



Daily Compliance Activity Report

Trade Date: 03/30/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| ENTRUST CAPITAL | 040 | AAN | SS | 15,200 | 25.06 | n/a | n/a | 760.00 | 5.0 |
| DAVIDSON INV ADV | 035 | ADS | S | 9,920 | 84.53 | n/a | n/a | 396.80 | 4.0 |
| PATTEN & PATTEN | 025 | AML | B | 1,000 | 16.30 | n/a | n/a | 50.00 | 5.0 |
| EPOCH INV MGMT | 030 | AMP | S | 16,122 | 61.50 | n/a | n/a | 483.66 | 3.0 |
| NEWLAND CAPITAL MGT | 025 | BEAV | B | 10,000 | 35.25 | n/a | 4-Mar | 400.00 | 4.0 |
| BRANDWINE | 028 | BIG | B | 20,520 | 43.36 | n/a | 3-Mar | 820.80 | 4.0 |
| TALPION LLC | 040 | BJ | S | 5,000 | 48.81 | n/a | n/a | 200.00 | 4.0 |
| MA CAPITAL MGMT/MELLON ADV | 041 | CASY | B | 2,000 | 38.53 | n/a | n/a | 100.00 | 5.0 |
| T. ROWE PRICE | 033 | CAT | B | 41,600 | 111.35 | n/a | 28-Jan | 1,664.00 | 4.0 |
| CAERUS GLOBAL | 041 | CBS | S | 10,000 | 25.95 | n/a | n/a | 400.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | CBU | S | 20,000 | 23.91 | n/a | n/a | 800.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | CELG | SS | 20,000 | 56.11 | n/a | n/a | 1,000.00 | 5.0 |
| BNP PARIBAS SEC | 040 | CF | S | 5,000 | 132.18 | n/a | n/a | 250.00 | 5.0 |
| GEOSPHERE CAPITAL MGMT | 084 | COG | B | 50,000 | 53.27 | n/a | 30-Mar | 1,500.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| SAC CAPITAL/M GRONET | 030 | COH | B | 10,000 | 52.30 | n/a | 26-Jan | 350.00 | 3.5 |
| STANDARD PACIFIC CAPITAL | 040 | CX | S | 100,000 | 8.97 | n/a | n/a | 4,000.00 | 4.0 |
| WEISS PECK | 040 | DAL | B | 20,700 | 9.98 | n/a | n/a | 828.00 | 4.0 |
| IRIDIAN ASSET MGMT. | 036 | DAN | S | 150,000 | 17.83 | n/a | 24-Feb | 4,500.00 | 3.0 |
| RIDGECREST INV MGMT LLC | 028 | DAN | B | 10,000 | 17.63 | n/a | 24-Feb | 500.00 | 5.0 |
| PATTEN & PATTEN | 025 | DBA | S | 2,000 | 33.65 | n/a | n/a | 100.00 | 5.0 |
| BNP PARIBAS SEC | 040 | DG | SS | 50,000 | 31.47 | n/a | 22-Mar | 2,500.00 | 5.0 |
| PATTEN & PATTEN | 025 | EFG | S | 725 | 62.50 | n/a | n/a | 36.25 | 5.0 |
| PATTEN & PATTEN | 025 | EPP | S | 2,300 | 48.22 | n/a | n/a | 115.00 | 5.0 |
| ROYCE TRADING | 012 | FINL | B | 6,500 | 19.31 | n/a | 25-Mar | 325.00 | 5.0 |
| SURVEYOR CAPITAL | 041 | FITB | B | 14,316 | 13.97 | n/a | n/a | 429.48 | 3.0 |
| BALYASNY ASSET MGMT | 044 | FRX | C | 10,000 | 32.46 | n/a | 28-Mar | 500.00 | 5.0 |
| OZ MGMT | 040 | F | SS | 125,000 | 14.89 | n/a | 2-Mar | 3,750.00 | 3.0 |
| CATAPULT | 040 | GE | B | 25,000 | 20.13 | n/a | n/a | 1,000.00 | 4.0 |
