



Daily Compliance Activity Report

Trade Date: 04/14/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	S	150,800	15.62	n/a	10-Mar	4,524.00	3.0
MILLRACE FUND LP	028	AEO	B	38,700	15.68	n/a	10-Mar	1,548.00	4.0
MILLRACE FUND LP	028	AXL	B	10,000	11.35	n/a	13-Apr	400.00	4.0
BALYASNY ASSET MGMT	044	AZO	C	15,000	279.50	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	BA	B	10,000	72.11	n/a	6-Apr	400.00	4.0
CORVEX CAPITAL	041	BBY	S	100,000	29.57	n/a	n/a	3,000.00	3.0
BRANDWINE	028	BP	B	68,900	45.54	n/a	n/a	2,756.00	4.0
LONG OAR GLOBAL INV	040	BTU	B	24,700	65.79	n/a	n/a	988.00	4.0
MOORE CAPITAL	041	CAR	C	17,500	18.09	n/a	n/a	525.00	3.0
BMO NESBITT BURNS	041	CFN	S	2,000	28.61	n/a	n/a	100.00	5.0
SACC-SCHWARTZ	044	CMI	B	25,000	104.71	n/a	1-Mar	875.00	3.5
ROTHSCHILD ASSET	040	CRR	S	6,973	127.09	n/a	11-Jan	278.92	4.0
Ø James Mitchell		CVGI	B	600	17.0584	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	DE	B	47,700	94.11	n/a	18-Feb	1,908.00	4.0
MA CAPITAL MGMT/MELLON ADV041		EAT	B	4,000	24.30	n/a	11-Apr	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ James Mitchell		EEM	B	200	49.0764	n/a	n/a	0.00	0.0
Õ James Mitchell		FAS	B	340	29.2464	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	5,000	20.10	n/a	25-Mar	250.00	5.0
SAC ADV/LEE/PECK	044	F	B	200,000	14.80	n/a	13-Apr	7,000.00	3.5
CRAMER ROSENTHAL/SCOTT	012	GES	S	10,200	38.07	n/a	17-Mar	408.00	4.0
STRONG/MARK GRONET	030	GME	B	250,000	25.79	n/a	n/a	10,000.00	4.0
BASSWOOD PARTNERS	267	GPC	B	14,600	53.99	n/a	n/a	584.00	4.0
SANDLER O'NEILL ASSET	031	GS	B	5,000	156.55	n/a	13-Apr	255.00	5.5
TALPION LLC	040	HD	B	5,000	37.81	n/a	22-Feb	200.00	4.0
MOORE CAPITAL	041	HTZ	S	17,500	16.41	n/a	n/a	525.00	3.0
LOMBARDIA CAP MGMT	084	INSU	B	17,367	25.95	n/a	n/a	694.68	4.0
MA CAPITAL MGMT/MELLON ADV041		IP	S	5,000	29.34	n/a	14-Apr	250.00	5.0
SANDLER O'NEILL ASSET	031	JPM	S	200,000	45.02	n/a	13-Apr	10,000.00	5.0
NEWLAND CAPITAL MGT	025	KMT	B	7,500	38.67	n/a	28-Jan	300.00	4.0
LOMBARDIA CAP MGMT	084	KND	B	25,963	23.62	n/a	n/a	1,038.52	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHICAGO ANDREW	031	KR	S	100,000	24.75	n/a	n/a	3,500.00	3.5
ROTHSCHILD ASSET	040	LEA	B	4,200	46.95	n/a	21-Mar	168.00	4.0
RBC CAPITAL MARKETS	040	LLL	B	10,000	75.66	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	LMT	B	10,000	78.08	n/a	14-Apr	400.00	4.0
STELLIAM INV ADV	034	LOGI	B	25,000	13.73	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	LOW	S	25,000	26.90	n/a	23-Feb	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	LOW	B	25,500	26.95	n/a	23-Feb	1,020.00	4.0
MERRILL ASSET/BLACKROCK	266	MAC	S	22,500	48.09	n/a	n/a	900.00	4.0
SUN AMERICA ASSET MGMT	030	MCD	B	6,300	76.86	n/a	11-Apr	252.00	4.0
STATE TEACHERS RET SYS	047	MSFT	S	75,000	25.31	n/a	n/a	3,750.00	5.0
BURL CAPITAL LLC	048	MWV	B	10,000	31.13	n/a	14-Apr	400.00	4.0
MILLRACE FUND LP	028	PAG	SS	17,900	19.33	n/a	13-Apr	716.00	4.0
BALYASNY ASSET MGMT	044	PENN	B	25,000	36.93	n/a	n/a	1,250.00	5.0
BURL CAPITAL LLC	048	PKG	SS	10,000	27.74	n/a	14-Apr	400.00	4.0
SHEFFIELD ASSET MGMT	031	PKG	S	67,961	27.86	n/a	14-Apr	3,398.05	5.0
ROYCE TRADING	012	PLCE	B	1,100	52.82	n/a	9-Mar	55.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	PLXS	B	13,550	32.98	n/a	n/a	542.00	4.0
BMO NESBITT BURNS	041	PRGO	B	2,000	87.50	n/a	14-Apr	100.00	5.0
CIRCLE T/SES PART	033	PVH	S	5,000	65.80	n/a	30-Mar	200.00	4.0
LOMBARDIA CAP MGMT	084	RHB	S	13,169	36.79	n/a	n/a	526.76	4.0
MILLENIUM SUB A/C NEW VERNON	085	RVBD	B	50,000	34.26	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	SIG	S	25,000	43.85	n/a	n/a	1,250.00	5.0
LOMBARDIA CAP MGMT	084	SMOD	S	58,592	8.13	n/a	n/a	2,343.68	4.0
Ö James Mitchell		SPY	B	75131.6700		n/a	n/a	0.00	0.0
PERRY PARTNERS	085	SVU	S	100,000	10.26	n/a	n/a	4,000.00	4.0
SONTERRA CAP	041	SVU	B	84,212	10.67	n/a	n/a	3,368.48	4.0
STATE TEACHERS RET SYS	047	TEL	B	25,000	34.53	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	TSO	B	4,430	25.72	n/a	n/a	177.20	4.0
MERRILL ASSET/BLACKROCK	266	TTI	B	7,100	13.95	n/a	n/a	284.00	4.0
MERRILL ASSET/BLACKROCK	266	UBSI	S	21,981	25.40	n/a	n/a	879.24	4.0
Ö James Mitchell		WBC	B	160 60.8638		n/a	11-Feb	0.00	0.0
RAINIER INV MGMT	035	WTR	S	43,440	21.89	n/a	n/a	1,737.60	4.0

TOTAL (Trade Date):

87,276.13

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/14	MILLRACE FUND LP (MILRGS)	028	AXL	B	10,000	11.35	n/a	13-Apr	400.00 4.0
CRT	04/14	SANDLER O'NEILL ASSET (SANOMSIL)	028	GS	B	500	156.55	n/a	13-Apr	30.00 6.0
CRT	04/14	SANDLER O'NEILL ASSET (SANOMSIL)	028	JPM	S	9,700	45.02	n/a	13-Apr	485.00 5.0
CRT	04/14	MILLRACE FUND LP (MILRGS)	028	PAG	SS	17,900	19.33	n/a	13-Apr	716.00 4.0
TOTAL (AO, CXL, CRT) :										1,631.00

TOTAL (Trade Date):	87,276.13
TOTAL (AO, CXL, CRT):	1,631.00

TOTAL (RUN DATE) / NFS:	88,907.13
--------------------------------	------------------

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