



Daily Compliance Activity Report

Trade Date: 03/28/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	S	15,000	17.31	n/a	n/a	600.00	4.0
SAC TRADIN/BINDER	044	ACE	B	25,000	63.37	n/a	n/a	875.00	3.5
DAVIDSON INV ADV	035	ADS	S	10,500	84.34	n/a	n/a	420.00	4.0
SHEFFIELD ASSET MGMT	031	AEO	S	80,000	15.45	n/a	10-Mar	3,200.00	4.0
CAXTON PART	040	AMD	C	25,296	8.80	n/a	n/a	885.37	3.5
OZ MGMT	040	APC	S	35,000	83.47	n/a	28-Mar	1,050.00	3.0
MERRILL ASSET/BLACKROCK	266	BACWSA	S	1,592	7.63	n/a	n/a	63.68	4.0
GABELLI FUNDS	025	CBOU	B	3,800	9.50	n/a	n/a	190.00	5.0
CATAPULT	040	CCK	SS	10,000	38.69	n/a	n/a	400.00	4.0
DAVIDSON INV ADV	035	CCL	B	20,140	38.48	n/a	n/a	805.60	4.0
Õ Nilsa Vazquez		CREE	S	300	45.1030	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	CROX	S	10,000	17.75	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	CS	S	10,000	42.92	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	266	CWSB	S	857	0.19	n/a	n/a	8.57	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	040	CX	S	100,000	8.89	n/a	n/a	4,000.00	4.0
MTB INV ADV	034	DAN	S	21,750	17.41	n/a	24-Feb	1,087.50	5.0
CRAMER ROSENTHAL/SCOTT	012	DOW	B	33,320	37.38	n/a	28-Mar	1,332.80	4.0
PIONEER PATH	028	DOW	S	26,961	37.10	n/a	28-Mar	808.83	3.0
NICOLAS APPELEGATE	084	DO	S	26,600	78.03	n/a	n/a	532.00	2.0
ROYCE TRADING	012	FINL	B	55,000	19.00	n/a	25-Mar	2,750.00	5.0
OZ MGMT	040	F	C	58,541	15.03	n/a	2-Mar	1,756.23	3.0
CATAPULT	040	GE	B	60,000	19.79	n/a	n/a	2,400.00	4.0
GLOBAL 56 LLC	060	GMXR	B	4,000	5.70	n/a	n/a	120.00	3.0
OZ MGMT	040	GM	S	129,598	30.99	n/a	2-Mar	3,887.94	3.0
CAISSE DEPOT PLACEMENT Q	295	GSIC	S	100,000	29.48	n/a	n/a	5,000.00	5.0
CAXTON PART	040	HAL	B	10,000	47.19	n/a	n/a	350.01	3.5
ACK ASSET	028	HBI	B	52,000	26.26	n/a	28-Jan	1,560.00	3.0
LISTED ERR	099	HBI	B	3,150	26.25	n/a	28-Jan	0.00	0.0
LISTED ERR	099	HBI	S	3,150	26.23	n/a	28-Jan	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	HIBB	B	100,000	33.88	n/a	n/a	3,500.00	3.5
KLEINHEINZ CAP PART	031	HOTT	S	75,000	5.92	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NICOLAS APPEGATE	084	HRS	S	35,200	48.50	n/a	21-Mar	704.00	2.0
SAC TRADING TOM LEDDY	035	JWN	S	50,000	44.20	n/a	3-Mar	1,750.00	3.5
HOLLIS CAPITAL	033	KMX	B	4,000	33.10	n/a	n/a	200.00	5.0
GALT INVESTMENT	041	KSS	B	25,000	53.11	n/a	3-Mar	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,600	48.72	n/a	21-Mar	318.00	3.0
OZ MGMT	040	LEA	S	52,446	48.75	n/a	21-Mar	1,573.38	3.0
BMO NESBITT BURNS	041	MERC	B	9,200	13.35	n/a	n/a	276.00	3.0
CAISSE DEPOT PLACEMENT Q	295	MFA	S	150,000	8.20	n/a	n/a	6,000.00	4.0
TALPION LLC	040	MJN	S	5,000	58.52	n/a	n/a	200.00	4.0
CATAPULT	040	MMM	SS	5,000	92.42	n/a	28-Mar	200.00	4.0
KLEINHEINZ CAP PART	031	MMM	B	25,000	92.60	n/a	28-Mar	1,250.00	5.0
MTB INV ADV	034	MOD	S	15,550	15.06	n/a	n/a	777.50	5.0
TROUBH PART	070	M	S	25,000	23.38	n/a	3-Mar	1,250.00	5.0
SMITH MGMT LLC	029	NDN	B	50,000	19.66	n/a	11-Mar	2,500.00	5.0
ROYCE TRADING	012	PLCE	B	1,000	49.51	n/a	9-Mar	50.00	5.0
TALPION LLC	040	SIG	B	4,000	44.00	n/a	n/a	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	SON	SS	10,000	35.34	n/a	n/a	400.00	4.0
CYRUS CAPITAL	025	SPY	B	100,000	131.53	n/a	n/a	4,000.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.74	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	S	10,000	4.78	n/a	n/a	500.00	5.0
MTB INV ADV	034	TEN	S	8,350	42.34	n/a	n/a	417.50	5.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	52.25	n/a	23-Mar	1,750.00	3.5
TRUST CO/COWEN/CALF.	040	WPI	S	150,000	55.88	n/a	28-Mar	7,500.00	5.0
SAC TRADIN/BINDER	044	WRB	B	50,000	31.03	n/a	n/a	1,750.00	3.5
PATTEN & PATTEN	025	WY	S	6,271	24.30	n/a	4-Feb	313.55	5.0
ARCHON CAPITAL	035	YGE	SS	95,000	12.54	n/a	n/a	2,850.00	3.0
TOTAL (Trade Date):								81,073.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									81,073.46
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									81,073.46
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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