



Daily Compliance Activity Report

Trade Date: 03/01/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	AA	B	5,400	16.63	n/a	n/a	162.00	3.0
SAC TRADING TOM LEDDY	035	AEO	B	20,676	15.00	n/a	4-Feb	723.66	3.5
NEW JERSEY DIV OF INV.	030	AHT	B	5,500	10.25	n/a	n/a	220.00	4.0
ENTRUST CAPITAL	040	ALGT	SS	52,200	41.25	n/a	n/a	2,610.00	5.0
RBC CAPITAL MARKETS	040	AMR	S	50,000	6.55	n/a	n/a	2,000.00	4.0
COOPER CREEK PART	028	AXL	SS	10,000	13.23	n/a	9-Feb	400.00	4.0
OSKIE CAPITAL MGMT	224	AXL	S	5,000	13.46	n/a	9-Feb	250.00	5.0
TRELLUS PARTNERS LP	028	AXL	C	50,000	13.31	n/a	9-Feb	2,500.00	5.0
TPG-AXON	040	BMJ	C	80,000	25.68	n/a	n/a	3,200.00	4.0
PILOT ADV	048	CAR	SS	32,000	14.89	n/a	n/a	960.00	3.0
OSKIE CAPITAL MGMT	224	CBR	B	10,000	4.85	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	CBS	B	400,000	23.58	n/a	n/a	20,000.00	5.0
RBC CAPITAL MARKETS	040	CHRW	B	10,000	71.09	n/a	n/a	400.00	4.0
DAWSON CAPITAL MGMT.	085	COH	SS	8,080	53.91	n/a	26-Jan	404.00	5.0
KLEINHEINZ CAP PART	031	COLM	SS	25,000	61.71	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHICAGO ANDREW	031	COST	B	50,000	74.07	n/a	n/a	1,750.00	3.5
WAGONHOUND/NIC	289	C	S	600,000	4.61	n/a	16-Feb	12,000.00	2.0
NEUBERGER BERMAN	036	DDR	B	2,100	14.16	n/a	n/a	84.00	4.0
CAERUS GLOBAL	041	DPZ	B	37,200	16.19	n/a	1-Mar	1,488.00	4.0
PLATTE RIVER CAPITAL	240	ECL	S	23,000	48.86	n/a	17-Feb	920.00	4.0
RBC CAPITAL MARKETS	040	EMN	B	7,500	92.02	n/a	n/a	300.00	4.0
RBC CAPITAL MARKETS	040	FCX	B	10,000	53.29	n/a	n/a	400.00	4.0
CATAPULT	040	FDX	S	7,000	88.71	n/a	n/a	280.00	4.0
LAGRANGE CAP ADV	048	FII	S	2,840	27.80	n/a	2-Mar	142.00	5.0
MORTAR ROCK	033	F	SS	60,000	14.82	n/a	28-Feb	2,400.00	4.0
OZ MGMT	040	F	SS	92,523	14.93	n/a	28-Feb	2,775.69	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		F	SS	30,000	14.92		n/a 28-Feb	1,200.00	4.0
CATAPULT	040	GD	S	2,697	75.92	n/a	15-Feb	107.88	4.0
NEW JERSEY DIV OF INV.	030	GM	B	100,000	33.14	n/a	28-Feb	4,000.00	4.0
OSKIE CAPITAL MGMT	224	GM	B	5,000	33.31	n/a	28-Feb	250.00	5.0
OZ MGMT	040	GM	S	100,000	33.10	n/a	28-Feb	3,000.00	3.0
PHILADELPHIA FINANCIAL	033	GM	C	106,022	32.97	n/a	28-Feb	4,240.88	4.0
RBC CAPITAL MARKETS	040	GM	SS	25,000	32.76	n/a	28-Feb	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	GM	S	10,000	33.16	n/a	28-Feb	500.00	5.0
TRELLUS PARTNERS LP	028	GM	B	60,000	33.09	n/a	28-Feb	3,000.00	5.0
TRELLUS PARTNERS LP	028	GM	S	60,000	33.39	n/a	28-Feb	3,000.00	5.0
CATAPULT	040	GRA	S	2,669	37.83	n/a	n/a	106.76	4.0
CATAPULT	040	GT	S	4,316	13.99	n/a	n/a	172.64	4.0
CATAPULT	040	HUBB	S	4,647	67.62	n/a	n/a	185.88	4.0
PIIONEER OAKRIDGE	031	INTC	S	179,900	21.55	n/a	n/a	5,397.00	3.0
MORTAR ROCK	033	IWM	SS	20,000	81.24	n/a	n/a	800.00	4.0
ADAGE CAPITAL MGMT	030	JCP	S	302,399	34.33	n/a	28-Feb	9,071.97	3.0
BNP PARIBAS SEC	040	JWN	B	10,000	44.14	n/a	28-Feb	500.00	5.0
SAC TRADING TOM LEDDY	035	KR	B	40,000	22.84	n/a	n/a	1,400.00	3.5
LEVIN CAPITAL STRATEGIES	012	LEA	B	15,000	104.21	n/a	2-Feb	450.00	3.0
RBC CAPITAL MARKETS	040	LMT	S	5,000	78.85	n/a	15-Feb	200.00	4.0
RBC CAPITAL MARKETS	040	LPX	S	10,000	9.84	n/a	10-Feb	400.00	4.0
APEX CAPITAL MGMT.	261	MAR	SS	63,300	38.19	n/a	23-Feb	2,532.00	4.0
