



## Daily Compliance Activity Report

Trade Date: 04/19/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	1,200	16.26	n/a	n/a	120.00	10.0
ARMATURE CAPITAL	041	ALV	B	30,000	72.26	n/a	13-Apr	1,200.00	4.0
LATEFF MGMT	035	AMBPRP	B	1,000	25.17	n/a	n/a	100.00	10.0
MOORE CAPITAL	041	ARCO	S	29,000	23.25	n/a	n/a	1,160.00	4.0
RBC CAPITAL MARKETS	040	ARCO	B	25,000	23.00	n/a	n/a	1,000.00	4.0
STATE TEACHERS RET SYS	047	AVB	S	3,000	119.36	n/a	n/a	150.00	5.0
NEWLAND CAPITAL MGT	025	AXE	B	25,000	71.09	n/a	24-Mar	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	BK	S	25,200	28.63	n/a	13-Apr	1,008.00	4.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	25,000	16.34	n/a	n/a	1,250.00	5.0
NOKOMIS PARTNERS	031	ECHO	SS	10,000	13.52	n/a	n/a	300.00	3.0
ARMATURE CAPITAL	041	FDX	B	15,000	91.96	n/a	n/a	600.00	4.0
ROYCE TRADING	012	FINL	B	13,000	20.78	n/a	25-Mar	650.00	5.0
MUTUAL OF AMERICA CAPITAL	029	F	B	58,828	14.64	n/a	13-Apr	2,353.12	4.0
OZ MGMT	040	F	B	36,028	14.63	n/a	13-Apr	1,080.84	3.0
OZ MGMT	040	F	C	8,040	14.63	n/a	13-Apr	241.20	3.0
JANA CAPITAL	044	GCI	C	50,000	15.46	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T/SES PART	033	GM	B	10,000	29.40	n/a	13-Apr	400.00	4.0
PERRY PARTNERS	085	GM	B	16,400	29.65	n/a	13-Apr	820.00	5.0
CAVU CAP ADV	028	GT	S	10,000	15.45	n/a	n/a	500.00	5.0
CORVEX CAPITAL	041	HCA	S	30,000	32.83	n/a	n/a	900.00	3.0
LISTED ERR	099	HCA	B	60,000	32.83	n/a	n/a	0.00	0.0
LISTED ERR	099	HCA	S	60,000	32.82	n/a	n/a	0.00	0.0
NOKOMIS PARTNERS	031	HOGS	B	10,000	15.61	n/a	n/a	300.00	3.0
LATEFF MGMT	035	HPQ	B	500	39.69	n/a	n/a	50.00	10.0
STRONG/MARK GRONET	030	IOC	B	25,000	61.82	n/a	n/a	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	40,000	29.32	n/a	14-Apr	2,000.00	5.0
COLUMBUS CIRCLE	036	ISS	B	681	18.82	n/a	n/a	27.24	4.0
LATEFF MGMT	035	JPMPRI	S	1,000	27.97	n/a	n/a	100.00	10.0
SCOPUS FUND	041	LOW	S	25,000	26.65	n/a	23-Feb	1,000.00	4.0
GREEN ARROW DOUG	040	MPEL	B	20,000	9.78	n/a	1-Apr	1,000.00	5.0
PORTER-ORLIN	044	MRK	SS	116,600	33.64	n/a	n/a	5,830.00	5.0
PORTER-ORLIN	044	MRK	S	83,400	33.63	n/a	n/a	4,170.00	5.0
DELTEC ASSET MGMT.	040	MWA	B	60,000	4.09	n/a	n/a	1,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	MWV	B	10,000	31.88	n/a	14-Apr	500.00	5.0
LATEFF MGMT	035	NYB	B	1,000	16.34	n/a	19-Apr	100.00	10.0
BACKBAY	041	PKG	B	50,000	27.84	n/a	19-Apr	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	53,000	28.10	n/a	19-Apr	2,650.00	5.0
FIRST NY SEC/CHRIS	041	PKG	B	10,000	27.74	n/a	19-Apr	500.00	5.0
SCOPUS FUND	041	PKG	SS	25,000	27.96	n/a	19-Apr	1,000.00	4.0
TRELLUS PARTNERS LP	028	PKG	SS	50,000	28.46	n/a	19-Apr	2,500.00	5.0
