



Daily Compliance Activity Report

Trade Date: 04/25/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	ANR	B	15,000	57.30	n/a	n/a	600.00	4.0
CIRCLE T/SES PART	033	CAKE	B	15,000	29.42	n/a	21-Apr	600.00	4.0
ROSEDALE CAPITAL	046	CHK	B	25,000	32.64	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	COF	B	17,765	54.03	n/a	21-Apr	710.60	4.0
BUCK CAPITAL MGMT	001	COH	S	40,000	56.93	n/a	25-Apr	1,200.00	3.0
TRUST CO/COWEN/CALF.	040	CVX	S	19,878	107.25	n/a	n/a	993.90	5.0
RBC CAPITAL MARKETS	040	CZZ	SS	20,000	11.85	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DDS	S	20,000	45.04	n/a	n/a	600.00	3.0
ROYCE TRADING	012	FINL	B	14,274	21.00	n/a	25-Mar	713.70	5.0
RBC CAPITAL MARKETS	040	FLR	B	1,500	69.18	n/a	n/a	60.00	4.0
RBC CAPITAL MARKETS	040	FWLT	B	10,000	35.96	n/a	n/a	400.00	4.0
CIRCLE T/SES PART	033	F	S	25,000	15.50	n/a	13-Apr	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	GIS	S	12,700	38.00	n/a	n/a	508.00	4.0
CIRCLE T/SES PART	033	GM	B	15,000	30.66	n/a	13-Apr	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	GM	SS	50,000	31.11	n/a	13-Apr	2,500.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	GM	SS	10,000	30.40		n/a 13-Apr	500.00	5.0
FARALLON CAP MGMT	040	INTC	SS	100,000	21.52	n/a	n/a	3,000.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	1,500	29.62	n/a	14-Apr	75.00	5.0
COLUMBUS CIRCLE	036	ISS	B	115	20.18	n/a	n/a	4.60	4.0
ACK ASSET	028	IWN	B	32,800	74.67	n/a	n/a	984.00	3.0
ACK ASSET	028	IWO	B	25,000	96.33	n/a	n/a	750.00	3.0
Ö Alice Longley		IYG	S	600	57.4800	n/a	n/a	0.00	0.0
SAC CHICAGO ANDREW	031	JWN	B	30,000	47.41	n/a	13-Apr	0.00	0.0
MERRILL ASSET/BLACKROCK	266	LAZ	S	21,100	41.23	n/a	21-Apr	844.00	4.0
COLUMBUS CIRCLE	036	LOGM	S	2,903	43.44	n/a	n/a	77.98	3.0
ST OF MICHIAN	047	MS	B	400,000	25.93	n/a	21-Apr	12,000.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	B	3,000	32.19	n/a	14-Apr	150.00	5.0
BNP PARIBAS SEC	040	M	B	20,000	23.88	n/a	8-Apr	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	S	29,600	24.07	n/a	8-Apr	1,036.00	3.5
LISTED ERR	099	M	B	29,600	24.07	n/a	8-Apr	0.00	0.0
LISTED ERR	099	M	S	29,600	24.04	n/a	8-Apr	0.00	0.0
SAC TRADING TOM LEDDY	035	NWL	B	25,000	18.99	n/a	n/a	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	ODFL	S	1,691	33.85	n/a	n/a	67.64	4.0
BNP PARIBAS SEC	040	PKG	B	20,000	27.43	n/a	19-Apr	1,000.00	5.0
MILLRACE FUND LP	028	PLCE	S	6,500	54.59	n/a	9-Mar	260.00	4.0
ROYCE TRADING	012	PLCE	B	1,500	54.44	n/a	9-Mar	75.00	5.0
SAXON WOODS ADVISORS	048	PLCM	S	13,000	58.66	n/a	n/a	390.00	3.0
CASTLE ARK	031	PRGO	S	30,000	88.35	n/a	25-Apr	1,500.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	69.26	n/a	25-Apr	300.00	3.0
AVESTA CAP	229	PX	S	25,000	106.77	n/a	21-Apr	750.00	3.0
NEUBERGER BERMAN	036	TISI	S	25,000	24.87	n/a	n/a	1,000.00	4.0
SAC TRADING TOM LEDDY	035	WMT	SS	30,000	53.30	n/a	5-Apr	1,050.00	3.5
WEINTRAUB CAPITAL MGT.	040	WRC	S	18,306	63.05	n/a	25-Apr	732.24	4.0
MA CAPITAL MGMT/MELLON ADV	041	WY	SS	4,000	22.56	n/a	14-Apr	200.00	5.0
TRUSTCO/SUNTRUST	040	XRX	B	132,600	10.01	n/a	n/a	4,641.00	3.5
SCOPUS FUND	041	X	B	25,000	51.85	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								46,798.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/25	ROSEDALE CAPITAL (ROSEGS)	046	CHK	B	25,000	32.64	n/a	n/a	1250.00 5.0
CRT	04/25	CIRCLE T/SES PART (CIRCMAIN)	033	F	S	25,000	15.50	n/a	13-Apr	1000.00 4.0
CRT	04/25	CIRCLE T/SES PART (CIRCMAIN)	033	GM	B	15,000	30.66	n/a	13-Apr	600.00 4.0
AO,CXL	04/21	BRANDWINE (BWAM4801)	028	IBM	S	6,900	165.64	n/a	n/a	276.00 4.0
AO,CXL	04/21	BRANDWINE (BWAM4800)	028	IBM	S	13,400	165.64	n/a	n/a	536.00 4.0
AO,CXL	04/21	SCOPUS FUND (SCOPGS)	041	RSH	B	4,500	15.97	n/a	n/a	180.00 4.0
AO,CRT	04/21	SCOPUS FUND (SCOPGS)	041	RSH	B	7,936	15.97	n/a	n/a	317.44 4.0
AO,CXL	04/21	SCOPUS FUND (SCOPUBS)	041	RSH	B	45,500	15.97	n/a	n/a	1820.00 4.0
AO,CRT	04/21	SCOPUS FUND (SCOPUBS)	041	RSH	B	42,064	15.97	n/a	n/a	1682.56 4.0
TOTAL (AO, CXL, CRT) :										2,038.00

TOTAL (Trade Date) :	46,798.66
TOTAL (AO, CXL, CRT) :	2,038.00

TOTAL (RUN DATE) / NFS :	48,836.66
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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