



Daily Compliance Activity Report

Trade Date: 03/17/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	B	25,000	16.09	n/a	n/a	1,000.00	4.0
TALPION LLC	040	AA	SS	31,000	16.02	n/a	n/a	1,240.00	4.0
GREEN ARROW DOUG	040	AEO	B	15,000	15.25	n/a	10-Mar	750.00	5.0
SUN AMERICA ASSET MGMT	030	AKAM	B	2,000	36.01	n/a	n/a	80.00	4.0
IMPALA ASSET MMT	012	AMZN	B	2,000	166.07	n/a	n/a	100.00	5.0
KLEINHEINZ CAP PART	031	AN	B	75,000	33.44	n/a	9-Feb	3,750.00	5.0
BMO NESBITT BURNS	041	AXL	B	25,000	12.41	n/a	9-Feb	1,250.00	0.0
COBALT	041	AXL	SS	200,000	12.45	n/a	9-Feb	8,000.00	4.0
IMPALA ASSET MMT	012	BA	B	7,200	68.61	n/a	16-Mar	360.00	5.0
TALPION LLC	040	BA	SS	7,000	68.26	n/a	16-Mar	280.00	4.0
GEORGE WEISS	034	BBY	B	32,000	30.99	n/a	n/a	1,280.00	4.0
OSKIE CAPITAL MGMT	224	BK	B	5,000	28.44	n/a	14-Mar	250.00	5.0
JET CAPITAL/CHRIS	041	BP	S	15,000	44.32	n/a	n/a	450.00	3.0
PIONEER PATH	028	BXS	B	64,893	15.37	n/a	n/a	1,946.79	3.0
IMPALA ASSET MMT	012	CAT	B	5,000	101.99	n/a	28-Jan	250.00	5.0
RBC CAPITAL MARKETS	040	CCE	S	50,000	25.57	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	CHKP	S	1,600	47.84	n/a	n/a	64.00	4.0
NEUBERGER BERMAN	036	CNQ	S	60,600	47.78	n/a	n/a	2,424.00	4.0
HOTCHKIS & WILEY	035	CNW	S	50,000	36.73	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	COH	S	20,000	50.90	n/a	26-Jan	600.00	3.0
DSG CAPITAL	012	CPKI	B	5,000	15.89	n/a	15-Mar	150.00	3.0
WEINTRAUB CAPITAL MGT.	040	CPKI	B	34,000	15.93	n/a	15-Mar	1,360.00	4.0
MOORE CAPITAL	041	CWTR	S	20,000	2.35	n/a	n/a	400.00	2.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	5,100	14.41	n/a	n/a	204.00	4.0
SONTERRA CAP	041	DPZ	B	50,000	17.80	n/a	1-Mar	2,000.00	4.0
ROYCE TRADING	012	FINL	B	70,000	17.45	n/a	1-Mar	3,500.00	5.0
CIRCLE T/SES PART	033	F	S	35,000	14.47	n/a	2-Mar	1,400.00	4.0
TALPION LLC	040	F	SS	35,000	14.25	n/a	2-Mar	1,400.00	4.0
GEORGE WEISS	034	GES	B	58,000	39.39	n/a	17-Mar	2,320.00	4.0
NORTHWESTERN MUTUAL LIFE	047	GES	S	232,600	38.94	n/a	17-Mar	9,304.00	4.0
PARAMETER CAPITAL MGMT LLC	044	GGP	S	25,000	14.66	n/a	n/a	1,000.00	4.0
CAVU CAP ADV	028	GIS	B	25,000	36.12	n/a	n/a	1,250.00	5.0
CAXTON PART	040	GIS	S	19,586	35.77	n/a	n/a	685.53	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	GM	SS	16,000	31.51	n/a	2-Mar	640.00	4.0
