



Daily Compliance Activity Report

Trade Date: 04/28/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	AET	S	26,000	41.81	n/a	n/a	1,300.00	5.0
STATE TEACHERS RET SYS	047	AKAM	B	60,000	35.00	n/a	n/a	3,000.00	5.0
RBC CAPITAL MARKETS	040	ANR	B	30,000	56.36	n/a	n/a	1,200.00	4.0
TRAFELET & COMP.	028	ATML	SS	200,000	15.18	n/a	n/a	6,000.00	3.0
STATE TEACHERS RET SYS	047	AVB	S	3,000	128.58	n/a	n/a	150.00	5.0
SAC COHEN	044	BBY	S	60,000	30.59	n/a	n/a	2,100.00	3.5
STATE TEACHERS RET SYS	047	BFS	S	5,000	43.28	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	BTU	B	10,000	64.81	n/a	n/a	400.00	4.0
STATE TEACHERS RET SYS	047	BXP	S	3,000	103.00	n/a	n/a	150.00	5.0
AVESTA CAP	229	CAT	S	50,000	111.63	n/a	12-Apr	1,500.00	3.0
CATAPULT	040	CLD	S	25,000	19.88	n/a	n/a	1,000.00	4.0
SHUMWAY CAPITAL	029	CLR	S	25,000	67.12	n/a	n/a	1,000.00	4.0
MILLENNIUM-ANDEW	031	CMI	S	15,000	118.97	n/a	27-Apr	900.00	6.0
MILLRACE FUND LP	028	CPKI	B	5,000	16.02	n/a	11-Apr	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	CTXS	S	25,000	85.33	n/a	n/a	1,250.00	5.0
STATE TEACHERS RET SYS	047	DCT	S	10,000	5.82	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	DG	SS	10,000	33.06	n/a	22-Mar	300.00	3.0
STATE TEACHERS RET SYS	047	DLR	S	10,000	59.50	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	DOW	B	43,648	40.49	n/a	28-Apr	1,745.92	4.0
STATE TEACHERS RET SYS	047	DRH	S	10,000	12.15	n/a	n/a	500.00	5.0
STATE TEACHERS RET SYS	047	DTV	B	50,000	48.20	n/a	n/a	2,500.00	5.0
STATE TEACHERS RET SYS	047	EQY	S	15,000	19.75	n/a	n/a	750.00	5.0
STATE TEACHERS RET SYS	047	ESS	S	3,000	136.29	n/a	n/a	150.00	5.0
SAC COHEN	044	EXPE	B	100,000	24.45	n/a	n/a	3,500.00	3.5
ROYCE TRADING	012	FINL	B	19,000	21.42	n/a	25-Mar	950.00	5.0
STATE TEACHERS RET SYS	047	FNSR	B	65,000	27.31	n/a	n/a	3,250.00	5.0
OZ MGMT	040	F	SS	50,000	15.49	n/a	27-Apr	1,500.00	3.0
MERCHANTS GATE CAP LP	036	GLT	SS	15,000	13.56	n/a	n/a	600.00	4.0
CIRCLE T/SES PART	033	GM	SS	10,000	31.80	n/a	13-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	GNC	S	29,600	19.08	n/a	n/a	1,184.00	4.0
SONTERRA CAP	041	GPC	SS	10,000	53.73	n/a	n/a	400.00	4.0
ARMATURE CAPITAL	041	GT	S	50,000	16.15	n/a	n/a	2,000.00	4.0
SONTERRA CAP	041	HAS	SS	6,800	46.34	n/a	n/a	272.00	4.0
COBALT	041	HK	B	100,000	26.50	n/a	n/a	4,000.00	4.0
WADDELL AND REED	047	HON	S	324,500	61.13	n/a	25-Apr	12,980.00	4.0
STATE TEACHERS RET SYS	047	HPQ	S	50,000	40.89	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	ILMN	B	147,785	70.90	n/a	n/a	5,911.40	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	45,000	30.77	n/a	28-Apr	2,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	75,000	31.11	n/a	28-Apr	3,750.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	S	4,000	30.61	n/a	28-Apr	200.00	5.0
SCHOTTENFELD ASSOC	041	IP	S	15,000	30.56	n/a	28-Apr	450.00	3.0
SCOPUS FUND	041	IR	S	63,116	50.75	n/a	25-Apr	2,524.64	4.0
DELTEC ASSET MGMT.	040	JCI	B	10,000	41.04	n/a	26-Apr	500.00	5.0
RIDGECREST INV MGMT LLC	028	KBR	S	7,500	38.26	n/a	n/a	375.00	5.0
COUGAR TRADING	044	KMT	B	10,000	42.82	n/a	28-Jan	500.00	5.0
COUGAR TRADING	044	KMT	S	10,000	42.09	n/a	28-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041	041	KSS	SS	2,000	53.14	n/a	8-Apr	100.00	5.0