| CIRCLE T/SES PART | 033 | GM | SS | 5,000 | 31.55 | n/a | 2-Mar | 200.00 | 4.0 |
| TROUBH PART | 070 | GM | B | 25,000 | 31.59 | n/a | 2-Mar | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|-----|----------|-------------|------|
| NEWLAND CAPITAL MGT | 025 | GR | B | 10,000 | 85.34 | n/a | 4-Mar | 400.00 | 4.0 |
| CAXTON PART | 040 | GT | B | 50,000 | 14.89 | n/a | n/a | 1,750.01 | 3.5 |
| MERRILL ASSET/BLACKROCK | 266 | HHS | S | 15,000 | 11.97 | n/a | n/a | 600.00 | 4.0 |
| MA CAPITAL MGMT/MELLON ADV | 041 | HOT | B | 2,000 | 58.28 | n/a | 29-Mar | 100.00 | 5.0 |
| FRED ALGER MGMT | 035 | HP | S | 49,970 | 67.49 | n/a | n/a | 1,798.92 | 3.6 |
| GREEN ARROW DOUG | 040 | HTZ | S | 30,000 | 15.51 | n/a | n/a | 1,500.00 | 5.0 |
| PATTEN & PATTEN | 025 | HYG | B | 75 | 91.97 | n/a | n/a | 3.75 | 5.0 |
| BRANDWINE | 028 | JWN | B | 60,960 | 44.40 | n/a | 3-Mar | 2,438.40 | 4.0 |
| CATAPULT | 040 | KMT | B | 30,000 | 39.01 | n/a | 28-Jan | 1,200.00 | 4.0 |
| GREEN ARROW DOUG | 040 | KSS | B | 10,000 | 52.98 | n/a | 3-Mar | 500.00 | 5.0 |
| BMO NESBITT BURNS | 041 | LLY | S | 6,000 | 34.88 | n/a | n/a | 600.00 | 10.0 |
| CAERUS GLOBAL | 041 | MAR | SS | 31,000 | 36.00 | n/a | 29-Mar | 1,240.00 | 4.0 |
| TALPION LLC | 040 | MJN | S | 5,000 | 58.51 | n/a | n/a | 200.00 | 4.0 |
| PIONEER PATH | 028 | MO | S | 50,000 | 26.10 | n/a | n/a | 1,500.00 | 3.0 |
| IRIDIAN ASSET MGMT. | 036 | MRVL | S | 55,900 | 15.94 | n/a | n/a | 2,795.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|------------|------------|-------------|------------|
| TALPION LLC | 040 | MTOR | B | 20,000 | 20.14 | n/a | n/a | 800.00 | 4.0 |
| BNP PARIBAS SEC | 040 | MWV | S | 10,000 | 29.82 | n/a | 26-Jan | 500.00 | 5.0 |
| BMO NESBITT BURNS | 041 | MYL | B | 4,000 | 22.55 | n/a | 28-Mar | 400.00 | 10.0 |
| THOMPSON SIEGAL&WALMSLEY | 029 | MYL | B | 62,164 | 22.55 | n/a | 28-Mar | 2,433.96 | 3.9 |
| SAC CAPITAL/M GRONET | 030 | M | B | 20,000 | 24.17 | n/a | 3-Mar | 700.00 | 3.5 |
| SMITH MGMT LLC | 029 | NDN | B | 40,000 | 19.66 | n/a | 11-Mar | 2,000.00 | 5.0 |
| TALPION LLC | 040 | NLSN | B | 8,600 | 27.87 | n/a | n/a | 344.00 | 4.0 |
| LISTED ERR | 099 | NYX | S | 5,000 | 35.66 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | OI | B | 10,000 | 30.12 | n/a | n/a | 500.00 | 5.0 |
| KENNEDY CAPITAL | 046 | OXM | S | 54,045 | 33.41 | n/a | n/a | 2,161.80 | 4.0 |
| SURVEYOR CAPITAL | 041 | PCAR | B | 35,778 | 51.64 | n/a | 2-Feb | 1,073.34 | 3.0 |
