



## Daily Compliance Activity Report

Trade Date: 04/08/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	ANF	S	25,000	67.41	n/a	6-Apr	875.00	3.5
STRONG/MARK GRONET	030	ASTI	S	3,545	1.59	n/a	n/a	35.45	1.0
UNICOM CAPITAL	033	AVT	B	10,000	34.47	n/a	n/a	500.00	5.0
TALPION LLC	040	BSBR	S	30,000	11.95	n/a	n/a	1,200.00	4.0
T. ROWE PRICE	033	CAT	B	42,500	109.46	n/a	28-Jan	1,700.00	4.0
COUGAR TRADING	044	CBRL	SS	10,000	47.80	n/a	n/a	500.00	5.0
FRED ALGER MGMT	035	CMI	S	45,295	108.37	n/a	1-Mar	1,630.62	3.6
BALLAST CAP	040	CVS	B	13,300	36.39	n/a	n/a	665.00	5.0
TALPION LLC	040	DELL	B	15,000	14.85	n/a	n/a	600.00	4.0
CYPRESS CAP MGMT LLC	040	DISCA	S	11,000	40.30	n/a	n/a	440.00	4.0
ENTRUST CAPITAL	040	DW	SS	6,500	22.32	n/a	n/a	325.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>B</b>	<b>10,000</b>	<b>23.98</b>	<b>n/a</b>	<b>26-Jan</b>	<b>300.00</b>	<b>3.0</b>
SANDLER CAPITAL	028	EMR	SS	85,000	57.88	n/a	n/a	4,250.00	5.0
ROYCE TRADING	012	FINL	B	11,000	20.34	n/a	25-Mar	550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FL	S	10,000	20.79	n/a	3-Mar	300.00	3.0
BNP PARIBAS SEC	040	F	SS	30,000	15.41	n/a	4-Apr	1,500.00	5.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	32.34	n/a	9-Feb	300.00	3.0
BNP PARIBAS SEC	040	GM	SS	20,000	31.85	n/a	4-Apr	1,000.00	5.0
CIRCLE T/SES PART	033	GM	SS	15,000	32.42	n/a	4-Apr	600.00	4.0
IRIDIAN ASSET MGMT.	036	GM	S	3,480	31.63	n/a	4-Apr	174.00	5.0
CYPRESS CAP MGMT LLC	040	GPS	SS	20,100	22.42	n/a	n/a	804.00	4.0
PILOT ADV	048	GPS	SS	16,000	22.18	n/a	n/a	480.00	3.0
EGS ASSOCIATES LP	091	HOT	B	8,000	56.83	n/a	7-Apr	480.00	6.0
BUCK CAPITAL MGMT	001	JWN	S	10,000	46.80	n/a	8-Apr	300.00	3.0
RBC CAPITAL MARKETS	040	LEN	B	25,000	18.74	n/a	n/a	1,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	LPX	B	50,000	9.65	n/a	6-Apr	2,000.00	4.0
BUCK CAPITAL MGMT	001	LTD	S	30,000	36.55	n/a	n/a	900.00	3.0
SCOPUS FUND	041	LTD	B	11,678	36.43	n/a	n/a	467.12	4.0
PERRY PARTNERS	085	MENT	S	25,000	14.47	n/a	n/a	1,000.00	4.0
CASTLE ARK	031	MON	S	153,800	66.68	n/a	6-Apr	7,690.00	5.0
KENNEDY CAPITAL	046	MOV	S	100	17.00	n/a	n/a	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	M	B	40,000	25.12	n/a	8-Apr	2,000.00	5.0
BUCK CAPITAL MGMT	001	M	S	10,000	24.70	n/a	8-Apr	300.00	3.0
SMITH MGMT LLC	029	NDN	B	125,000	19.73	n/a	31-Mar	6,250.00	5.0
PERRY PARTNERS	085	NYX	B	50,000	38.56	n/a	n/a	2,500.00	5.0
STATE TEACHERS RET SYS	047	OFC	B	5,000	34.75	n/a	n/a	250.00	5.0
COOKBIELER	028	PAG	B	36,300	20.81	n/a	17-Feb	1,452.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	10,000	39.45	n/a	9-Feb	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	15,000	28.33	n/a	17-Mar	750.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	S	7,419	28.64	n/a	17-Mar	370.95	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	PWER	B	30,000	8.43		n/a	n/a	1,200.00 4.0
PILOT ADV	048	RCII	SS	11,000	35.11	n/a	n/a	330.00	3.0
BUCK CAPITAL MGMT	001	SIG	S	10,000	45.83	n/a	n/a	300.00	3.0
THIRD POINT MGMT	044	SLE	B	100,000	18.48	n/a	n/a	4,000.00	4.0
CATAPULT	040	SON	SS	5,000	35.89	n/a	n/a	200.00	4.0
CAMBIAR CAP	046	SPR	B	48,000	24.02	n/a	8-Apr	1,920.00	4.0
CLOVIS CAPITAL	012	S	SS	250,000	4.72	n/a	n/a	7,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IVORY CAPITAL	034	S	S	669,200	4.65	n/a	n/a	6,692.00	1.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	50,000	49.38	n/a	8-Apr	1,750.00	3.5
SACC-SCHWARTZ	044	TIE	B	33,900	18.40	n/a	n/a	1,186.50	3.5
CSFB GLOBAL PROPRIETARY	041	TIN	B	20,000	23.02	n/a	17-Mar	1,000.00	5.0
PILOT ADV	048	TKR	SS	8,000	50.75	n/a	n/a	240.00	3.0
BUCK CAPITAL MGMT	001	TPX	S	10,000	59.06	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	266	TTI	B	17,000	15.09	n/a	n/a	680.00	4.0
CAXTON PART	040	UNP	S	26,136	95.10	n/a	n/a	914.79	3.5
CAXTON PART	040	UTX	S	19,589	84.56	n/a	n/a	685.63	3.5
PILOT ADV	048	WRLD	SS	2,300	63.97	n/a	n/a	69.00	3.0
RAINIER INV MGMT	035	WTR	S	52,000	22.49	n/a	n/a	2,080.00	4.0
COOPER CREEK PART	028	WY	SS	10,000	23.98	n/a	8-Apr	400.00	4.0
GRYPHON CAPITAL MGMT	084	WY	SS	75,000	23.81	n/a	8-Apr	2,250.00	3.0
TRELLUS PARTNERS LP	028	WY	SS	6,941	24.05	n/a	8-Apr	347.05	5.0
US BANCORP	030	XOM	S	77,093	85.87	n/a	n/a	3,469.20	4.5
DAVIDSON KEMPNER ADVISOR	040	X	C	10,000	52.94	n/a	n/a	500.00	5.0