ROYCE TRADING	012	PLCE	B	1,000	52.57	n/a	9-Mar	50.00	5.0
BRANDWINE	028	PLXS	B	9,600	32.86	n/a	n/a	384.00	4.0
BASSWOOD PARTNERS	267	RF	B	35,700	7.07	n/a	n/a	1,428.00	4.0
SENATOR INVESTMENT GROUP	036	RKT	B	36,600	69.05	n/a	n/a	1,098.00	3.0
COHE & STEERS	041	RYN	B	56,197	60.55	n/a	14-Apr	2,247.88	4.0
BASSWOOD PARTNERS	267	SPY	SS	1,928	130.97	n/a	n/a	77.12	4.0
FARALLON CAP MGMT	040	TGT	B	26,469	49.78	n/a	8-Apr	1,058.76	4.0
BMO NESBITT BURNS	041	TIN	S	10,000	22.29	n/a	14-Apr	300.00	3.0
SANDLER CAPITAL	028	TKR	B	75,000	50.77	n/a	n/a	3,750.00	5.0
LATEFF MGMT	035	UAL	B	500	21.41	n/a	n/a	50.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	UN	S	1,000	32.47	n/a	n/a	100.00	10.0
L.R.BURTSCHY & CO	029	VHC	S	10,000	24.64	n/a	n/a	600.00	6.0
HARRIER HAWK MGMT	028	WY	B	29,500	21.94	n/a	14-Apr	1,180.00	4.0
CORVEX CAPITAL	041	YHOO	B	76,169	16.15	n/a	n/a	2,285.07	3.0
<b>TOTAL (Trade Date):</b>								<b>58,469.23</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/18	TALPION LLC (TALPCSFBBP)	040	ABV	S	20,000	29.71	n/a	n/a	800.00 4.0
AO,CXL	04/18	TALPION LLC (TALPMSPB)	040	ABV	S	20,000	29.71	n/a	n/a	800.00 4.0
AO,CXL	04/18	SCOPUS FUND (SCOPGS)	041	CBS	B	2,250	24.02	n/a	n/a	90.00 4.0
AO,CRT	04/18	SCOPUS FUND (SCOPGS)	041	CBS	B	1,125	24.02	n/a	n/a	45.00 4.0
AO,CXL	04/18	SCOPUS FUND (SCOPUBS)	041	CBS	B	22,750	24.02	n/a	n/a	910.00 4.0
AO,CRT	04/18	SCOPUS FUND (SCOPUBS)	041	CBS	B	23,875	24.02	n/a	n/a	955.00 4.0
AO,	04/18	COLUMBUS CIRCLE (COLC3050)	036	ISS	B	446	18.72	n/a	n/a	17.84 4.0
AO,CRT	04/18	TALPION LLC (TALPCSFBBP)	040	JCP	SS	3,000	37.00	n/a	8-Apr	120.00 4.0
AO,CXL	04/18	TALPION LLC (TALPMSPB)	040	JCP	SS	3,000	37.00	n/a	8-Apr	120.00 4.0
AO,CRT	04/18	TALPION LLC (TALPCSFBBP)	040	KMB	B	3,500	65.54	n/a	18-Feb	140.00 4.0
AO,CXL	04/18	TALPION LLC (TALPMSPB)	040	KMB	B	3,500	65.54	n/a	18-Feb	140.00 4.0
AO,CXL	04/18	SCOPUS FUND (SCOPGS)	041	SPAR	S	1,440	6.01	n/a	n/a	57.60 4.0
AO,CRT	04/18	SCOPUS FUND (SCOPGS)	041	SPAR	S	2,381	6.01	n/a	n/a	95.24 4.0
AO,CXL	04/18	SCOPUS FUND (SCOPUBS)	041	SPAR	S	14,560	6.01	n/a	n/a	582.40 4.0
AO,CRT	04/18	SCOPUS FUND (SCOPUBS)	041	SPAR	S	13,619	6.01	n/a	n/a	544.76 4.0
AO,CRT	04/18	TALPION LLC (TALPCSFBBP)	040	TAP	B	2,500	47.67	n/a	n/a	100.00 4.0
AO,CXL	04/18	TALPION LLC (TALPMSPB)	040	TAP	B	2,500	47.67	n/a	n/a	100.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>17.84</b>

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TOTAL (Trade Date):	58,469.23
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>58,487.07</b>
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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