



## Daily Compliance Activity Report

Trade Date: 04/29/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	ACN	S	900	57.73	n/a	n/a	36.00	4.0
JP MORGAN VENTURES	046	AEO	B	10,000	15.70	n/a	10-Mar	400.00	4.0
TRUST CO/COWEN/CALF.	040	ALL	B	50,000	33.94	n/a	n/a	2,500.00	5.0
ADAGE CAPITAL MGMT	030	ANF	S	120,800	70.90	n/a	6-Apr	3,624.00	3.0
BALYASNY ASSET MGMT	044	ASNA	SS	40,000	31.30	n/a	n/a	2,000.00	5.0
BALYASNY ASSET MGMT	044	AXL	SS	25,000	13.18	n/a	2-May	1,250.00	5.0
RIDGECREST INV MGMT LLC	028	AXL	SS	7,500	12.98	n/a	2-May	375.00	5.0
FIRST NEW YORK KEVIN O	046	BC	B	2,500	23.29	n/a	n/a	75.00	3.0
DELTEC ASSET MGMT.	040	BEAV	S	6,000	38.62	n/a	25-Apr	300.00	5.0
CR INTRINIC INVESTMENT	044	BIN	B	15,000	25.34	n/a	n/a	525.00	3.5
FIRST NEW YORK KEVIN O	046	BRCM	S	4,750	35.24	n/a	n/a	142.50	3.0
MA CAPITAL MGMT/MELLON ADV	041	CAT	S	1,000	115.71	n/a	12-Apr	50.00	5.0
DAVIDSON INV ADV	035	CCL	B	26,400	38.03	n/a	n/a	1,056.00	4.0
SUN AMERICA ASSET MGMT	030	CHKP	S	1,000	55.08	n/a	n/a	40.00	4.0
MILLRACE FUND LP	028	CPKI	B	5,000	16.05	n/a	2-May	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	CSCO	S	4,100	17.29	n/a	n/a	164.00	4.0
SUN AMERICA ASSET MGMT	030	CTSH	S	400	82.64	n/a	n/a	16.00	4.0
TRUST CO/COWEN/CALF.	040	CVX	S	20,940	108.79	n/a	n/a	1,047.00	5.0
SANDLER O'NEILL ASSET	031	C	B	36,900	4.56	n/a	18-Apr	738.00	2.0
DAVIDSON INV ADV	035	DIS	S	72,938	43.14	n/a	n/a	2,917.52	4.0
SAC CAP/ROSEN FOR BOBBY	044	DLR	B	35,000	60.20	n/a	n/a	1,225.00	3.5
NEUBERGER BERMAN	036	DRIV	B	61,000	33.56	n/a	n/a	2,440.00	4.0
COOPER CREEK PART	028	DSW	SS	10,000	47.61	n/a	11-Feb	400.00	4.0
TRUST CO/COWEN/CALF.	040	ELY	B	9,080	7.00	n/a	n/a	363.20	4.0
SUN AMERICA ASSET MGMT	030	EMC	S	900	28.45	n/a	n/a	36.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>FALC</b>	<b>S</b>	<b>2000</b>	<b>4.1470</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	012	FINL	B	28,000	21.49	n/a	25-Mar	1,400.00	5.0
CIRCLE T/SES PART	033	GM	SS	10,000	32.04	n/a	13-Apr	400.00	4.0
IRIDIAN ASSET MGMT.	036	GM	S	6,890	32.38	n/a	13-Apr	344.50	5.0
MOORE CAPITAL	041	GM	C	25,000	32.50	n/a	13-Apr	1,000.00	4.0
CYPRESS CAP MGMT LLC	040	GPS	SS	19,500	23.25	n/a	n/a	780.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	HBI	B	6,500	32.40	n/a	21-Apr	325.00	5.0
CAMBIAR CAP	046	HBI	B	198,770	32.41	n/a	21-Apr	7,950.80	4.0
Õ Doug Rogers		HOTT	B	2000	6.7161	n/a	n/a	0.00	0.0
Õ Doug Rogers		HOTT	B	2000	6.7161	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	HPQ	S	1,300	40.27	n/a	n/a	52.00	4.0
