



## Daily Compliance Activity Report

Trade Date: 05/03/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	AGCO	SS	25,000	56.29	n/a	27-Apr	1,000.00	4.0
TRUSTCO/SUNTRUST	040	ALL	S	54,200	34.31	n/a	n/a	1,897.01	3.5
BALYASNY ASSET MGMT	044	ANF	B	20,000	70.96	n/a	2-May	1,000.00	5.0
CAERUS GLOBAL	041	ANF	S	9,327	71.20	n/a	2-May	373.08	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>10,000</b>	<b>29.41</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
NEUBERGER BERMAN	036	APD	S	10,000	94.42	n/a	27-Apr	400.00	4.0
TALPION LLC	040	ARMH	B	5,000	29.07	n/a	n/a	200.00	4.0
RIDGECREST INV MGMT LLC	028	AXL	B	7,500	12.21	n/a	2-May	375.00	5.0
SCOPUS FUND	041	AXL	B	62,500	12.11	n/a	2-May	2,500.00	4.0
CAXTON PART	040	AXP	S	20,000	50.00	n/a	2-May	700.00	3.5
CASTLE ARK	031	BHI	S	59,433	72.67	n/a	n/a	2,971.65	5.0
CR INTRINIC INVESTMENT	044	BIN	B	10,000	25.39	n/a	n/a	350.00	3.5
WESLEY CAPITAL	029	BKD	B	25,000	26.56	n/a	n/a	1,000.00	4.0
CYPRESS CAP MGMT LLC	040	BUD	S	15,100	63.35	n/a	25-Apr	604.00	4.0
GEORGE WEISS	034	CHD	B	22,800	80.74	n/a	1-Mar	912.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JET CAPITAL/CHRIS	041	CNP	B	61,461	18.68	n/a	n/a	1,843.83	3.0
BARROW HANLEY MEWHINNEY	031	DD	S	200,000	55.96	n/a	2-May	7,000.00	3.5
SAC COHEN	044	DPS	B	20,079	39.45	n/a	n/a	702.77	3.5
CAERUS GLOBAL	041	EL	B	7,000	95.77	n/a	24-Mar	280.00	4.0
BRONSON POINT	036	EMR	B	20,000	57.10	n/a	n/a	600.00	3.0
CR INTRINIC INVESTMENT	044	EXP	B	5,000	28.59	n/a	n/a	175.00	3.5
ROYCE TRADING	012	FINL	B	13,500	21.48	n/a	25-Mar	675.00	5.0
CRAMER ROSENTHAL/SCOTT	012	FIS	B	242,000	33.47	n/a	n/a	9,680.00	4.0
RBC CAPITAL MARKETS	040	FLR	S	10,000	67.26	n/a	n/a	400.00	4.0
ROBERTSON STEVENS BC	084	GES	S	169,340	41.67	n/a	25-Apr	6,773.60	4.0
TRELLUS PARTNERS LP	028	GM	SS	60,000	32.61	n/a	2-May	3,000.00	5.0
SAC CAP/ROSEN FOR BOBBY	044	GNW	B	100,000	12.19	n/a	n/a	3,500.00	3.5
BNP PARIBAS SEC	040	HBI	B	15,000	32.00	n/a	21-Apr	750.00	5.0
CENTURION PARTNERS	041	IBM	S	20,000	171.46	n/a	n/a	800.00	4.0
ROSEDALE CAPITAL	046	INTC	S	25,000	23.43	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ENTRUST CAPITAL	040	INT	B	26,400	37.68	n/a	n/a	1,320.00	5.0
BMO NESBITT BURNS	041	IP	SS	2,000	31.86	n/a	28-Apr	100.00	5.0
COBALT	041	IP	B	34,204	31.65	n/a	28-Apr	1,368.16	4.0
CR INTRINIC INVESTMENT	044	IP	SS	3,000	31.72	n/a	28-Apr	105.00	3.5
SIGMA CAPITAL ASSOCIATES	041	JNY	B	17,949	13.00	n/a	28-Apr	628.22	3.5
1798 CAP/LOMBARD ASSET	040	JOYG	S	67,350	99.02	n/a	3-Mar	3,367.50	5.0
SIGMA CAPITAL ASSOCIATES	041	JWN	S	25,000	48.04	n/a	2-May	875.00	3.5
LATEFF MGMT	035	KALU	S	5,525	50.42	n/a	n/a	887.50	19.3
SAC TRADING TOM LEDDY	035	KFT	B	50,000	33.77	n/a	n/a	1,750.00	3.5
OSKIE CAPITAL MGMT	224	LEA	B	20,000	51.43	n/a	2-May	1,000.00	5.0
WESLEY CAPITAL	029	MFA	S	78,910	8.06	n/a	n/a	3,156.40	4.0
GREEN ARROW DOUG	040	MGM	SS	25,600	12.90	n/a	25-Apr	1,280.00	5.0
TRELLUS PARTNERS LP	028	MGM	B	50,000	12.85	n/a	25-Apr	2,500.00	5.0
NCM CAPITAL MGMT	035	MRX	S	27,395	36.39	n/a	n/a	1,095.80	4.0
TALPION LLC	040	MSI	B	5,000	45.20	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	266	MTB	B	34,500	87.83	n/a	n/a	1,380.00	4.0