SCOPUS FUND	041	KSS	SS	50,000	53.09	n/a	8-Apr	2,000.00	4.0
JMP ASSET MGMT	210	LIZ	B	45,000	6.36	n/a	7-Oct	1,800.00	4.0
THE JAY GOLDMAN	028	MAR	B	10,000	35.38	n/a	21-Apr	400.00	4.0
THRIVENT ASSET MGMT	030	MS	S	59,391	25.90	n/a	21-Apr	2,375.64	4.0
MA CAPITAL MGMT/MELLON ADV041	041	MWV	B	2,000	33.88	n/a	27-Apr	60.00	3.0
MA CAPITAL MGMT/MELLON ADV041	041	MWV	S	2,000	33.95	n/a	27-Apr	60.00	3.0
MA CAPITAL MGMT/MELLON ADV041	041	M	B	4,000	24.28	n/a	8-Apr	200.00	5.0
CR INTRINIC INVESTMENT	044	NEM	SS	25,000	58.73	n/a	n/a	875.00	3.5
STATE TEACHERS RET SYS	047	OFC	S	25,000	35.52	n/a	n/a	1,250.00	5.0
TALPION LLC	040	OMX	S	25,000	11.00	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	PFE	S	200,000	20.78	n/a	n/a	8,000.00	4.0
STATE TEACHERS RET SYS	047	PKY	S	5,000	17.95	n/a	n/a	250.00	5.0
ROYCE TRADING	012	PLCE	B	42,500	54.19	n/a	9-Mar	2,125.00	5.0
CR INTRINIC INVESTMENT	044	QQQ	B	25,000	58.97	n/a	n/a	875.00	3.5
WEISS PECK	040	QQQ	C	6,600	59.21	n/a	n/a	198.00	3.0
ENTRUST CAPITAL	040	RHI	B	19,000	30.40	n/a	n/a	950.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	012	RRR	B	20,000	12.93	n/a	26-Apr	600.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		SKX	B	7,500	19.27		n/a n/a	375.00	5.0
STATE TEACHERS RET SYS	047	SLG	S	3,000	84.03	n/a	n/a	150.00	5.0
STATE TEACHERS RET SYS	047	SPG	S	10,000	114.75	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	S	B	40,000	5.07	n/a	n/a	1,600.00	4.0
ROTHSCHILD ASSET	040	TER	B	61,719	15.74	n/a	n/a	2,468.76	4.0
TALPION LLC	040	TFM	S	20,000	42.39	n/a	n/a	800.00	4.0
SCOPUS FUND	041	TGT	S	59,865	50.21	n/a	8-Apr	2,394.60	4.0
NEUBERGER BERMAN	036	TISI	S	11,400	24.87	n/a	n/a	456.00	4.0
STATE TEACHERS RET SYS	047	TJX	S	40,000	53.65	n/a	8-Apr	2,000.00	5.0
STATE TEACHERS RET SYS	047	TMO	S	24,800	59.98	n/a	n/a	1,240.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		TNA	B	10,000	93.03		n/a n/a	500.00	5.0
ROTHSCHILD ASSET	040	TRS	B	51,820	23.71	n/a	n/a	2,072.80	4.0
SCHOTTENFELD ASSOC	041	TYC	S	20,000	48.58	n/a	28-Apr	600.00	3.0
SHUMWAY CAPITAL	029	T	C	98,000	31.41	n/a	n/a	3,920.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	VNO	S	3,000	96.01	n/a	n/a	150.00	5.0
STATE TEACHERS RET SYS	047	VOD	B	50,000	28.81	n/a	n/a	2,500.00	5.0
STATE TEACHERS RET SYS	047	VTR	S	5,000	56.80	n/a	n/a	250.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	10,000	23.73	n/a	14-Apr	500.00	5.0
SACC-SCHWARTZ	044	XLI	B	50,000	38.47	n/a	n/a	1,750.00	3.5
NEUBERGER BERMAN	036	ZMH	B	23,690	64.99	n/a	n/a	947.60	4.0
TOTAL (Trade Date) :							126,136.36		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/28	MILLENNIUM-ANDEW (MILAMSMART)	031	CMI	S	15,000	118.97	n/a	27-Apr	900.00 6.0
AO,	04/27	ELM RIDGE ADVISORS (ELMRCIT)	044	IP	S	1,300	29.99	n/a	28-Apr	52.00 4.0
AO,	04/27	ELM RIDGE ADVISORS (ELMRGS)	044	IP	S	200	29.99	n/a	28-Apr	8.00 4.0
AO,CRT	04/27	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	JWN	S	25,000	48.17	n/a	13-Apr	875.00 3.5
TOTAL (AO, CXL, CRT) :										1,835.00

TOTAL (Trade Date) :	126,136.36
TOTAL (AO, CXL, CRT) :	1,835.00

TOTAL (RUN DATE) / NFS :	127,971.36
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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