



## Daily Compliance Activity Report

Trade Date: 03/15/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	150	344.36	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	ABT	B	800	47.57	n/a	n/a	24.00	3.0
EPOCH INV MGMT	030	AET	B	950	35.48	n/a	n/a	28.50	3.0
EPOCH INV MGMT	030	AMP	B	1,700	59.59	n/a	n/a	51.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>S</b>	<b>20,000</b>	<b>27.31</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
SURSUM CAPITAL	215	ARO	B	10,000	23.88	n/a	11-Mar	300.00	3.0
MADISON ST PARTNERS LLC	046	AVP	B	73,662	26.85	n/a	18-Feb	3,683.10	5.0
HUNTER GLOBAL INVESTOR	028	AXL	B	115,000	12.85	n/a	9-Feb	4,025.00	3.5
OSKIE CAPITAL MGMT	224	AXL	S	15,000	13.13	n/a	9-Feb	750.00	5.0
TRELLUS PARTNERS LP	028	AXL	C	30,000	12.56	n/a	9-Feb	1,500.00	5.0
EPOCH INV MGMT	030	AXP	B	1,350	43.48	n/a	15-Mar	40.50	3.0
EPOCH INV MGMT	030	BA	B	650	69.08	n/a	15-Mar	19.50	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>20,000</b>	<b>44.88</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
BMO NESBITT BURNS	041	BWS	B	14,000	11.06	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CAM	B	600	58.39	n/a	n/a	18.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	CCL	S	75,000	38.94	n/a	n/a	2,250.00	3.0
SCOPUS FUND	041	CE	S	18,100	39.20	n/a	n/a	724.00	4.0
MILLENNIUM-ANDEW	031	CMI	B	10,000	96.83	n/a	1-Mar	500.00	5.0
HOTCHKIS & WILEY	035	CNW	S	183,000	35.74	n/a	n/a	9,150.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>50.28</b>	<b>n/a</b>	<b>26-Jan</b>	<b>600.00</b>	<b>3.0</b>
SURSUM CAPITAL	215	COH	S	15,000	51.18	n/a	26-Jan	450.00	3.0
EPOCH INV MGMT	030	COL	B	500	62.08	n/a	4-Mar	15.00	3.0
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	33.35	n/a	n/a	400.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	CPKI	B	6,000	15.85	n/a	15-Mar	300.00	5.0
WEINTRAUB CAPITAL MGT.	040	CPKI	B	21,230	15.73	n/a	15-Mar	849.20	4.0
EPOCH INV MGMT	030	CSC	B	100	46.43	n/a	n/a	3.00	3.0
MERRILL ASSET/BLACKROCK	266	CYT	B	4,100	50.43	n/a	n/a	164.00	4.0
NOKOMIS PARTNERS	031	DBLE	B	24,000	8.52	n/a	n/a	720.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>B</b>	<b>10,000</b>	<b>40.05</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
CIRCLE T/SES PART	033	DRI	S	10,000	46.38	n/a	2-Feb	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>B</b>	<b>40,000</b>	<b>24.24</b>	<b>n/a</b>	<b>26-Jan</b>	<b>1,200.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	EP	B	4,000	17.13	n/a	n/a	160.00	4.0
DAVIDSON KEMPNER ADVISOR	040	FCX	S	20,000	50.82	n/a	n/a	1,000.00	5.0
ROYCE TRADING	012	FINL	B	84,717	17.66	n/a	1-Mar	4,235.85	5.0
EPOCH INV MGMT	030	FIS	B	750	30.44	n/a	n/a	22.50	3.0
HUNTER GLOBAL INVESTOR	028	F	B	344,000	14.19	n/a	2-Mar	12,040.00	3.5
NEWLAND CAPITAL MGT	025	F	B	50,000	14.10	n/a	2-Mar	2,000.00	4.0
OSKIE CAPITAL MGMT	224	F	S	7,000	14.35	n/a	2-Mar	350.00	5.0
OZ MGMT	040	F	B	150,000	14.09	n/a	2-Mar	4,500.00	3.0
TROUBH PART	070	F	B	50,000	14.49	n/a	2-Mar	2,500.00	5.0
TROUBH PART	070	F	S	25,000	14.40	n/a	2-Mar	1,250.00	5.0
CATAPULT	040	GM	B	81,000	32.28	n/a	2-Mar	3,240.00	4.0
OSKIE CAPITAL MGMT	224	GM	S	5,000	31.59	n/a	2-Mar	250.00	5.0
PHILADELPHIA FINANCIAL	033	GM	C	20,000	30.91	n/a	2-Mar	800.00	4.0
WEINTRAUB CAPITAL MGT.	040	GM	B	100,000	31.63	n/a	2-Mar	4,000.00	4.0
EPOCH INV MGMT	030	GPC	B	550	51.02	n/a	n/a	16.50	3.0
BNP PARIBAS SEC	040	GPI	S	3,500	40.11	n/a	11-Feb	175.00	5.0