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**TOTAL (Trade Date):**

**84,957.31**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/07	HARVEST MGMT (HARVGSCO)	029	BBY	B	10,000	30.59	n/a	n/a	500.00	5.0
AO,CRT	04/07	HARVEST MGMT (HARVGSCO)	029	BBY	B	10,000	30.59	n/a	n/a	400.00	4.0
AO,	04/07	KAYNE ANDERSON ADV (KAYNV09618)	084	LPHI	S	7,000	8.00	n/a	n/a	280.00	4.0
AO,	04/07	CASTLE ARK (CASA107)	031	PCAR	B	931	52.86	n/a	2-Feb	46.55	5.0
AO,	04/07	CASTLE ARK (CASA100)	031	PCAR	B	27,525	52.86	n/a	2-Feb	1376.25	5.0
AO,	04/07	CASTLE ARK (CASA103)	031	PCAR	B	1,241	52.86	n/a	2-Feb	62.05	5.0
AO,	04/07	CASTLE ARK (CASA264)	031	PCAR	B	1,197	52.86	n/a	2-Feb	59.85	5.0
AO,	04/07	CASTLE ARK (CASA150)	031	PCAR	B	1,197	52.86	n/a	2-Feb	59.85	5.0
AO,	04/07	CASTLE ARK (CASA149)	031	PCAR	B	4,344	52.86	n/a	2-Feb	217.20	5.0
AO,	04/07	CASTLE ARK (CASA148)	031	PCAR	B	2,128	52.86	n/a	2-Feb	106.40	5.0
AO,	04/07	CASTLE ARK (CASA142)	031	PCAR	B	798	52.86	n/a	2-Feb	39.90	5.0
AO,	04/07	CASTLE ARK (CASA143)	031	PCAR	B	1,995	52.86	n/a	2-Feb	99.75	5.0
AO,	04/07	CASTLE ARK (CASA144)	031	PCAR	B	1,817	52.86	n/a	2-Feb	90.85	5.0
AO,	04/07	CASTLE ARK (CASA140)	031	PCAR	B	3,767	52.86	n/a	2-Feb	188.35	5.0
AO,	04/07	CASTLE ARK (CASA141)	031	PCAR	B	3,457	52.86	n/a	2-Feb	172.85	5.0
AO,	04/07	CASTLE ARK (CASA137)	031	PCAR	B	1,817	52.86	n/a	2-Feb	90.85	5.0
AO,	04/07	CASTLE ARK (CASA132)	031	PCAR	B	2,881	52.86	n/a	2-Feb	144.05	5.0
AO,	04/07	CASTLE ARK (CASA101)	031	PCAR	B	146	52.86	n/a	2-Feb	7.30	5.0
AO,	04/07	CASTLE ARK (CASA131)	031	PCAR	B	621	52.86	n/a	2-Feb	31.05	5.0
AO,	04/07	CASTLE ARK (CASA117)	031	PCAR	B	1,463	52.86	n/a	2-Feb	73.15	5.0
AO,	04/07	CASTLE ARK (CASA115)	031	PCAR	B	10,903	52.86	n/a	2-Feb	545.15	5.0
AO,	04/07	CASTLE ARK (CASA129)	031	PCAR	B	3,767	52.86	n/a	2-Feb	188.35	5.0
AO,	04/07	CASTLE ARK (CASA106)	031	PCAR	B	2,748	52.86	n/a	2-Feb	137.40	5.0
AO,	04/07	DAVIDSON KEMPNER ADVISOR (DAVIML)	040	X	C	10,000	53.84	n/a	n/a	500.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>4,417.15</b>
TOTAL (Trade Date) :									84,957.31
TOTAL (AO, CXL, CRT) :									4,417.15
<b>TOTAL (RUN DATE) / NFS :</b>									<b>89,374.46</b>

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