



Daily Compliance Activity Report

Trade Date: 04/11/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Abram Chappel		ABX	S	20	53.7700	n/a	n/a	0.00	0.0
MORTAR ROCK	033	ALV	SS	5,000	70.63	n/a	2-Feb	200.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		AMD	SS	25,000	8.49		n/a n/a	1,000.00	4.0
WAGONHOUND/NIC	048	AXE	B	8,895	72.78	n/a	24-Mar	355.80	4.0
OSKIE CAPITAL MGMT	224	AXL	B	7,000	11.85	n/a	9-Feb	350.00	5.0
JP MORGAN VENTURES	046	AXP	S	10,000	46.67	n/a	7-Apr	400.00	4.0
RBC CAPITAL MARKETS	040	BG	B	10,000	73.01	n/a	n/a	400.00	4.0
ISLE RIDGE PARTNERS	041	BWA	B	28,000	74.48	n/a	11-Feb	1,120.00	4.0
TALPION LLC	040	CASY	S	7,000	39.00	n/a	n/a	280.00	4.0
ARMATURE CAPITAL	041	CCK	B	30,000	37.92	n/a	n/a	1,200.00	4.0
GALT INVESTMENT	041	CROX	B	50,000	18.46	n/a	n/a	2,000.00	4.0
SAC TRADING TOM LEDDY	035	CROX	S	40,000	18.50	n/a	n/a	1,400.00	3.5
PIIONEER PATH	028	CVC	B	14,832	33.67	n/a	n/a	444.96	3.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	17,800	17.03	n/a	n/a	890.00	5.0
SUN AMERICA ASSET MGMT	030	CVS	S	25,000	36.12	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Doug Rogers		FOR	S	100	18.1900	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	100	18.2037	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	1200	18.2000	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	200	18.1710	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	400	18.1710	n/a	7-Feb	0.00	0.0
BMO NESBITT BURNS	041	FRED	S	6,000	13.40	n/a	n/a	180.00	3.0
Õ Abram Chappel		GG	S	45	54.1000	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	GLW	B	273,550	19.72	n/a	8-Apr	10,942.00	4.0
MORTAR ROCK	033	GM	SS	10,000	30.62	n/a	4-Apr	400.00	4.0
SENATOR INVESTMENT GROUP	036	GTI	B	40,000	19.70	n/a	n/a	1,200.00	3.0
ISLE RIDGE PARTNERS	041	HTZ	B	22,200	16.04	n/a	n/a	888.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	90,000	29.17	n/a	17-Mar	4,500.00	5.0
CAERUS GLOBAL	041	JACK	B	10,000	21.01	n/a	n/a	400.00	4.0
JP MORGAN VENTURES	046	KBE	B	20,000	26.15	n/a	n/a	800.00	4.0
CATAPULT	040	KMT	B	15,000	38.89	n/a	28-Jan	600.00	4.0
1798 CAP/LOMBARD ASSET	040	KR	C	120,000	24.47	n/a	n/a	6,000.00	5.0
DISCIPLINED GROWTH INV.	030	LTD	S	8,100	37.51	n/a	n/a	405.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	MMM	S	1,250	93.90	n/a	28-Mar	125.00	10.0
BMO NESBITT BURNS	041	NDN	B	6,000	20.17	n/a	31-Mar	180.00	3.0
CAERUS GLOBAL	041	NDN	S	8,914	20.28	n/a	31-Mar	356.56	4.0
BUCK CAPITAL MGMT	001	NWY	S	12,889	7.37	n/a	n/a	257.78	2.0
CAXTON PART	040	OSK	S	65,461	34.05	n/a	n/a	2,291.16	3.5
MA CAPITAL MGMT/MELLON ADV	041	PKG	B	5,000	28.26	n/a	17-Mar	250.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	10,000	27.94	n/a	17-Mar	300.00	3.0
CIRCLE T/SES PART	033	PVH	B	5,000	64.91	n/a	30-Mar	200.00	4.0
SUN AMERICA ASSET MGMT	030	QCOM	B	32,800	53.47	n/a	n/a	1,312.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	S	5,900	39.66	n/a	n/a	295.00	5.0
SABR GROUP LLP	025	RRR	SS	10,000	13.85	n/a	12-Jan	400.00	4.0
JP MORGAN VENTURES	046	RUTH	B	10,000	4.95	n/a	n/a	300.00	3.0
Õ Abram Chappel		SLW	S	75	46.2500	n/a	n/a	0.00	0.0
FRED ALGER MGMT	035	SOA	S	29,790	24.65	n/a	n/a	1,072.44	3.6
BMO NESBITT BURNS	041	SVU	S	6,000	9.25	n/a	n/a	180.00	3.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.72	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLLIS CAPITAL	033	TEVA	B	10,000	48.99	n/a	11-Apr	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	15,000	22.30	n/a	17-Mar	750.00	5.0
MA CAPITAL MGMT/MELLON ADV041		TIN	B	2,000	22.62	n/a	17-Mar	100.00	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	9,400	51.05	n/a	8-Apr	470.00	5.0
SUN AMERICA ASSET MGMT	030	UHS	S	27,000	47.80	n/a	n/a	1,080.00	4.0
RAINIER INV MGMT	035	WTR	S	37,500	22.33	n/a	n/a	1,500.00	4.0
CATAPULT	040	WY	SS	25,000	23.25	n/a	8-Apr	1,000.00	4.0
TOTAL (Trade Date):								51,075.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/08	SONTERRA CAP (SONTMSBULK)	041	LINTA	B	100,000	16.92	n/a	n/a	4000.00 4.0
AO,CXL	04/08	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	LPX	B	50,000	9.65	n/a	6-Apr	2000.00 4.0
AO,CRT	04/08	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	LPX	B	50,000	9.65	n/a	6-Apr	1500.00 3.0
AO,CXL	04/08	SCOPUS FUND (SCOPGS)	041	LTD	B	1,051	36.43	n/a	n/a	42.04 4.0
AO,CRT	04/08	SCOPUS FUND (SCOPGS)	041	LTD	B	1,658	36.43	n/a	n/a	66.32 4.0
AO,CXL	04/08	SCOPUS FUND (SCOPUBS)	041	LTD	B	10,627	36.43	n/a	n/a	425.08 4.0
AO,CRT	04/08	SCOPUS FUND (SCOPUBS)	041	LTD	B	10,020	36.43	n/a	n/a	400.80 4.0
AO,	04/05	CAXTON PART (CAXTKF03NT)	040	OXY	S	509	102.30	n/a	n/a	17.82 3.5
AO,CXL	04/05	CAXTON PART (CAXTKF03BB)	040	OXY	S	509	102.30	n/a	n/a	17.82 3.5

TOTAL (AO, CXL, CRT) :	3,500.00
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TOTAL (Trade Date) :	51,075.70
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TOTAL (RUN DATE) / NFS :	54,575.70
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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