NORTHWESTERN MUTUAL LIFE	047	IGT	S	281,600	15.72	n/a	27-Jan	11,264.00	4.0
ARMATURE CAPITAL	041	IP	B	30,000	25.80	n/a	3-Feb	1,200.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	100,000	25.55	n/a	3-Feb	5,000.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	IP	S	210,975	25.73	n/a	3-Feb	8,439.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	IR	B	6,700	45.66	n/a	4-Mar	201.00	3.0
DAVIDSON KEMPNER ADVISOR	040	IVN	B	40,400	25.15	n/a	n/a	2,020.00	5.0
HUNTER GLOBAL INVESTOR	028	JCI	S	200,000	39.22	n/a	20-Jan	10,000.00	5.0
KACELA CAPITAL	034	JDSU	S	141,729	21.19	n/a	n/a	5,669.16	4.0
MILLENNIUM-ANDEW	031	JOYG	B	20,000	87.22	n/a	3-Mar	1,000.00	5.0
SURSUM CAPITAL	215	JWN	S	20,000	42.58	n/a	3-Mar	600.00	3.0
RBC CAPITAL MARKETS	040	KBR	B	8,400	32.55	n/a	n/a	336.00	4.0
SAC CHICAGO ANDREW	031	KR	B	3,778	23.50	n/a	n/a	132.23	3.5
OZ MGMT	040	LEA	S	7,500	97.03	n/a	2-Feb	225.00	3.0
OSKIE CAPITAL MGMT	224	LYB	S	10,000	38.14	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	LYV	B	25,000	10.02	n/a	n/a	1,250.00	5.0
SANDLER CAPITAL	028	MET	S	296,900	41.76	n/a	n/a	14,845.00	5.0
MERRILL ASSET/BLACKROCK	266	MNKD	B	160,000	3.71	n/a	n/a	6,400.00	4.0
BALLAST CAP	040	MON	B	15,500	67.94	n/a	7-Feb	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MRO	B	5,000	48.75	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	MU	B	200,000	10.41	n/a	n/a	8,000.00	4.0
BASIX	033	NAV	B	8,700	63.78	n/a	10-Mar	261.00	3.0
BNP PARIBAS SEC	040	NDN	B	50,000	19.55	n/a	11-Mar	2,500.00	5.0
EPOCH INV MGMT	030	NYX	B	2,000	36.01	n/a	n/a	60.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>B</b>	<b>10,000</b>	<b>23.72</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
BNP PARIBAS SEC	040	PCAR	B	25,000	47.96	n/a	2-Feb	1,250.00	5.0
ROYCE TRADING	012	PLCE	B	61,079	46.39	n/a	9-Mar	3,053.95	5.0
EPOCH INV MGMT	030	PRU	B	1,250	57.65	n/a	n/a	37.50	3.0
SCOPUS FUND	041	PVH	S	44,400	59.49	n/a	1-Feb	1,776.00	4.0
NOMURA CAPITAL	029	QLTY	S	20,000	10.39	n/a	n/a	600.00	3.0
ADALY INV MGMT	031	QQQQ	B	20,000	55.66	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	RKT	B	28,032	65.00	n/a	n/a	1,121.28	4.0
RBC CAPITAL MARKETS	040	SFD	B	25,000	21.58	n/a	n/a	1,000.00	4.0
<b>Õ Alice Longley</b>		<b>SWN</b>	<b>B</b>	<b>700</b>	<b>38.7989</b>	<b>n/a</b>	<b>25-Feb</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK NICK	029	S	B	20,000	4.95	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	TIF	B	50,000	57.00	n/a	n/a	2,000.00	4.0
SURSUM CAPITAL	215	TIF	S	5,000	57.37	n/a	n/a	150.00	3.0
MERRILL ASSET/BLACKROCK	266	UBSI	S	34,600	26.06	n/a	n/a	1,384.00	4.0
BALYASNY ASSET MGMT	044	UFS	C	10,000	83.56	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	VALE	C	20,000	31.90	n/a	n/a	1,000.00	5.0
OSKIE CAPITAL MGMT	224	VC	B	5,000	60.82	n/a	n/a	250.00	5.0
SURSUM CAPITAL	215	VFC	S	10,000	94.70	n/a	14-Mar	300.00	3.0
RBC CAPITAL MARKETS	040	WY	B	70,000	24.68	n/a	4-Feb	2,800.00	4.0
SAC CHICAGO ANDREW	031	XRT	SS	100,000	48.45	n/a	n/a	3,500.00	3.5
DAVIDSON KEMPNER ADVISOR	040	X	C	30,000	53.60	n/a	n/a	1,500.00	5.0
<b>TOTAL (Trade Date):</b>								<b>170,834.27</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/14	COLUMBUS CIRCLE (COLC3050)	036	ROVI	S	1,433	54.27	n/a	n/a	57.32 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>57.32</b>

TOTAL (Trade Date):	170,834.27
TOTAL (AO, CXL, CRT):	57.32

**TOTAL (RUN DATE) / NFS: 170,891.59**

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