| PIIONEER PATH | 028 | PFE | S | 50,000 | 20.44 | n/a | n/a | 1,500.00 | 3.0 |
| FRED ALGER MGMT | 035 | PG | B | 24,000 | 61.49 | n/a | 21-Mar | 864.00 | 3.6 |
| BALYASNY ASSET MGMT | 044 | PII | SS | 20,000 | 86.57 | n/a | n/a | 1,000.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | PLCE | S | 15,000 | 50.41 | n/a | 9-Mar | 750.00 | 5.0 |
| ROYCE TRADING | 012 | PLCE | B | 2,000 | 49.87 | n/a | 9-Mar | 100.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| PIONEER PATH | 028 | PM | B | 50,000 | 65.64 | n/a | n/a | 1,500.00 | 3.0 |
| SURVEYOR CAPITAL | 041 | PNC | B | 3,175 | 63.01 | n/a | n/a | 95.25 | 3.0 |
| BNP PARIBAS SEC | 040 | PPG | B | 10,000 | 94.70 | n/a | 30-Mar | 500.00 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | PVH | S | 9,500 | 64.54 | n/a | 30-Mar | 285.00 | 3.0 |
| SURVEYOR CAPITAL | 041 | ROK | S | 20,682 | 94.30 | n/a | n/a | 620.46 | 3.0 |
| DENVER INST. ADV | 046 | R | B | 145,100 | 50.33 | n/a | n/a | 5,804.00 | 4.0 |
| WEISS PECK | 040 | SCVL | S | 25,000 | 28.15 | n/a | n/a | 1,250.00 | 5.0 |
| CAERUS GLOBAL | 041 | SGMS | B | 25,385 | 8.75 | n/a | n/a | 1,015.40 | 4.0 |
| SCOPUS FUND | 041 | SHW | B | 50,000 | 84.08 | n/a | 30-Mar | 2,000.00 | 4.0 |
| PATTEN & PATTEN | 025 | SPY | S | 585 | 132.94 | n/a | n/a | 29.25 | 5.0 |
| PIONEER PATH | 028 | STZ | S | 50,000 | 19.72 | n/a | n/a | 1,500.00 | 3.0 |
| PARTNER REINSURANCE | 033 | TAP | S | 1,305 | 46.99 | n/a | n/a | 52.20 | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | TESO | S | 6,000 | 22.03 | n/a | n/a | 240.00 | 4.0 |
| PARTNER REINSURANCE | 033 | TGT | S | 5,820 | 50.29 | n/a | 24-Feb | 232.80 | 4.0 |
| SAC CAPITAL/M GRONET | 030 | TGT | B | 20,000 | 49.92 | n/a | 24-Feb | 700.00 | 3.5 |
| SAC TRADING TOM LEDDY | 035 | TGT | S | 20,000 | 50.15 | n/a | 24-Feb | 700.00 | 3.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| PARTNER REINSURANCE | 033 | THC | S | 3,994 | 7.50 | n/a | n/a | 159.76 | 4.0 |
| PARTNER REINSURANCE | 033 | TIF | S | 1,039 | 61.61 | n/a | n/a | 41.56 | 4.0 |
| PARTNER REINSURANCE | 033 | TJX | S | 3,253 | 50.06 | n/a | 3-Mar | 130.12 | 4.0 |
| PARTNER REINSURANCE | 033 | TMO | S | 3,210 | 54.86 | n/a | n/a | 128.40 | 4.0 |
| PARTNER REINSURANCE | 033 | TSN | S | 2,451 | 19.70 | n/a | n/a | 98.04 | 4.0 |
| PARTNER REINSURANCE | 033 | TWC | S | 2,822 | 71.50 | n/a | n/a | 112.88 | 4.0 |
| PARTNER REINSURANCE | 033 | TWX | S | 8,982 | 35.60 | n/a | n/a | 359.28 | 4.0 |
| PARTNER REINSURANCE | 033 | TXT | S | 2,269 | 27.14 | n/a | n/a | 90.76 | 4.0 |