ARMATURE CAPITAL	041	IP	S	1,800	26.51	n/a	17-Mar	72.00	4.0
MA CAPITAL MGMT/MELLON ADV041	IP	B		2,500	26.23	n/a	17-Mar	125.00	5.0
HUNTER GLOBAL INVESTOR	028	JCI	S	176,240	39.86	n/a	20-Jan	8,812.00	5.0
RBC CAPITAL MARKETS	040	JWN	S	42,457	41.77	n/a	3-Mar	1,698.28	4.0
CYRUS CAPITAL	025	KND	B	8,000	23.27	n/a	n/a	320.00	4.0
CAXTON PART	040	K	S	19,567	53.43	n/a	n/a	684.86	3.5
BASCOM HILL PARTNERS LLC	033	LEA	B	2,500	99.28	n/a	2-Feb	75.00	3.0
M&I FUNDS	047	LO	B	16,029	80.48	n/a	n/a	641.16	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	9.56	n/a	10-Feb	2,500.00	5.0
MA CAPITAL MGMT/MELLON ADV041	LPX	B		4,000	9.58	n/a	10-Feb	200.00	5.0
COUGAR TRADING	044	LULU	SS	10,000	78.02	n/a	17-Mar	250.00	2.5
AAD CAPITAL	084	LVS	B	40,000	37.40	n/a	10-Mar	1,600.00	4.0
NOMURA CAPITAL	029	LYB	S	14,800	39.17	n/a	n/a	444.00	3.0
OSKIE CAPITAL MGMT	224	MET	B	5,000	42.75	n/a	n/a	250.00	5.0
SUN AMERICA ASSET MGMT	030	MMI	B	4,000	24.47	n/a	n/a	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JET CAPITAL/CHRIS	041	MO	C	50,000	24.63	n/a	n/a	1,500.00	3.0
BNP PARIBAS SEC	040	MWV	B	20,000	28.00	n/a	26-Jan	1,000.00	5.0
SUN AMERICA ASSET MGMT	030	MWW	B	4,000	15.13	n/a	n/a	160.00	4.0
GEORGE WEISS	034	M	B	43,000	23.33	n/a	3-Mar	1,720.00	4.0
SYSTEMATIC FINANCIAL MGT	035	M	B	178,850	23.69	n/a	3-Mar	5,365.50	3.0
OSS CAPITAL	036	NAV	SS	25,000	64.17	n/a	10-Mar	750.00	3.0
SUN AMERICA ASSET MGMT	030	OCLR	B	3,000	11.55	n/a	n/a	120.00	4.0
BNP PARIBAS SEC	040	OI	S	20,000	29.38	n/a	n/a	1,000.00	5.0
CHARTER OAK	033	ORA	B	15,100	24.74	n/a	n/a	679.51	4.5
S.A.C. HEALTHCARE BOBBY	044	PFE	S	15,000	19.63	n/a	n/a	525.00	3.5
ROYCE TRADING	012	PLCE	B	12,000	48.46	n/a	9-Mar	600.00	5.0
APEX CAPITAL MGMT.	261	PPG	SS	72,700	87.13	n/a	11-Mar	2,908.00	4.0
PIONEER PATH	028	PRE	B	13,727	73.07	n/a	n/a	411.81	3.0
SURVEYOR CAPITAL	041	PRI	B	16,307	24.60	n/a	n/a	489.21	3.0
PIONEER PATH	028	PRU	B	50,243	59.68	n/a	n/a	1,507.29	3.0
JET CAPITAL/CHRIS	041	RAI	B	25,000	32.73	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	RES	B	10,000	20.45	n/a	n/a	400.00	4.0
ELM RIDGE ADVISORS	044	RYN	S	41,358	60.04	n/a	26-Jan	1,654.32	4.0
SCOPUS FUND	041	RYN	S	35,000	59.21	n/a	26-Jan	1,400.00	4.0
GALT INVESTMENT	041	SAH	S	25,000	12.95	n/a	n/a	1,000.00	4.0
SANDLER CAPITAL	028	SGI	S	120,000	17.78	n/a	n/a	6,000.00	5.0
