



## Daily Compliance Activity Report

Trade Date: 03/25/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	AN	B	30,000	34.61	n/a	9-Feb	1,500.00	5.0
COBALT	041	AXL	SS	100,000	13.18	n/a	9-Feb	4,000.00	4.0
MILLENNIUM-ANDEW	031	BWC	S	16,500	32.16	n/a	n/a	990.00	6.0
TOCQUEVILLE	035	CE	B	100,000	43.15	n/a	n/a	5,000.00	5.0
MILLENNIUM-ANDEW	031	CMI	B	20,000	105.23	n/a	1-Mar	1,200.00	6.0
<b>LISTED ERR</b>	<b>099</b>	<b>CMI</b>	<b>B</b>	<b>10,000</b>	<b>105.23</b>	<b>n/a</b>	<b>1-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>CMI</b>	<b>S</b>	<b>10,000</b>	<b>104.68</b>	<b>n/a</b>	<b>1-Mar</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	CYN	S	9,900	55.97	n/a	n/a	396.00	4.0
KACELA CAPITAL	034	DIS	S	48,000	43.02	n/a	n/a	1,920.00	4.0
ENTRUST CAPITAL	040	DPZ	S	39,100	18.31	n/a	1-Mar	1,955.00	5.0
ROSEDALE CAPITAL	046	DVN	B	200	92.00	n/a	4-Mar	10.00	5.0
LAGRANGE CAP ADV	048	FII	B	10,000	26.50	n/a	2-Mar	500.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FINL</b>	<b>B</b>	<b>4,000</b>	<b>19.22</b>	<b>n/a</b>	<b>25-Mar</b>	<b>240.00</b>	<b>6.0</b>
ROYCE TRADING	012	FINL	B	60,874	19.23	n/a	25-Mar	3,043.70	5.0
BALYASNY ASSET MGMT	044	FL	B	25,000	20.11	n/a	3-Mar	1,250.00	5.0
CAISSE DEPOT PLACEMENT Q	295	FORM	B	4,800	10.67	n/a	n/a	240.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOCQUEVILLE	035	FSS	B	25,000	6.48	n/a	n/a	1,250.00	5.0
PIONEER PATH	028	F	SS	66,511	15.03	n/a	2-Mar	1,995.33	3.0
GLOBAL 56 LLC	060	GMXR	B	5,000	5.87	n/a	n/a	150.00	3.0
CIRCLE T/SES PART	033	GM	B	7,500	31.47	n/a	2-Mar	300.00	4.0
TROUBH PART	070	GM	SS	25,000	31.40	n/a	2-Mar	1,250.00	5.0
SURVEYOR CAPITAL	041	GT	B	79,523	15.41	n/a	n/a	2,385.69	3.0
TOCQUEVILLE	035	INSU	B	50,000	26.60	n/a	n/a	2,500.00	5.0
MILLENNIUM-ANDEW	031	ITW	S	30,000	55.11	n/a	1-Feb	1,800.00	6.0
BNP PARIBAS SEC	040	JWN	S	10,000	44.21	n/a	3-Mar	500.00	5.0
M&I FUNDS	047	KO	B	7,010	65.21	n/a	18-Feb	280.40	4.0
TROUBH PART	070	MON	SS	10,000	71.70	n/a	7-Feb	500.00	5.0
BERMAN CAPITAL MGMT	046	MSFT	B	40,000	25.62	n/a	n/a	1,200.00	3.0
DELTEC ASSET MGMT.	040	MTW	S	12,000	21.40	n/a	2-Feb	600.00	5.0
BNP PARIBAS SEC	040	M	B	25,000	23.28	n/a	3-Mar	1,250.00	5.0
SMITH MGMT LLC	029	NDN	B	25,000	19.68	n/a	11-Mar	1,250.00	5.0
SAC TRADING TOM LEDDY	035	NKE	S	25,000	76.72	n/a	n/a	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	PCAR	S	15,000	49.92	n/a	2-Feb	750.00	5.0
RBC CAPITAL MARKETS	040	POT	B	15,000	57.08	n/a	n/a	600.00	4.0
KLEINHEINZ CAP PART	031	RTH	B	35,000	105.54	n/a	n/a	1,750.00	5.0
MFP INVESTORS	085	RURL	B	1,800	12.46	n/a	n/a	90.00	5.0
COUGAR TRADING	044	SKS	B	10,000	11.57	n/a	n/a	500.00	5.0
BERMAN CAPITAL MGMT	046	SPY	B	10,000	131.50	n/a	n/a	300.00	3.0
ETON PARK CAPITAL	041	S	B	1,000,000	4.59	n/a	n/a	30,000.00	3.0
RBC CAPITAL MARKETS	040	TCK	B	25,000	54.91	n/a	n/a	1,000.00	4.0
M&I FUNDS	047	TGT	S	14,151	50.23	n/a	24-Feb	566.04	4.0
COUGAR TRADING	044	URBN	SS	5,000	29.81	n/a	n/a	250.00	5.0
SURVEYOR CAPITAL	041	UTX	B	24,166	83.33	n/a	n/a	724.98	3.0
<b>TOTAL (Trade Date) :</b>								<b>76,862.14</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/24	SCOPUS FUND (SCOPGS)	041	ETH	B	1,800	22.01	n/a	n/a	72.00 4.0
AO,CRT	03/24	SCOPUS FUND (SCOPGS)	041	ETH	B	2,700	22.01	n/a	n/a	108.00 4.0
AO,CXL	03/24	SCOPUS FUND (SCOPUBS)	041	ETH	B	18,200	22.01	n/a	n/a	728.00 4.0
AO,CRT	03/24	SCOPUS FUND (SCOPUBS)	041	ETH	B	17,300	22.01	n/a	n/a	692.00 4.0
<b>CRT</b>	<b>03/25</b>	<b>EGS ASSOCIATES LP (EGASBANC O)</b>	<b>091</b>	<b>FINL</b>	<b>B</b>	<b>4,000</b>	<b>19.22</b>	<b>n/a</b>	<b>25-Mar</b>	<b>240.00 6.0</b>
AO,CXL	03/24	SCOPUS FUND (SCOPGS)	041	PVH	B	2,250	58.99	n/a	1-Feb	90.00 4.0
AO,CRT	03/24	SCOPUS FUND (SCOPGS)	041	PVH	B	1,125	58.99	n/a	1-Feb	45.00 4.0
AO,CXL	03/24	SCOPUS FUND (SCOPUBS)	041	PVH	B	22,750	58.99	n/a	1-Feb	910.00 4.0
AO,CRT	03/24	SCOPUS FUND (SCOPUBS)	041	PVH	B	23,875	58.99	n/a	1-Feb	955.00 4.0
AO,	03/24	COLUMBUS CIRCLE (COLC5000)	036	STJ	B	1,385	50.49	n/a	n/a	55.40 4.0
AO,	03/24	COLUMBUS CIRCLE (COLC3050)	036	TIBX	B	5,211	25.93	n/a	n/a	208.44 4.0
AO,CXL	03/24	BALLAST CAP (BALLJPMPB)	040	WFC	S	10,600	31.24	n/a	14-Mar	0.00 0.0
AO,CRT	03/24	BALLAST CAP (BALLJPMPB)	040	WFC	S	10,600	31.24	n/a	14-Mar	530.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,033.84</b>

TOTAL (Trade Date):	76,862.14
TOTAL (AO, CXL, CRT):	1,033.84

**TOTAL (RUN DATE) / NFS:**

**77,895.98**

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