



Daily Compliance Activity Report

Trade Date: 05/11/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CIRCLE T/SES PART	033	AAP	SS	5,000	67.99	n/a	n/a	200.00	4.0
CLOVIS CAPITAL	012	AAP	B	50,000	66.88	n/a	n/a	1,500.00	3.0
SAC COHEN	044	BBBB	S	120,000	44.86	n/a	n/a	4,200.00	3.5
SAC COHEN	044	BBY	B	150,000	30.46	n/a	n/a	5,250.00	3.5
PIONEER PATH	028	CFR	B	16,000	58.94	n/a	n/a	480.00	3.0
LATEFF MGMT	035	CVS	S	1,600	37.52	n/a	n/a	320.00	20.0
SAC COHEN	044	DDS	B	50,000	48.65	n/a	n/a	1,750.00	3.5
ENTRUST CAPITAL	040	DPZ	S	55,814	22.74	n/a	6-May	2,790.70	5.0
HOLLIS CAPITAL	033	EGN	B	5,000	60.02	n/a	n/a	250.00	5.0
ROYCE TRADING	012	FINL	B	12,500	22.20	n/a	10-May	625.00	5.0
MA CAPITAL MGMT/MELLON ADV041		GIL	B	4,000	36.73	n/a	25-Apr	200.00	5.0
MA CAPITAL MGMT/MELLON ADV041		GIL	SS	4,000	37.44	n/a	25-Apr	200.00	5.0
SUN AMERICA ASSET MGMT	030	GIS	S	25,000	38.77	n/a	n/a	1,000.00	4.0
PHILADELPHIA FINANCIAL	033	GM	SS	41,983	31.51	n/a	6-May	1,679.32	4.0
ST OF MICHIAN	047	GS	B	10,000	147.88	n/a	19-Apr	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIIONEER PATH	028	HBHC	S	32,500	31.48	n/a	n/a	975.00	3.0
CAERUS GLOBAL	041	HBI	S	55,000	32.34	n/a	21-Apr	2,200.00	4.0
SAC COHEN	044	HD	SS	100,000	37.13	n/a	11-May	3,500.00	3.5
SAC COHEN	044	HOG	B	100,000	38.28	n/a	n/a	3,500.00	3.5
SAC COHEN	044	HOT	B	100,000	59.98	n/a	28-Apr	3,500.00	3.5
PZENA INV ADV	044	HPT	B	1,300	24.30	n/a	n/a	45.50	3.5
SAC COHEN	044	HTZ	B	75,000	16.44	n/a	n/a	2,625.00	3.5
PZENA INV ADV	044	JAKK	B	4,775	20.38	n/a	n/a	167.13	3.5
SAC COHEN	044	JCP	SS	200,000	37.56	n/a	6-May	7,000.00	3.5
EVERCORE WEALTH MGMT	012	JEC	B	14,650	47.88	n/a	n/a	586.00	4.0
EGS ASSOCIATES LP	091	JNY	SS	5,000	12.99	n/a	28-Apr	300.00	6.0
WEISS PECK	040	JNY	S	23,270	13.00	n/a	28-Apr	1,163.50	5.0
LISTED ERR	099	JNY	B	100	12.88	n/a	28-Apr	0.00	0.0
LISTED ERR	099	JNY	S	100	13.00	n/a	28-Apr	0.00	0.0
CAXTON PART	040	JPM	S	58,612	44.60	n/a	13-Apr	2,051.44	3.5
CYRUS CAPITAL	025	LINE	B	50,000	38.25	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	LL	S	40,000	26.09	n/a	n/a	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	LOW	B	15,000	25.87	n/a	11-May	750.00	5.0
KLEINHEINZ CAP PART	031	LOW	SS	50,000	25.91	n/a	11-May	2,500.00	5.0
CIRCLE T/SES PART	033	LVS	S	10,000	44.75	n/a	10-May	400.00	4.0
GRANITE CAPITAL	028	LVS	B	10,000	43.98	n/a	10-May	500.00	5.0
HOLLIS CAPITAL	033	LVS	B	5,000	44.35	n/a	10-May	250.00	5.0
