



Daily Compliance Activity Report

Trade Date: 04/26/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	ABT	B	20,000	51.35	n/a	n/a	800.00	4.0
KLEINHEINZ CAP PART	031	ACOM	B	40,000	32.11	n/a	n/a	2,000.00	5.0
RIDGECREST INV MGMT LLC	028	ACW	B	10,000	14.01	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	ALXN	S	19,600	93.95	n/a	n/a	784.00	4.0
GLENHILL CAPITAL	036	ASH	B	95,000	62.52	n/a	26-Apr	4,750.00	5.0
DELTEC ASSET MGMT.	040	BDC	S	6,220	37.88	n/a	n/a	311.00	5.0
STATE TEACHERS RET SYS	047	BDN	S	10,000	12.40	n/a	n/a	500.00	5.0
DELTEC ASSET MGMT.	040	BEAV	S	5,000	38.20	n/a	25-Apr	250.00	5.0
FARALLON CAP MGMT	040	BP	B	38,860	46.10	n/a	n/a	1,165.80	3.0
RBC CAPITAL MARKETS	040	BTU	B	10,000	64.91	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	BWS	B	5,000	12.75	n/a	n/a	200.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	CAKE	B	5,000	29.75	n/a	21-Apr	250.00	5.0
RIDGECREST INV MGMT LLC	028	CAT	B	7,500	111.87	n/a	12-Apr	375.00	5.0
TRELLUS PARTNERS LP	028	CAT	B	20,000	111.82	n/a	12-Apr	1,000.00	5.0
MERRILL ASSET/BLACKROCK	266	CBU	S	56,400	24.02	n/a	n/a	2,256.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	COH	B	5,421	56.98	n/a	25-Apr	216.84	4.0
SIGMA CAPITAL ASSOCIATES	041	COH	B	25,000	57.08	n/a	25-Apr	875.00	3.5
STANDARD PACIFIC CAPITAL	040	COH	S	130,000	56.68	n/a	25-Apr	6,500.00	5.0
LANE GATE PARTNERS LLC	012	C	S	22,500	4.50	n/a	18-Apr	337.50	1.5
NEUBERGER BERMAN	036	DCI	B	27,388	60.22	n/a	n/a	1,095.52	4.0
STATE TEACHERS RET SYS	047	DCT	S	10,000	5.70	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	DOW	B	25,000	39.58	n/a	21-Apr	1,000.00	4.0
ROYCE TRADING	012	FINL	B	33,500	21.30	n/a	25-Mar	1,675.00	5.0
RBC CAPITAL MARKETS	040	FWLT	B	10,000	36.24	n/a	n/a	400.00	4.0
CYRUS CAPITAL	025	F	B	43,000	15.85	n/a	13-Apr	1,720.00	4.0
OZ MGMT	040	F	SS	300,000	15.92	n/a	13-Apr	9,000.00	3.0
PHILADELPHIA FINANCIAL	033	F	SS	150,000	15.96	n/a	13-Apr	6,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	F	B	308,000	16.04	n/a	13-Apr	9,240.00	3.0
BUCK CAPITAL MGMT	001	GCO	S	50,000	40.31	n/a	n/a	1,500.00	3.0
WADDELL AND REED	047	GE	B	463,310	20.25	n/a	n/a	18,532.40	4.0
CYRUS CAPITAL	025	GM	B	35,000	31.18	n/a	13-Apr	1,400.00	4.0
WADDELL AND REED	047	GS	S	221,990	153.25	n/a	19-Apr	8,879.60	4.0
NEW JERSEY DIV OF INV.	030	HA	S	15,000	5.57	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	HBI	B	30,000	31.31	n/a	21-Apr	1,500.00	5.0
ROTHSCHILD ASSET	040	HON	B	81,165	61.31	n/a	25-Apr	3,246.60	4.0
BMO NESBITT BURNS	041	HOTT	B	17,000	6.84	n/a	n/a	850.00	5.0
CATAPULT	040	IP	B	15,000	30.07	n/a	14-Apr	600.00	4.0
COLUMBUS CIRCLE	036	ISS	B	870	20.42	n/a	n/a	34.80	4.0
WESLEY CAPITAL	029	IYR	B	50,000	61.54	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	KBR	B	10,000	37.50	n/a	n/a	400.00	4.0