TRUSTCO/SUNTRUST	040	HXL	B	33,705	21.34	n/a	27-Apr	1,179.69	3.5
SUN AMERICA ASSET MGMT	030	IACI	B	1,100	36.30	n/a	n/a	44.00	4.0
KENNEDY CAPITAL	046	ICON	S	36,490	24.48	n/a	n/a	1,459.60	4.0
ROYAL CAPITAL MGMT	070	IM	B	60,000	19.00	n/a	n/a	3,000.00	5.0
LISTED ERR	099	IM	B	9,000	19.00	n/a	n/a	0.00	0.0
LISTED ERR	099	IM	S	9,000	18.98	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	IPI	SS	15,000	34.40	n/a	n/a	600.00	4.0
MA CAPITAL MGMT/MELLON ADV041		IP	B	4,000	30.38	n/a	28-Apr	200.00	5.0
MA CAPITAL MGMT/MELLON ADV041		IP	S	4,000	30.94	n/a	28-Apr	200.00	5.0
ADAGE CAPITAL MGMT	030	JCP	S	74,736	38.57	n/a	8-Apr	2,242.08	3.0
TRUST CO/COWEN/CALF.	040	KEG	S	7,450	17.98	n/a	29-Apr	298.00	4.0
FIRST NEW YORK KEVIN O	046	KMT	S	250	42.16	n/a	29-Apr	7.50	3.0
TRUST CO/COWEN/CALF.	040	KND	B	2,180	23.18	n/a	n/a	87.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	B	600	40.81	n/a	27-Apr	30.00	5.0
MA CAPITAL MGMT/MELLON ADV041		LEA	B	2,200	50.81	n/a	2-May	110.00	5.0
MA CAPITAL MGMT/MELLON ADV041		LEA	SS	2,200	51.55	n/a	2-May	110.00	5.0
MORTAR ROCK	033	LEA	S	22,500	51.02	n/a	2-May	900.00	4.0
TROUBH PART	070	LEA	B	20,000	51.28	n/a	2-May	1,000.00	5.0
BRONSON POINT	036	LKQX	C	10,000	25.32	n/a	n/a	300.00	3.0
BMO NESBITT BURNS	041	LPX	S	25,000	9.15	n/a	14-Apr	750.00	3.0
TROUBH PART	070	LVS	B	25,000	46.67	n/a	8-Apr	1,250.00	5.0
GREEN ARROW DOUG	040	MHGC	S	25,000	8.62	n/a	n/a	1,250.00	5.0
DAVIDSON INV ADV	035	MHP	B	27,185	40.57	n/a	n/a	1,087.40	4.0
SUN AMERICA ASSET MGMT	030	MRVL	S	7,100	15.49	n/a	n/a	284.00	4.0
IRIDIAN ASSET MGMT.	036	MSFT	S	34,660	25.63	n/a	n/a	1,733.00	5.0
THRIVENT ASSET MGMT	030	MS	S	190,307	25.94	n/a	21-Apr	7,612.28	4.0
BASIX	033	MTW	S	70,000	21.86	n/a	2-Feb	2,100.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		MTW	B	10,000	21.65		n/a 2-Feb	500.00	5.0
SONTERRA CAP	041	MWV	B	100,000	33.83	n/a	27-Apr	4,000.00	4.0
WINSLOW CAPITAL	030	MYL	B	66,900	24.90	n/a	25-Apr	2,007.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAISSE DEPOT PLACEMENT Q	295	M	B	15,000	23.98	n/a	8-Apr	750.00	5.0
<b>Õ Doug Rogers</b>		<b>NBRXF</b>	<b>S</b>	<b>2000</b>	<b>13.9700</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	NKE	SS	4,800	82.31	n/a	n/a	240.00	5.0
TRUST CO/COWEN/CALF.	040	NR	S	7,240	9.01	n/a	n/a	289.60	4.0
CR INTRINIC INVESTMENT	044	NSC	S	10,000	74.63	n/a	n/a	350.00	3.5
FIRST NEW YORK KEVIN O	046	OSK	S	7,500	31.63	n/a	n/a	225.00	3.0
SUN AMERICA ASSET MGMT	030	PEP	S	10,000	68.80	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	PFE	S	85,000	20.85	n/a	n/a	3,400.00	4.0