SURSUM CAPITAL	215	SHOO	B	10,000	43.03	n/a	n/a	300.00	3.0
IRIDIAN ASSET MGMT.	036	SHPGY	S	4,210	85.70	n/a	16-Mar	210.50	5.0
SAC TRADING TOM LEDDY	035	SKS	B	43,000	11.89	n/a	n/a	1,505.00	3.5
IMPALA ASSET MMT	012	SPY	B	3,000	127.95	n/a	n/a	150.00	5.0
PECONIC PARTNERS	036	SPY	C	100,000	127.94	n/a	n/a	5,000.00	5.0
PIONEER PATH	028	STZ	S	25,000	18.29	n/a	n/a	750.00	3.0
COUGAR TRADING	044	SUP	B	10,000	22.55	n/a	17-Mar	500.00	5.0
COUGAR TRADING	044	SUP	S	10,000	22.04	n/a	17-Mar	500.00	5.0
FIRST NEW YORK LEDDY	035	S	SS	30,000	5.00	n/a	n/a	1,200.00	4.0
IRIDIAN ASSET MGMT.	036	S	S	152,030	5.00	n/a	n/a	4,560.90	3.0
NEUBERGER BERMAN	036	TEX	S	80,700	36.06	n/a	11-Feb	3,228.00	4.0
TRELLUS PARTNERS LP	028	TEX	S	25,000	35.95	n/a	11-Feb	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TLB	B	25,000	5.13	n/a	n/a	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WATERFRONT CAP	028	URI	B	97,000	31.01	n/a	n/a	3,880.00	4.0
TALPION LLC	040	VC	SS	8,000	62.94	n/a	n/a	320.00	4.0
CAXTON PART	040	WFC	B	31,699	31.38	n/a	14-Mar	1,109.51	3.5
CAXTON PART	040	WFC	S	65,333	31.02	n/a	14-Mar	2,286.67	3.5
OSKIE CAPITAL MGMT	224	WFC	B	6,000	30.88	n/a	14-Mar	300.00	5.0
DE SHAW	070	WGO	B	50,000	13.39	n/a	n/a	1,500.00	3.0
GREEN ARROW DOUG	040	WMT	S	25,000	51.28	n/a	22-Feb	1,250.00	5.0
NEUBERGER BERMAN	036	WPI	B	54,400	54.46	n/a	16-Mar	2,176.00	4.0
SURSUM CAPITAL	215	WRC	B	10,000	54.49	n/a	1-Mar	300.00	3.0
SUN AMERICA ASSET MGMT	030	XLI	S	10,000	35.77	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	XLY	B	5,000	38.13	n/a	n/a	200.00	4.0
GREEN ARROW DOUG	040	YUM	SS	10,000	51.25	n/a	3-Feb	500.00	5.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	51.27	n/a	3-Feb	2,500.00	5.0
TOTAL (Trade Date) :								138,712.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/16	DELTEC ASSET MGMT. (DELTPEPSPB)	040		B	10,000	33.65	n/a	n/a	500.00 5.0
CRT	03/17	TALPION LLC (TALPMSPB)	040	AA	SS	31,000	16.02	n/a	n/a	1240.00 4.0
AO,CXL	03/16	SCOPUS FUND (SCOPGS)	041	ANF	B	2,250	53.87	n/a	14-Mar	90.00 4.0
AO,CRT	03/16	SCOPUS FUND (SCOPGS)	041	ANF	B	1,125	53.87	n/a	14-Mar	45.00 4.0
AO,CXL	03/16	SCOPUS FUND (SCOPUBS)	041	ANF	B	22,750	53.87	n/a	14-Mar	910.00 4.0
AO,CRT	03/16	SCOPUS FUND (SCOPUBS)	041	ANF	B	23,875	53.87	n/a	14-Mar	955.00 4.0