SUFFOLK CAPITAL MGMT	040	MMM	B	67,000	91.56	n/a	28-Feb	2,680.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	28.97	n/a	26-Jan	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PERRY PARTNERS	085	MWV	B	13,583	28.93	n/a	26-Jan	679.15	5.0
SAC TRADING TOM LEDDY	035	M	B	15,000	23.50	n/a	28-Feb	525.00	3.5
BNP PARIBAS SEC	040	NLC	S	30,000	25.44	n/a	n/a	1,500.00	5.0
NEW JERSEY DIV OF INV.	030	NLC	B	50,000	25.60	n/a	n/a	2,000.00	4.0
LISTED ERR	099	NLC	B	20,000	25.42	n/a	n/a	0.00	0.0
LISTED ERR	099	NLC	SS	20,000	25.42	n/a	n/a	0.00	0.0
SAC TRADING TOM LEDDY	035	NWL	B	50,000	19.05	n/a	n/a	1,750.00	3.5
MORTAR ROCK	033	NXPI	B	5,000	30.94	n/a	n/a	200.00	4.0
CATAPULT	040	PETM	S	16,099	41.18	n/a	n/a	643.96	4.0
MERRILL ASSET/BLACKROCK	266	PNFP	B	8,630	15.99	n/a	n/a	345.20	4.0
COLUMBIA PARTNERS	028	PRX	B	97,036	31.04	n/a	28-Feb	3,881.44	4.0
COPL	028	PRX	B	319	31.04	n/a	28-Feb	12.76	4.0
NOKOMIS PARTNERS	031	PUDA	SS	12,000	11.46	n/a	n/a	360.00	3.0
PIIONEER OAKRIDGE	031	QCOM	B	27,700	59.45	n/a	n/a	831.00	3.0
RBC CAPITAL MARKETS	040	RTN	S	5,000	50.56	n/a	15-Feb	200.00	4.0
CYRUS CAPITAL	025	SCSS	B	35,000	10.79	n/a	n/a	1,400.00	4.0
GALT INVESTMENT	041	SCSS	B	25,000	10.84	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	SFD	B	30,000	22.87	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PERRY PARTNERS	085	SUN	B	50,000	41.43	n/a	n/a	2,500.00	5.0
BNP PARIBAS SEC	040	SWK	SS	15,000	74.67	n/a	n/a	750.00	5.0
FIRST NEW YORK NICK	029	S	S	10,000	4.22	n/a	n/a	500.00	5.0
DAWSON CAPITAL MGMT.	085	TIF	SS	14,440	60.35	n/a	n/a	722.00	5.0
COOPER CREEK PART	028	TIN	SS	10,000	23.07	n/a	8-Feb	400.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	TJX	S	14,047	50.18	n/a	28-Feb	546.02	4.0
RIDGECREST INV MGMT LLC	028	TPCG	B	2,000	29.85	n/a	n/a	100.00	5.0
HOPLITE MGMT	025	WMT	C	100,000	52.38	n/a	22-Feb	5,000.00	5.0
EGS ASSOCIATES LP	091	WRC	B	4,000	55.47	n/a	1-Mar	240.00	6.0
WAGONHOUND/NIC	289	WRC	B	2,611	56.77	n/a	1-Mar	104.44	4.0
RBC CAPITAL MARKETS	040	WY	SS	50,000	24.20	n/a	4-Feb	2,000.00	4.0
T. ROWE PRICE	033	WY	S	118,800	23.48	n/a	4-Feb	4,752.00	4.0
KLEINHEINZ CAP PART	031	XOM	B	50,000	86.39	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date):								139,707.33	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/28	HARVEST MGMT (HARVGSCO)	029	ARGN	B	20,000	12.93	n/a	1-Mar	1000.00 5.0
AO,CRT	02/28	HARVEST MGMT (HARVGSCO)	029	ARGN	B	20,000	12.93	n/a	1-Mar	800.00 4.0
AO,CXL	02/28	COLUMBIA PARTNERS (COLP418BCA)	028	CRR	B	71	123.40	n/a	11-Jan	2.84 4.0
AO,	02/28	COLUMBIA PARTNERS (COLP418BCA)	028	CRR	B	71	123.40	n/a	11-Jan	2.84 4.0
CRT	03/01	MORTAR ROCK (MORTGSEOSP)	033	F	SS	60,000	14.82	n/a	28-Feb	2400.00 4.0
CRT	03/01	EGS ASSOCIATES LP (EGASBANC O)	091	WRC	B	4,000	55.47	n/a	1-Mar	240.00 6.0
AO,CXL	02/28	SCOPUS FUND (SCOPGS)	041	WRC	S	3,640	58.16	n/a	1-Mar	145.60 4.0
AO,CRT	02/28	SCOPUS FUND (SCOPGS)	041	WRC	S	5,460	58.16	n/a	1-Mar	218.40 4.0
AO,CXL	02/28	SCOPUS FUND (SCOPUBS)	041	WRC	S	24,360	58.16	n/a	1-Mar	974.40 4.0
AO,CRT	02/28	SCOPUS FUND (SCOPUBS)	041	WRC	S	22,540	58.16	n/a	1-Mar	901.60 4.0
TOTAL (AO, CXL, CRT) :										2,440.00

TOTAL (Trade Date) :	139,707.33
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TOTAL (RUN DATE) / NFS :	142,147.33
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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