



Daily Compliance Activity Report

Trade Date: 04/27/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	ABG	B	37,600	16.59	n/a	13-Apr	1,880.00	5.0
STATE TEACHERS RET SYS	047	ACM	B	22,300	26.86	n/a	n/a	1,115.00	5.0
STATE TEACHERS RET SYS	047	AEP	B	25,000	36.19	n/a	n/a	1,250.00	5.0
STATE TEACHERS RET SYS	047	AET	S	200,000	39.91	n/a	n/a	10,000.00	5.0
PIONEER PATH	028	AMP	SS	2,374	60.53	n/a	n/a	71.22	3.0
CATAPULT CAP/DEFRANCO	040	AVY	SS	16,200	42.96	n/a	27-Apr	648.00	4.0
MILLRACE FUND LP	028	AXL	B	14,000	12.44	n/a	13-Apr	560.00	4.0
MUTUAL OF AMERICA CAPITAL	029	AXL	B	29,500	12.47	n/a	13-Apr	1,180.00	4.0
COLUMBIA PARTNERS	028	BIDU	B	16,494	150.25	n/a	n/a	659.76	4.0
RBC CAPITAL MARKETS	040	BIN	SS	20,000	25.46	n/a	n/a	800.00	4.0
FARALLON CAP MGMT	040	BP	B	106,140	46.17	n/a	n/a	4,245.60	4.0
BRONSON POINT	036	BWA	SS	10,000	78.30	n/a	13-Apr	300.00	3.0
SAGE ASSET MGMT	012	BZ	S	140,000	9.02	n/a	n/a	5,600.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	CAT	B	1,000	112.58	n/a	12-Apr	50.00	5.0
RBC CAPITAL MARKETS	040	CE	B	10,000	49.15	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	CPKI	B	5,000	15.95	n/a	11-Apr	200.00	4.0
MERRILL ASSET/BLACKROCK	297	CPT	S	9,100	61.12	n/a	n/a	364.00	4.0
BALYASNY ASSET MGMT	044	CX	B	150,000	8.60	n/a	n/a	6,000.00	4.0
NEUBERGER BERMAN	036	DCI	B	29,112	60.22	n/a	n/a	1,164.48	4.0
BUCK CAPITAL MGMT	001	DDS	S	30,500	48.00	n/a	n/a	915.00	3.0
STATE TEACHERS RET SYS	047	DRH	S	8,200	12.02	n/a	n/a	410.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	EAT	S	4,000	25.22	n/a	27-Apr	200.00	5.0
IRIDIAN ASSET MGMT.	036	EBAY	S	9,860	33.81	n/a	n/a	493.00	5.0
COLUMBIA PARTNERS	028	EMC	S	61,470	28.02	n/a	n/a	2,458.80	4.0
MERRILL ASSET/BLACKROCK	266	ESS	S	8,700	132.79	n/a	n/a	348.00	4.0
SIGMA CAPITAL ASSOCIATES	041	EXPR	B	50,000	21.57	n/a	n/a	1,750.00	3.5
ROYCE TRADING	012	FINL	B	7,500	21.41	n/a	25-Mar	375.00	5.0
BNP PARIBAS SEC	040	F	SS	50,000	15.56	n/a	27-Apr	2,500.00	5.0
OZ MGMT	040	F	SS	100,000	15.56	n/a	27-Apr	3,000.00	3.0
RBC CAPITAL MARKETS	040	F	SS	100,000	15.52	n/a	27-Apr	4,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	12,000	41.72	n/a	25-Apr	360.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SERENGETI MGMT	030	GE	S	100,000	20.22	n/a	n/a	5,000.00	5.0
CIRCLE T/SES PART	033	GM	SS	15,000	31.43	n/a	13-Apr	600.00	4.0
STATE TEACHERS RET SYS	047	IBM	S	10,000	170.40	n/a	n/a	500.00	5.0
FIRST NY SEC/CHRIS	041	INTC	SS	25,000	22.60	n/a	n/a	1,250.00	5.0
SCHOTTENFELD ASSOC	041	IP	B	20,000	30.00	n/a	14-Apr	600.00	3.0
CAERUS GLOBAL	041	JNY	S	50,000	14.98	n/a	25-Apr	2,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	10,400	48.31	n/a	13-Apr	312.00	3.0
PIONEER PATH	028	KMB	SS	25,000	64.98	n/a	26-Apr	750.00	3.0
MA CAPITAL MGMT/MELLON ADV041		KMT	B	2,500	41.86	n/a	28-Jan	125.00	5.0
SIGMA CAPITAL ASSOCIATES	041	LTD	S	100,000	40.79	n/a	n/a	3,500.00	3.5
WADDELL AND REED	047	LWSN	S	310,000	11.06	n/a	n/a	9,300.00	3.0
SAC CHICAGO ANDREW	031	MO	SS	100,000	26.60	n/a	n/a	3,500.00	3.5
BALYASNY ASSET MGMT	044	MWV	B	30,000	32.98	n/a	27-Apr	1,500.00	5.0
COUGAR TRADING	044	MWV	B	10,000	33.02	n/a	27-Apr	500.00	5.0
COUGAR TRADING	044	MWV	S	10,000	33.46	n/a	27-Apr	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	56,000	32.84	n/a	27-Apr	2,800.00	5.0
MA CAPITAL MGMT/MELLON ADV041		MWV	S	3,000	32.96	n/a	27-Apr	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	MWV	B	10,000	32.88	n/a	27-Apr	400.00	4.0
SONTERRA CAP	041	MWV	B	50,000	33.38	n/a	27-Apr	2,000.00	4.0
BALYASNY ASSET MGMT	044	M	S	25,000	24.82	n/a	8-Apr	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	M	B	317,075	24.81	n/a	8-Apr	9,512.25	3.0
SAXON WOODS ADVISORS	048	NOK	B	250,000	9.12	n/a	n/a	7,500.00	3.0
PIONEER PATH	028	NWL	S	50,000	19.55	n/a	n/a	1,500.00	3.0
SENATOR INVESTMENT GROUP	036	NYX	S	50,000	39.34	n/a	n/a	1,500.00	3.0
SENATOR INVESTMENT GROUP	036	PETM	S	40,537	42.63	n/a	n/a	1,216.11	3.0
SAC TRADING TOM LEDDY	035	PG	SS	25,000	64.00	n/a	27-Apr	875.00	3.5
