



## Daily Compliance Activity Report

Trade Date: 02/23/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CRIB	044	ALB	B	10,000	55.96	n/a	n/a	350.00	3.5
ARMATURE CAPITAL	041	ALV	B	20,000	72.16	n/a	2-Feb	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>30,000</b>	<b>25.41</b>	<b>n/a</b>	<b>4-Feb</b>	<b>900.00</b>	<b>3.0</b>
BNP PARIBAS SEC	040	AXL	B	20,000	12.76	n/a	9-Feb	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>S</b>	<b>30,000</b>	<b>45.42</b>	<b>n/a</b>	<b>n/a</b>	<b>900.00</b>	<b>3.0</b>
NEUBERGER BERMAN	036	BLK	B	8,930	195.16	n/a	n/a	357.20	4.0
PILOT ADV	048	B	C	12,000	20.62	n/a	n/a	360.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>53.90</b>	<b>n/a</b>	<b>26-Jan</b>	<b>600.00</b>	<b>3.0</b>
SIGMA CAPITAL ASSOCIATES	041	COST	S	25,000	72.62	n/a	n/a	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	CROX	B	35,000	17.26	n/a	n/a	1,225.00	3.5
HOPLITE MGMT	025	C	B	306,300	4.60	n/a	16-Feb	6,126.00	2.0
GLENHILL CAPITAL	036	DAN	B	115,000	17.90	n/a	31-Jan	5,750.00	5.0
NEUBERGER BERMAN	036	DDR	B	5,000	13.55	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	DHR	B	28,405	49.46	n/a	n/a	1,136.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	DKS	B	15,000	35.99	n/a	16-Nov	750.00	5.0
COUGAR TRADING	044	DLTR	B	5,000	50.98	n/a	23-Feb	250.00	5.0
SCOPUS FUND	041	DLTR	B	30,000	49.47	n/a	23-Feb	1,200.00	4.0
KENNEDY CAPITAL	046	DPZ	S	44,440	16.65	n/a	7-Jan	1,777.60	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>10,000</b>	<b>45.51</b>	<b>n/a</b>	<b>20-Jan</b>	<b>300.00</b>	<b>3.0</b>
WEINTRAUB CAPITAL MGT.	040	GIII	B	13,000	36.89	n/a	n/a	520.00	4.0
PHILADELPHIA FINANCIAL	033	GM	SS	38,257	35.33	n/a	23-Feb	1,147.71	3.0
RIDGECREST INV MGMT LLC	028	GM	SS	7,500	35.36	n/a	23-Feb	375.00	5.0
SAC TRADING TOM LEDDY	035	GPS	B	47,500	22.11	n/a	n/a	1,662.50	3.5
CAVU CAP ADV	028	GT	S	20,000	13.58	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	GWW	B	6,575	129.99	n/a	26-Jan	263.00	4.0
SAC TRADING TOM LEDDY	035	HAS	B	40,000	44.18	n/a	n/a	1,400.00	3.5
ROTHSCHILD ASSET	040	IVC	S	5,330	30.03	n/a	n/a	213.20	4.0
SCOPUS FUND	041	JAH	SS	16,400	33.32	n/a	n/a	656.00	4.0
PILOT ADV	048	JCP	C	6,000	35.67	n/a	7-Feb	180.00	3.0
HOPLITE MGMT	025	LOW	B	100,000	26.07	n/a	23-Feb	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	LPX	B	50,000	10.00	n/a	10-Feb	2,500.00	5.0
ASCEND PARTNERS	033	LTD	S	40,000	31.56	n/a	n/a	2,000.00	5.0
CHARTER OAK	033	NUAN	B	25,000	18.81	n/a	n/a	1,250.00	5.0
COOPER CREEK PART	028	PAG	SS	10,000	20.51	n/a	17-Feb	400.00	4.0
SOROS	036	PTEN	SS	150,000	26.66	n/a	n/a	6,000.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>REE</b>	<b>B</b>	<b>500</b>	<b>12.2500</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	RHT	S	54,918	41.04	n/a	n/a	2,196.72	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	15,000	67.31	n/a	n/a	750.00	5.0
SCOPUS FUND	041	RKT	SS	25,000	67.06	n/a	n/a	1,000.00	4.0
BASIX	033	RRR	B	20,000	12.57	n/a	12-Jan	600.00	3.0
MFP INVESTORS	085	RURL	B	5,000	13.90	n/a	n/a	250.00	5.0
COBALT	041	SLM	S	445,000	14.07	n/a	14-Feb	22,250.00	5.0
SAC CRIB	044	SPY	SS	20,000	131.13	n/a	n/a	700.00	3.5
SUN AMERICA ASSET MGMT	030	SWN	B	25,600	37.95	n/a	11-Jan	1,024.00	4.0
TRELLUS PARTNERS LP	028	TEN	SS	10,000	41.73	n/a	n/a	500.00	5.0
DELTEC ASSET MGMT.	040	TUP	S	5,236	53.75	n/a	n/a	261.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	UNFI	SS	25,000	41.75	n/a	n/a	875.00	3.5
CAERUS GLOBAL	041	WMT	SS	30,000	53.23	n/a	22-Feb	1,200.00	4.0
SAC TRADING TOM LEDDY	035	WMT	B	50,000	53.12	n/a	22-Feb	1,750.00	3.5
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	53.03	n/a	22-Feb	1,750.00	3.5
SCOPUS FUND	041	WSM	SS	40,000	35.78	n/a	n/a	1,600.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>86,131.93</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/22	ENTRUST CAPITAL (ENTRMORGAN)	040	IR	B	9,100	45.99	n/a	10-Feb	455.00 5.0
AO,CXL	02/22	ENTRUST CAPITAL (ENTRGOLDMA)	040	IR	B	40,500	45.99	n/a	10-Feb	2025.00 5.0
AO,CRT	02/22	ENTRUST CAPITAL (ENTRGOLDMA)	040	IR	B	31,400	45.99	n/a	10-Feb	1570.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	86,131.93
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>86,131.93</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