AO,CXL	03/16	BMO NESBITT BURNS (BMONFLIP)	041	AXL	B	25,000	12.85	n/a	9-Feb	0.00 0.0
AO,CRT	03/16	BMO NESBITT BURNS (BMONFLIP)	041	AXL	B	25,000	12.85	n/a	9-Feb	1250.00 0.0
CRT	03/17	TALPION LLC (TALPMSPB)	040	BA	SS	7,000	68.26	n/a	16-Mar	280.00 4.0
AO,CXL	03/16	FINDLAY PARK PART (FINDAMERS)	291	C	B	600,000	4.42	n/a	16-Mar	30000.00 5.0
AO,CRT	03/16	FINDLAY PARK PART (FINDAMERS)	291	C	B	600,000	4.42	n/a	16-Mar	4643.73 0.0
AO,CXL	03/16	FINDLAY PARK PART (FINDRITAC)	291	C	B	10,000	4.42	n/a	16-Mar	500.00 5.0
AO,CRT	03/16	FINDLAY PARK PART (FINDRITAC)	291	C	B	10,000	4.42	n/a	16-Mar	77.40 0.0
AO,CXL	03/16	BMO NESBITT BURNS (BMONFLIP)	041	CRI	S	2,500	27.92	n/a	n/a	0.00 0.0
AO,CRT	03/16	BMO NESBITT BURNS (BMONFLIP)	041	CRI	S	2,500	27.92	n/a	n/a	175.00 0.0
CRT	03/17	TALPION LLC (TALPMSPB)	040	F	SS	35,000	14.25	n/a	2-Mar	1400.00 4.0
CRT	03/17	TALPION LLC (TALPMSPB)	040	GM	SS	16,000	31.51	n/a	2-Mar	640.00 4.0
AO,CXL	03/16	FINDLAY PARK PART (FINDAMERS)	291	GS	B	30,000	155.37	n/a	14-Mar	1500.00 5.0
AO,CRT	03/16	FINDLAY PARK PART (FINDAMERS)	291	GS	B	30,000	155.37	n/a	14-Mar	8157.06 0.0
AO,CXL	03/16	FINDLAY PARK PART (FINDRITAC)	291	GS	B	500	155.37	n/a	14-Mar	25.00 5.0
AO,CRT	03/16	FINDLAY PARK PART (FINDRITAC)	291	GS	B	500	155.37	n/a	14-Mar	135.95 0.0
AO,	03/16	ACK ASSET (ACKAMSPB)	028	HBI	B	20,263	26.13	n/a	28-Jan	607.89 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/16	ACK ASSET (ACKABEARPB)	028	HBI	B	29,737	26.13	n/a	28-Jan	892.11 3.0
AO,	03/16	GEORGE WEISS (WEISDEUTSC)	034	MCD	SS	13,500	73.83	n/a	8-Mar	540.00 4.0
AO,CXL	03/16	BMO NESBITT BURNS (BMONFLIP)	041	PLCE	B	2,500	47.00	n/a	9-Mar	0.00 0.0
AO,CRT	03/16	BMO NESBITT BURNS (BMONFLIP)	041	PLCE	B	2,500	47.00	n/a	9-Mar	175.00 0.0
AO,CXL	03/16	DELTEC ASSET MGMT. (DELTMAIN)	040	TEL	B	10,000	33.65	n/a	n/a	500.00 5.0
CRT	03/17	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	TLB	B	25,000	5.13	n/a	n/a	875.00 3.5
CRT	03/17	TALPION LLC (TALPMSPB)	040	VC	SS	8,000	62.94	n/a	n/a	320.00 4.0

TOTAL (AO, CXL, CRT) :	-10,615.86
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TOTAL (Trade Date) :	138,712.84
TOTAL (AO, CXL, CRT) :	-10,615.86

TOTAL (RUN DATE) / NFS :	128,096.98
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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