BASIX	033	MTW	B	15,000	20.78	n/a	3-May	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BURL CAPITAL LLC	048	MTW	B	30,000	20.85	n/a	3-May	1,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>20,000</b>	<b>24.68</b>	<b>n/a</b>	<b>2-May</b>	<b>600.00</b>	<b>3.0</b>
M&I FUNDS	047	M	B	22,442	24.52	n/a	2-May	897.68	4.0
NEUBERGER BERMAN	036	NOV	B	61,920	73.41	n/a	n/a	2,476.80	4.0
PIONEER PATH	028	OCLR	B	23,474	10.59	n/a	n/a	0.00	0.0
TALPION LLC	040	OMX	B	18,500	9.66	n/a	n/a	555.00	3.0
COLUMBIA PARTNERS	028	PAG	SS	2,123	22.02	n/a	29-Apr	84.92	4.0
NOKOMIS PARTNERS	031	PBR	SS	15,000	36.50	n/a	n/a	450.00	3.0
CATAPULT	040	PKG	SS	8,300	27.91	n/a	19-Apr	332.00	4.0
ROYCE TRADING	012	PLCE	B	4,000	52.46	n/a	9-Mar	200.00	5.0
ROXBURY CAPITAL MGMT	035	PSUN	S	87,725	3.09	n/a	n/a	1,754.50	2.0
SANDLER CAPITAL	028	RBN	S	115,000	42.21	n/a	n/a	5,750.00	5.0
CR INTRINIC INVESTMENT	044	RSG	SS	5,000	31.79	n/a	n/a	175.00	3.5
TALPION LLC	040	SBRA	B	20,000	16.90	n/a	n/a	800.00	4.0
WESLEY CAPITAL	029	SFI	S	25,000	9.54	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SIG</b>	<b>B</b>	<b>10,000</b>	<b>42.13</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	SONC	B	102,363	11.71	n/a	n/a	4,094.52	4.0
STATE TEACHERS RET SYS	047	SPG	S	10,000	116.19	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.18	n/a	n/a	800.00	4.0
MTB INV ADV	034	TEN	S	35,925	45.46	n/a	n/a	1,796.25	5.0
ENTRUST CAPITAL	040	TFX	S	9,700	63.04	n/a	n/a	485.00	5.0
BALYASNY ASSET MGMT	044	TGT	SS	25,000	49.05	n/a	2-May	1,250.00	5.0
ENTRUST CAPITAL	040	THO	B	12,500	30.68	n/a	n/a	625.00	5.0
BMO NESBITT BURNS	041	TIN	B	10,000	23.17	n/a	20-Apr	500.00	5.0
NEUBERGER BERMAN	036	TISI	S	25,000	23.05	n/a	n/a	1,000.00	4.0
CHARTER OAK	033	TRH	B	40,000	48.53	n/a	n/a	2,000.00	5.0
WADDELL AND REED	047	T	B	497,820	31.78	n/a	n/a	19,912.80	4.0
CAPITAL GROWTH MGMT.	241	UNH	B	100,000	49.85	n/a	n/a	5,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	25,000	32.23	n/a	n/a	875.00	3.5
SHUMWAY CAPITAL	029	USO	C	134,096	44.44	n/a	n/a	4,022.88	3.0
CR INTRINIC INVESTMENT	044	VAL	B	10,000	38.46	n/a	n/a	350.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	VMC	C	5,000	44.81	n/a	n/a	150.00	3.0
WHITE PINE CAPITAL	030	V	B	7,500	79.69	n/a	13-Apr	375.00	5.0
CATAPULT	040	WY	SS	15,000	22.37	n/a	29-Apr	600.00	4.0
RBC CAPITAL MARKETS	040	WY	B	25,000	22.56	n/a	29-Apr	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>135,388.87</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/02	NOMURA CAPITAL (NOMUL3)	029	ABH	S	1,161	26.97	n/a	n/a	34.83 3.0
AO,	05/02	NOMURA CAPITAL (NOMULASERS)	029	ABH	S	1	26.97	n/a	n/a	0.03 3.0
AO,	05/02	NOMURA CAPITAL (NOMUNCRAM)	029	ABH	S	551	26.97	n/a	n/a	16.53 3.0
CRT	05/03	LATEFF MGMT (LATE536)	035	KALU	S	425	50.42	n/a	n/a	85.00 20.0
AO,	05/02	COOPER CREEK PART (COOPJPM)	028	PAG	SS	51	22.11	n/a	29-Apr	2.04 4.0
AO,	05/02	COOPER CREEK PART (COOPGS)	028	PAG	SS	1,549	22.11	n/a	29-Apr	61.96 4.0
AO,	05/02	AMBER CAPITAL (AMBRAMFGS)	046	SONC	B	286,637	11.59	n/a	n/a	11465.48 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>11,665.87</b>

TOTAL (Trade Date) :	135,388.87
TOTAL (AO, CXL, CRT) :	11,665.87

<b>TOTAL (RUN DATE) / NFS :</b>	<b>147,054.74</b>
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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