CLOVIS CAPITAL	012	KMB	SS	125,000	64.76	n/a	26-Apr	3,750.00	3.0
LONG OAR GLOBAL INV	040	KMB	SS	25,500	64.35	n/a	26-Apr	1,020.00	4.0
GLENHILL CAPITAL	036	LII	B	77,902	50.44	n/a	n/a	3,895.10	5.0
COLUMBUS CIRCLE	036	LOGM	S	5,797	41.83	n/a	n/a	218.72	3.0
BMO NESBITT BURNS	041	LPX	B	34,000	9.18	n/a	14-Apr	1,020.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	LPX	B	12,000	9.17	n/a	14-Apr	600.00	5.0
DELTEC ASSET MGMT.	040	MGA	B	10,000	48.77	n/a	n/a	500.00	5.0
RIDGECREST INV MGMT LLC	028	MGM	S	20,000	12.88	n/a	25-Apr	1,000.00	5.0
MTB INV ADV	034	MTOR	B	58,250	16.94	n/a	n/a	2,912.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	M	B	61,398	24.22	n/a	8-Apr	1,841.94	3.0
SIGMA CAPITAL ASSOCIATES	041	M	B	25,000	24.32	n/a	8-Apr	875.00	3.5
ARCHON CAPITAL	035	NTSP	SS	70,000	11.20	n/a	n/a	2,100.00	3.0
COLUMBUS CIRCLE	036	ODFL	S	1,438	34.73	n/a	n/a	57.52	4.0
BNP PARIBAS SEC	040	PKG	B	10,000	27.76	n/a	19-Apr	500.00	5.0
ROYCE TRADING	012	PLCE	B	8,000	55.08	n/a	9-Mar	400.00	5.0
CASTLE ARK	031	PRGO	S	60,100	89.66	n/a	25-Apr	3,005.00	5.0
SENATOR INVESTMENT GROUP	036	RGC	SS	60,000	13.96	n/a	n/a	1,800.00	3.0
SCOPUS FUND	041	RKT	B	41,382	71.13	n/a	n/a	1,655.28	4.0
BUCK CAPITAL MGMT	001	RL	S	10,000	131.06	n/a	25-Apr	300.00	3.0
BMO NESBITT BURNS	041	RUE	SS	3,500	30.62	n/a	n/a	140.00	4.0
RAINIER INV MGMT	035	SNA	B	25,850	62.36	n/a	n/a	1,034.00	4.0
CYRUS CAPITAL	025	SPY	SS	25,000	134.90	n/a	n/a	1,000.00	4.0
GREEN ARROW DOUG	040	SSO	B	25,000	54.96	n/a	n/a	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	SYI	SS	4,000	29.36	n/a	n/a	200.00	5.0
NEUBERGER BERMAN	036	TISI	S	19,100	25.36	n/a	n/a	764.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	T	B	300,000	30.98	n/a	n/a	12,000.00	4.0
DELTEC ASSET MGMT.	040	UAL	B	5,000	22.45	n/a	n/a	250.00	5.0
FIRST NY SEC/CHRIS	041	VLO	B	10,000	28.41	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	WL	B	20,000	4.39	n/a	n/a	800.00	4.0
WEINTRAUB CAPITAL MGT.	040	WRC	S	6,694	62.51	n/a	25-Apr	267.76	4.0
BMO NESBITT BURNS	041	WY	S	8,000	23.13	n/a	14-Apr	240.00	3.0
TOTAL (Trade Date) :								139,541.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/25	COLUMBUS CIRCLE (COLC3040)	036	ANN	B	6,456	31.86	n/a	n/a	258.24 4.0
AO,CXL	04/25	SAC CHICAGO ANDREW (SCASCSPB)	031	JWN	B	30,000	47.41	n/a	13-Apr	0.00 0.0
AO,	04/25	SAC CHICAGO ANDREW (SCASCSPB)	031	JWN	B	30,000	47.41	n/a	13-Apr	1050.00 3.5
CRT	04/26	CLOVIS CAPITAL (CLOVGOLDMA)	012	KMB	SS	125,000	64.76	n/a	26-Apr	3750.00 3.0

TOTAL (AO, CXL, CRT) :**5,058.24**

TOTAL (Trade Date) :

139,541.88

TOTAL (AO, CXL, CRT) :

5,058.24

TOTAL (RUN DATE) / NFS:**144,600.12**

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