ROYCE TRADING	012	PLCE	B	32,000	53.25	n/a	9-Mar	1,600.00	5.0
FIRST NEW YORK KEVIN O	046	PPC	B	55,000	5.82	n/a	n/a	1,650.00	3.0
RBC CAPITAL MARKETS	040	PPC	B	2,800	6.14	n/a	n/a	112.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>70.37</b>	<b>n/a</b>	<b>25-Apr</b>	<b>300.00</b>	<b>3.0</b>
SUN AMERICA ASSET MGMT	030	QCOM	S	2,200	57.81	n/a	n/a	88.00	4.0
RBC CAPITAL MARKETS	040	QLTY	B	10,000	11.87	n/a	n/a	400.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	RAX	B	75,000	26.21	n/a	n/a	2,625.00	3.5
TRUST CO/COWEN/CALF.	040	RHI	B	24,210	30.45	n/a	n/a	1,210.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	RKT	B	20,000	69.01	n/a	n/a	800.00	4.0
GREEN ARROW DOUG	040	SONC	SS	10,000	10.99	n/a	n/a	500.00	5.0
MESIROW	031	SONC	B	109,512	11.18	n/a	n/a	4,380.48	4.0
ROBERTSON STEVENS BC	035	SONS	S	2,640	3.95	n/a	n/a	52.80	2.0
ROXBURY CAPITAL MGMT	035	SONS	S	306,645	3.95	n/a	n/a	6,132.90	2.0
SONTERRA CAP	041	SSCC	B	10,240	38.29	n/a	14-Apr	409.60	4.0
BNP PARIBAS SEC	040	SUR	S	25,000	26.47	n/a	n/a	1,250.00	5.0
CADIAN CAPITAL	041	SVVS	S	50,000	39.24	n/a	n/a	1,500.00	3.0
COUGAR TRADING	044	SYU	SS	15,000	28.98	n/a	n/a	750.00	5.0
DELTEC ASSET MGMT.	040	TEL	B	10,000	35.66	n/a	n/a	500.00	5.0
BRONSON POINT	036	TEX	B	25,000	34.59	n/a	25-Apr	750.00	3.0
RBC CAPITAL MARKETS	040	TEX	B	25,000	34.81	n/a	25-Apr	1,000.00	4.0
FIRST NEW YORK KEVIN O	046	TGT	B	650	49.06	n/a	29-Apr	19.50	3.0
SCOPUS FUND	041	TGT	S	117,500	49.32	n/a	29-Apr	4,700.00	4.0
NEUBERGER BERMAN	036	TISI	S	12,100	24.96	n/a	n/a	484.00	4.0
ADAGE CAPITAL MGMT	030	TJX	B	250,000	53.64	n/a	8-Apr	7,500.00	3.0
FIRST NEW YORK KEVIN O	046	TOL	S	1,500	21.02	n/a	n/a	45.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	UHS	B	9,000	54.74	n/a	n/a	360.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	UPL	B	25,000	49.81	n/a	19-Apr	875.00	3.5
SUN AMERICA ASSET MGMT	030	VPRT	S	1,000	53.73	n/a	n/a	40.00	4.0
THOMAS WEISEL ASSET MGMT	035	VVTV	B	49,493	6.19	n/a	n/a	1,484.79	3.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>WFC</b>	<b>B</b>	<b>5,000</b>	<b>29.10</b>	<b>n/a</b>	<b>20-Apr</b>	<b>200.00</b>	<b>4.0</b>
NEW JERSEY DIV OF INV.	030	WL	B	20,000	4.54	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	WY	B	6,000	23.09	n/a	29-Apr	180.00	3.0
MA CAPITAL MGMT/MELLON ADV041	041	WY	B	3,000	23.15	n/a	29-Apr	150.00	5.0
MA CAPITAL MGMT/MELLON ADV041	041	WY	SS	3,000	23.83	n/a	29-Apr	150.00	5.0
MA CAPITAL MGMT/MELLON ADV041	041	WY	S	4,500	23.25	n/a	29-Apr	270.00	6.0