MA CAPITAL MGMT/MELLON ADV	041	PH	SS	2,000	93.65	n/a	21-Jan	100.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	4,000	55.28	n/a	9-Mar	160.00	4.0
ROYCE TRADING	012	PLCE	B	13,000	55.47	n/a	9-Mar	650.00	5.0
PIONEER PATH	028	PRU	B	2,412	60.98	n/a	n/a	72.36	3.0
WEISS PECK	040	QQQ	C	5,100	59.21	n/a	n/a	153.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	RKT	B	2,000	69.45	n/a	n/a	60.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	RKT	S	2,000	69.55	n/a	n/a	60.00	3.0
BALYASNY ASSET MGMT	044	SIG	B	20,800	43.92	n/a	n/a	1,040.00	5.0
STATE TEACHERS RET SYS	047	SPG	S	5,000	113.25	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	S	S	20,000	4.78	n/a	n/a	800.00	4.0
STATE TEACHERS RET SYS	047	TCB	B	100,000	15.63	n/a	n/a	5,000.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	2,500	22.66	n/a	20-Apr	100.00	4.0
NEUBERGER BERMAN	036	TISI	S	14,431	25.08	n/a	n/a	577.24	4.0
CAERUS GLOBAL	041	TJX	SS	20,000	53.17	n/a	8-Apr	800.00	4.0
ROTHSCHILD ASSET	040	TSO	B	6,180	25.79	n/a	n/a	247.20	4.0
HIGHFIELDS CAP MGMT	030	T	SS	100,000	31.23	n/a	n/a	5,000.00	5.0
BASIX	033	URI	B	20,000	29.42	n/a	n/a	600.00	3.0
TOTAL (Trade Date) :								127,608.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/27	BRONSON POINT (BRONFBCO)	036	BWA	SS	10,000	78.30	n/a	13-Apr	300.00 3.0
CRT	04/27	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	EXPR	B	50,000	21.57	n/a	n/a	1750.00 3.5
AO,CXL	04/26	MA CAPITAL MGMT/MELLON ADV (MACAJEFF)	041	LPX	B	12,000	9.17	n/a	14-Apr	600.00 5.0
AO,CRT	04/26	MA CAPITAL MGMT/MELLON ADV (MACAJEFF)	041	LPX	B	12,000	9.17	n/a	14-Apr	480.00 4.0
CRT	04/27	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	LTD	S	100,000	40.79	n/a	n/a	3500.00 3.5
CRT	04/27	COUGAR TRADING (COUGPB MS)	044	MWV	B	10,000	33.02	n/a	27-Apr	500.00 5.0
AO,CXL	04/26	SCOPUS FUND (SCOPGS)	041	RKT	B	3,724	71.13	n/a	n/a	148.96 4.0
AO,CRT	04/26	SCOPUS FUND (SCOPGS)	041	RKT	B	4,087	71.13	n/a	n/a	163.48 4.0
AO,CXL	04/26	SCOPUS FUND (SCOPUBS)	041	RKT	B	37,658	71.13	n/a	n/a	1506.32 4.0
AO,CRT	04/26	SCOPUS FUND (SCOPUBS)	041	RKT	B	37,295	71.13	n/a	n/a	1491.80 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.98	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	20,000	30.97	n/a	n/a	800.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.97	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.97	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	20,000	30.97	n/a	n/a	800.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.96	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.96	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.96	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.95	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.95	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.95	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.90	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.90	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.90	n/a	n/a	400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.90	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.89	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.89	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	20,000	30.88	n/a	n/a	800.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	10,000	30.87	n/a	n/a	400.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	20,000	30.83	n/a	n/a	800.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	20,000	30.75	n/a	n/a	800.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	20,000	30.74	n/a	n/a	800.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	20,000	30.73	n/a	n/a	800.00 4.0
AO,	04/26	NEW JERSEY DIV OF INV. (NEWJ5162)	030	T	B	300,000	30.89	n/a	n/a	12000.00 4.0
TOTAL (AO, CXL, CRT) :										5,930.00
TOTAL (Trade Date):										127,608.02
TOTAL (AO, CXL, CRT):										5,930.00
TOTAL (RUN DATE) / NFS:										133,538.02

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