	4.89	3.0
EATON VANCE MGMT	048	MET	B	10,900	44.61	n/a	n/a	327.00	3.0
DENVER INST. ADV	046	MFB	B	30,000	27.25	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	MSFT	B	11,500	25.32	n/a	n/a	345.00	3.0
FIRST NY SEC/CHRIS	041	MSFT	B	25,000	25.44	n/a	n/a	1,250.00	5.0
DELTEC ASSET MGMT.	040	MWA	B	400	4.00	n/a	n/a	16.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	MYL	B	90,596	22.05	n/a	21-Mar	3,536.36	4.0
EGS ASSOCIATES LP	091	M	B	4,000	23.12	n/a	3-Mar	240.00	6.0
SMITH MGMT LLC	029	NDN	B	25,000	19.58	n/a	11-Mar	1,250.00	5.0
EPOCH INV MGMT	030	NYX	S	1,150	34.56	n/a	n/a	34.50	3.0
EATON VANCE MGMT	048	ORCL	B	5,800	31.44	n/a	n/a	174.00	3.0
LATEFF MGMT	035	PG	B	1,750	61.09	n/a	21-Mar	492.50	30.5
MTB INV ADV	034	PII	S	1,050	83.12	n/a	n/a	52.50	5.0
ROYCE TRADING	012	PLCE	B	25,930	47.31	n/a	9-Mar	1,296.50	5.0
EATON VANCE MGMT	048	PNC	B	9,000	62.26	n/a	n/a	270.00	3.0
EPOCH INV MGMT	030	PNC	S	500	62.30	n/a	n/a	15.00	3.0
EATON VANCE MGMT	048	PRU	B	8,800	61.21	n/a	n/a	264.00	3.0
EPOCH INV MGMT	030	PRU	S	800	61.16	n/a	n/a	24.00	3.0
IMPALA ASSET MMT	012	RCL	S	101,348	41.45	n/a	n/a	5,067.40	5.0
EPOCH INV MGMT	030	RE	S	350	82.78	n/a	n/a	10.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	RIMM	B	2,600	63.04	n/a	n/a	78.00	3.0
EATON VANCE MGMT	048	SPG	B	1,200	105.17	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	SPLS	S	1,650	20.04	n/a	n/a	49.50	3.0
FIRST NEW YORK LEDDY	035	S	S	25,000	4.50	n/a	n/a	1,000.00	4.0
EPOCH INV MGMT	030	TJX	S	900	49.35	n/a	3-Mar	27.00	3.0
EPOCH INV MGMT	030	TMO	S	950	53.74	n/a	n/a	28.50	3.0
EPOCH INV MGMT	030	TRV	S	400	58.97	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	TWX	S	600	35.42	n/a	n/a	18.00	3.0
EPOCH INV MGMT	030	TXN	S	1,500	33.76	n/a	n/a	45.00	3.0
EATON VANCE MGMT	048	T	B	9,200	28.29	n/a	n/a	276.00	3.0
IMPALA ASSET MMT	012	UAL	B	5,000	24.17	n/a	n/a	200.00	4.0
MTB INV ADV	034	ULTA	S	4,150	46.73	n/a	n/a	207.50	5.0
EPOCH INV MGMT	030	UNH	S	800	43.26	n/a	n/a	24.00	3.0
EATON VANCE MGMT	048	UNP	B	4,300	96.21	n/a	n/a	129.00	3.0
EATON VANCE MGMT	048	USB	B	15,200	26.62	n/a	n/a	456.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	048	UTX	B	4,300	81.31	n/a	n/a	129.00	3.0
EATON VANCE MGMT	048	VNO	B	1,400	86.97	n/a	n/a	42.00	3.0
EATON VANCE MGMT	048	VOD	B	8,500	28.86	n/a	n/a	255.00	3.0
EPOCH INV MGMT	030	VTR	S	900	52.93	n/a	n/a	27.00	3.0
EATON VANCE MGMT	048	VZ	B	10,400	36.51	n/a	n/a	312.00	3.0
EPOCH INV MGMT	030	V	S	450	71.80	n/a	7-Mar	13.50	3.0
SYSTEMATIC FINANCIAL MGT	035	WAG	B	133,800	39.34	n/a	n/a	4,014.00	3.0
EPOCH INV MGMT	030	WEC	S	1,450	30.03	n/a	n/a	43.50	3.0
EATON VANCE MGMT	048	WFC	B	31,000	31.80	n/a	14-Mar	930.00	3.0
EPOCH INV MGMT	030	WFR	S	1,150	12.51	n/a	n/a	34.50	3.0
EATON VANCE MGMT	048	WM	B	3,500	36.85	n/a	n/a	105.00	3.0
EPOCH INV MGMT	030	WM	S	1,300	36.84	n/a	n/a	39.00	3.0
EPOCH INV MGMT	030	XOM	S	900	82.97	n/a	n/a	27.00	3.0
EATON VANCE MGMT	048	X	B	3,600	53.78	n/a	n/a	108.00	3.0
OSKIE CAPITAL MGMT	224	X	S	5,000	52.92	n/a	n/a	250.00	5.0
ADALY INV MGMT	031	YHOO	B	24,000	16.20	n/a	n/a	840.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	YHOO	S	1,600	16.36	n/a	n/a	48.00	3.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	50.78	n/a	3-Feb	2,500.00	5.0
TOTAL (Trade Date) :								79,445.45	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/21	BROADARCH CAP/OLD NEWC (BROAJPM)	070	BWA	B	405	76.27	n/a	11-Feb	16.20 4.0
AO,	03/21	BROADARCH CAP/OLD NEWC (BROAJPM)	070	BWA	B	1,095	76.27	n/a	11-Feb	43.80 4.0
AO,CXL	03/21	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	BWA	B	1,095	76.27	n/a	11-Feb	43.80 4.0
AO,	03/21	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	BWA	B	405	76.27	n/a	11-Feb	16.20 4.0
AO,	03/21	BROADARCH CAP/OLD NEWC (BROAJPM)	070	IR	S	405	48.01	n/a	4-Mar	16.20 4.0
AO,CXL	03/21	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	IR	S	405	48.01	n/a	4-Mar	16.20 4.0
CRT	03/22	EGS ASSOCIATES LP (EGASBANC O)	091	M	B	4,000	23.12	n/a	3-Mar	240.00 6.0
AO,	03/18	IRIDIAN ASSET MGMT. (IRAM312)	036	PKG	B	40	27.08	n/a	17-Mar	2.00 5.0
AO,CXL	03/18	IRIDIAN ASSET MGMT. (&IRAM312)	036	PKG	B	40	27.08	n/a	17-Mar	2.00 5.0
AO,CXL	03/21	HARVEST MGMT (HARVGSCO)	029	PSS	B	10,000	20.14	n/a	n/a	500.00 5.0
AO,CRT	03/21	HARVEST MGMT (HARVGSCO)	029	PSS	B	10,000	20.14	n/a	n/a	400.00 4.0
TOTAL (AO, CXL, CRT) :										140.00
TOTAL (Trade Date) :										79,445.45
TOTAL (AO, CXL, CRT) :										140.00
TOTAL (RUN DATE) / NFS:										79,585.45

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