SCOPUS FUND	041	WY	B	9,400	22.97	n/a	29-Apr	376.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>WY</b>	<b>B</b>	<b>4,500</b>	<b>23.11</b>	<b>n/a</b>	<b>29-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>WY</b>	<b>S</b>	<b>4,500</b>	<b>23.03</b>	<b>n/a</b>	<b>29-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>117,814.44</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/28	ROTHSCHILD ASSET (ROTH3762)	040	DOW	B	1,580	40.49	n/a	28-Apr	63.20 4.0
AO,CXL	04/28	ROTHSCHILD ASSET (ROTH3761)	040	DOW	B	1,580	40.49	n/a	28-Apr	63.20 4.0
AO,CXL	04/27	ELM RIDGE ADVISORS (ELMRCIT)	044	IP	S	1,300	29.99	n/a	28-Apr	52.00 4.0
AO,	04/27	ELM RIDGE ADVISORS (ELMRCIT)	044	IP	S	1,390	29.99	n/a	28-Apr	55.60 4.0
AO,CXL	04/27	ELM RIDGE ADVISORS (ELMRGS)	044	IP	S	200	29.99	n/a	28-Apr	8.00 4.0
AO,	04/27	ELM RIDGE ADVISORS (ELMRGS)	044	IP	S	110	29.99	n/a	28-Apr	4.40 4.0
AO,CXL	04/28	SCOPUS FUND (SCOPGS)	041	IR	S	5,680	50.75	n/a	25-Apr	227.20 4.0
AO,CRT	04/28	SCOPUS FUND (SCOPGS)	041	IR	S	5,679	50.75	n/a	25-Apr	227.16 4.0
AO,CXL	04/28	SCOPUS FUND (SCOPUBS)	041	IR	S	57,436	50.75	n/a	25-Apr	2297.44 4.0
AO,CRT	04/28	SCOPUS FUND (SCOPUBS)	041	IR	S	57,437	50.75	n/a	25-Apr	2297.48 4.0
AO,CXL	04/28	SCOPUS FUND (SCOPGS)	041	KSS	SS	4,500	53.09	n/a	8-Apr	180.00 4.0
AO,CRT	04/28	SCOPUS FUND (SCOPGS)	041	KSS	SS	2,250	53.09	n/a	8-Apr	90.00 4.0
AO,CXL	04/28	SCOPUS FUND (SCOPUBS)	041	KSS	SS	45,500	53.09	n/a	8-Apr	1820.00 4.0
AO,CRT	04/28	SCOPUS FUND (SCOPUBS)	041	KSS	SS	47,750	53.09	n/a	8-Apr	1910.00 4.0
AO,	04/26	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	M	B	25,000	24.32	n/a	8-Apr	875.00 3.5
AO,CXL	04/26	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	M	B	25,000	24.32	n/a	8-Apr	875.00 3.5
AO,	04/28	SCOPUS FUND (SCOPFIDO)	041	TGT	S	2,301	50.21	n/a	29-Apr	92.04 4.0
AO,CXL	04/28	SCOPUS FUND (SCOPGS)	041	TGT	S	5,388	50.21	n/a	29-Apr	215.52 4.0
AO,CRT	04/28	SCOPUS FUND (SCOPGS)	041	TGT	S	8,082	50.21	n/a	29-Apr	323.28 4.0
AO,CXL	04/28	SCOPUS FUND (SCOPUBS)	041	TGT	S	54,477	50.21	n/a	29-Apr	2179.08 4.0
AO,CRT	04/28	SCOPUS FUND (SCOPUBS)	041	TGT	S	49,482	50.21	n/a	29-Apr	1979.28 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>



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TOTAL (Trade Date):	117,814.44
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TOTAL (AO, CXL, CRT):	0.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>117,814.44</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