



Daily Compliance Activity Report

Trade Date: 04/07/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	ATML	B	5,200	13.21	n/a	n/a	208.00	4.0
Õ Doug Rogers		BAC	B	20	25.1400	n/a	28-Mar	0.00	0.0
Õ Doug Rogers		BAC	B	20	25.1400	n/a	28-Mar	0.00	0.0
Õ Doug Rogers		BAC	B	20	25.1400	n/a	28-Mar	0.00	0.0
HARVEST MGMT	029	BBY	B	10,000	30.59	n/a	n/a	500.00	5.0
FRED ALGER MGMT	035	CAM	S	90,690	54.94	n/a	n/a	3,264.84	3.6
COUGAR TRADING	044	CBRL	SS	5,000	48.60	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	CHS	SS	5,000	15.30	n/a	5-Feb	250.00	5.0
FRED ALGER MGMT	035	CLF	S	81,635	98.12	n/a	n/a	2,938.86	3.6
BMO NESBITT BURNS	041	CRI	SS	4,000	29.79	n/a	n/a	200.00	5.0
FRED ALGER MGMT	035	CSCO	S	169,690	17.82	n/a	n/a	6,108.84	3.6
GREEN ARROW DOUG	040	DAL	B	50,000	9.57	n/a	n/a	2,500.00	5.0
STATE TEACHERS RET SYS	047	DDR	B	15,000	13.75	n/a	n/a	750.00	5.0
T. ROWE PRICE	033	DE	B	59,900	96.48	n/a	18-Feb	2,396.00	4.0
BNP PARIBAS SEC	040	EAT	B	14,508	24.49	n/a	26-Jan	725.40	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	ENR	B	42,019	72.39	n/a	18-Feb	2,100.95	5.0
CAPITAL GROWTH MGMT.	241	FCX	B	200,000	57.11	n/a	n/a	6,000.00	3.0
FRED ALGER MGMT	035	FCX	S	16,385	57.16	n/a	n/a	589.86	3.6
ROYCE TRADING	012	FINL	B	6,050	20.10	n/a	25-Mar	302.50	5.0
ISLE RIDGE PARTNERS	041	F	B	50,000	15.63	n/a	4-Apr	2,000.00	4.0
TROUBH PART	070	F	SS	25,000	15.71	n/a	4-Apr	1,250.00	5.0
CIRCLE T/SES PART	033	GM	B	15,000	32.42	n/a	4-Apr	600.00	4.0
IRIDIAN ASSET MGMT.	036	GM	S	5,750	32.40	n/a	4-Apr	287.50	5.0
ISLE RIDGE PARTNERS	041	GM	B	7,900	32.46	n/a	4-Apr	316.00	4.0
JP MORGAN VENTURES	046	GPS	S	20,000	23.15	n/a	n/a	800.00	4.0
KLEINHEINZ CAP PART	031	JCP	B	20,000	37.76	n/a	31-Mar	1,000.00	5.0
JP MORGAN VENTURES	046	JWN	B	6,000	46.40	n/a	31-Mar	240.00	4.0
ASCEND PARTNERS	033	KO	SS	99,160	67.24	n/a	18-Feb	4,958.00	5.0
RBC CAPITAL MARKETS	040	KSS	B	30,000	54.99	n/a	31-Mar	1,200.00	4.0
AVENUE CAPITAL MGMT	070	LEA	S	50,000	48.18	n/a	21-Mar	2,000.00	4.0
JET CAPITAL/CHRIS	041	LINTA	B	75,000	16.77	n/a	n/a	2,250.00	3.0
SCOPUS FUND	041	LPX	B	12,812	9.75	n/a	6-Apr	512.48	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	S	63,000	35.41	n/a	n/a	1,890.00	3.0
TRUSTCO/SUNTRUST	040	LZ	S	113,174	134.02	n/a	n/a	3,961.14	3.5
SUN AMERICA ASSET MGMT	030	MRVL	B	2,400	16.27	n/a	n/a	96.00	4.0
ASCEND PARTNERS	033	M	S	4,950	25.56	n/a	31-Mar	247.50	5.0
SUN AMERICA ASSET MGMT	030	PAY	S	900	53.43	n/a	n/a	36.00	4.0
SHEFFIELD ASSET MGMT	031	PKG	S	25,000	28.76	n/a	17-Mar	1,000.00	4.0
BMO NESBITT BURNS	041	PLCE	B	4,000	54.01	n/a	9-Mar	200.00	5.0
PAW PARTNERS	025	REG	B	1,000	42.92	n/a	n/a	50.00	5.0
LISTED ERR	099	REG	B	2,955	42.92	n/a	n/a	0.00	0.0
LISTED ERR	099	REG	S	2,955	42.94	n/a	n/a	0.00	0.0
SCOPUS FUND	041	RYN	B	10,000	62.60	n/a	26-Jan	400.00	4.0
BNP PARIBAS SEC	040	SHW	S	15,000	85.42	n/a	30-Mar	750.00	5.0
ENTRUST CAPITAL	040	SPG	B	18,200	106.12	n/a	n/a	910.00	5.0
MERRILL ASSET/BLACKROCK	266	TTI	B	1,700	14.73	n/a	n/a	68.00	4.0
DC CAPITAL	044	VTG	S	74,900	1.94	n/a	n/a	1,498.00	2.0
STATE TEACHERS RET SYS	047	WRI	B	10,000	24.75	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	WTR	S	22,400	22.70	n/a	n/a	896.00	4.0
GLOBAL 56 LLC	060	WTSLA	S	3,500	4.60	n/a	n/a	105.00	3.0
PAW PARTNERS	025	XRT	B	10,000	52.52	n/a	n/a	500.00	5.0
TOTAL (Trade Date) :								59,606.87	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/06	COLUMBUS CIRCLE (COLC3050)	036	ARUN	S	5,180	30.51	n/a	n/a	207.20 4.0
AO,CRT	04/06	SCOPUS FUND (SCOPCS)	041	ASNA	S	27,969	33.11	n/a	n/a	1118.76 4.0
AO,CXL	04/06	SCOPUS FUND (SCOPGS)	041	ASNA	S	2,990	33.11	n/a	n/a	119.60 4.0
AO,CRT	04/06	SCOPUS FUND (SCOPGS)	041	ASNA	S	5,248	33.11	n/a	n/a	209.92 4.0
AO,CXL	04/06	SCOPUS FUND (SCOPUBS)	041	ASNA	S	30,227	33.11	n/a	n/a	1209.08 4.0
CRT	04/07	CIRCLE T/SES PART (CIRCMAIN)	033	GM	B	15,000	32.42	n/a	4-Apr	600.00 4.0
AO,	04/01	FARALLON CAP MGMT (FARACS)	040	LOGI	B	30,000	14.94	n/a	n/a	900.00 3.0
AO,CXL	04/01	FARALLON CAP MGMT (FARABULK F)	040	LOGI	B	100,000	14.94	n/a	n/a	4000.00 4.0
AO,	04/01	FARALLON CAP MGMT (FARABULK F)	040	LOGI	B	70,000	14.94	n/a	n/a	2100.00 3.0

TOTAL (AO, CXL, CRT) :**-192.80**

TOTAL (Trade Date):

59,606.87

TOTAL (AO, CXL, CRT):

-192.80

TOTAL (RUN DATE) / NFS:**59,414.07**

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