| PARTNER REINSURANCE | 033 | TYC | S | 3,894 | 44.90 | n/a | 28-Jan | 155.76 | 4.0 |
| SURVEYOR CAPITAL | 041 | T | B | 134,200 | 30.78 | n/a | n/a | 4,026.00 | 3.0 |
| PARTNER REINSURANCE | 033 | UNH | S | 8,989 | 45.39 | n/a | n/a | 359.56 | 4.0 |
| PARTNER REINSURANCE | 033 | UNP | S | 4,036 | 97.88 | n/a | n/a | 161.44 | 4.0 |
| PARTNER REINSURANCE | 033 | UPS | S | 8,113 | 74.49 | n/a | n/a | 324.52 | 4.0 |
| PARTNER REINSURANCE | 033 | URBN | S | 1,052 | 30.58 | n/a | n/a | 42.08 | 4.0 |
| PARTNER REINSURANCE | 033 | UTX | S | 7,565 | 84.20 | n/a | n/a | 302.60 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|--------|-------|-----|----------|------------------|-----|
| SURVEYOR CAPITAL | 041 | UTX | B | 21,398 | 84.35 | n/a | n/a | 641.94 | 3.0 |
| PARTNER REINSURANCE | 033 | VAR | S | 987 | 67.18 | n/a | n/a | 39.48 | 4.0 |
| PARTNER REINSURANCE | 033 | VFC | S | 712 | 99.21 | n/a | 14-Mar | 28.48 | 4.0 |
| SURVEYOR CAPITAL | 041 | VLV | B | 14,420 | 13.89 | n/a | n/a | 432.60 | 3.0 |
| BALLAST CAP | 040 | WERN | B | 6,700 | 26.03 | n/a | n/a | 335.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | WFMI | S | 25,000 | 65.82 | n/a | n/a | 875.00 | 3.5 |
| MERRILL ASSET/BLACKROCK | 266 | WRB | B | 18,100 | 31.60 | n/a | n/a | 724.00 | 4.0 |
| PATTEN & PATTEN | 025 | XLU | B | 3,000 | 32.00 | n/a | n/a | 150.00 | 5.0 |
| KLEINHEINZ CAP PART | 031 | YUM | B | 50,000 | 51.75 | n/a | 3-Feb | 2,500.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 89,705.79 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|----------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CXL | 03/29 | WADDELL AND REED (WADD097) | 047 | MTW | B | 43,850 | 21.26 | n/a | 2-Feb | 0.00 | 0.0 |
| AO, | 03/29 | WADDELL AND REED (WADD097) | 047 | MTW | B | 43,850 | 21.26 | n/a | 2-Feb | 1754.00 | 4.0 |
| AO, | 03/29 | LISTED ERR (LISTED ERR) | 097 | NYX | B | 5,000 | 35.65 | n/a | n/a | 0.00 | 0.0 |
| AO, | 03/29 | COLUMBUS CIRCLE (COLC5000) | 036 | QCOM | B | 2,600 | 53.86 | n/a | n/a | 104.00 | 4.0 |

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| TOTAL (AO, CXL, CRT) : | 1,858.00 |
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|------------------------|-----------|
| TOTAL (Trade Date) : | 89,705.79 |
| TOTAL (AO, CXL, CRT) : | 1,858.00 |

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| TOTAL (RUN DATE) / NFS: | 91,563.79 |
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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