MOORE CAPITAL	041	LVS	B	17,000	44.21	n/a	10-May	680.00	4.0
SAC COHEN	044	MAR	B	25,000	37.00	n/a	21-Apr	875.00	3.5
ST OF MICHIAN	047	MDT	S	160,000	42.03	n/a	n/a	4,800.00	3.0
DELTEC ASSET MGMT.	040	M	S	27,900	28.55	n/a	6-May	1,395.00	5.0
METROPOLITAN CAPITAL	044	M	S	15,800	28.43	n/a	6-May	790.00	5.0
SAC COHEN	044	M	B	550,000	28.24	n/a	6-May	19,250.00	3.5
SIGMA CAPITAL ASSOCIATES	041	M	B	50,000	28.40	n/a	6-May	1,750.00	3.5
BNP PARIBAS SEC	040	PKG	B	20,000	29.25	n/a	19-Apr	1,000.00	5.0
ROYCE TRADING	012	PLCE	B	5,000	53.67	n/a	9-Mar	250.00	5.0
PZENA INV ADV	044	PLT	B	550	38.54	n/a	n/a	19.25	3.5
DAVIDSON KEMPNER ADVISOR	040	RDWR	B	2,200	34.24	n/a	n/a	110.00	5.0
SENATOR INVESTMENT GROUP	036	RIMM	B	100,000	44.92	n/a	n/a	3,000.00	3.0
BNP PARIBAS SEC	040	RL	SS	20,000	131.98	n/a	25-Apr	1,000.00	5.0
NEUBERGER BERMAN	036	ROL	B	22,000	20.18	n/a	n/a	880.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	RTH	B	20,100	112.64	n/a	n/a	603.00	3.0
MFP INVESTORS	085	SSCC	S	5,000	40.05	n/a	14-Apr	250.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.20	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	B	20,000	5.18	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	TECH	B	8,000	79.24	n/a	n/a	320.00	4.0
HOPLITE MGMT	025	TGT	S	15,100	51.10	n/a	11-May	604.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	B	15,000	24.34	n/a	20-Apr	450.00	3.0
SAXON WOODS ADVISORS	048	TUP	S	10,000	65.78	n/a	n/a	300.00	3.0
DELTEC ASSET MGMT.	040	UAL	B	2,801	25.51	n/a	n/a	140.05	5.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	50,000	33.00	n/a	n/a	1,750.00	3.5
CATAPULT	040	WY	SS	45,000	22.27	n/a	29-Apr	1,800.00	4.0
LEVIN CAPITAL STRATEGIES	012	XOM	SS	20,000	81.32	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	012	YHOO	S	15,000	18.34	n/a	n/a	450.00	3.0
RWC PARTNERS LTD	085	YHOO	S	79,108	17.97	n/a	n/a	2,373.24	3.0
SAC COHEN	044	YUM	B	25,000	54.75	n/a	25-Apr	875.00	3.5

TOTAL (Trade Date):

104,073.13

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	05/11	CIRCLE T/SES PART (CIRCMAIN)	033	AAP	SS	5,000	67.99	n/a	n/a	200.00	4.0
AO,CXL	05/10	PERRY PARTNERS (PERRGOLDMA)	085	CSE	S	50,000	6.32	n/a	n/a	2500.00	5.0
AO,CRT	05/10	PERRY PARTNERS (PERRGOLDMA)	085	CSE	S	50,000	6.32	n/a	n/a	1500.00	3.0
AO,	05/10	BRANDWINE (BWAM4881)	028	GM	B	100	31.58	n/a	6-May	4.00	4.0
AO,	05/10	BRANDWINE (BWAM4880)	028	GM	B	100	31.58	n/a	6-May	4.00	4.0
AO,	05/10	BRANDWINE (BWAM4882)	028	GM	B	300	31.58	n/a	6-May	12.00	4.0
AO,	05/10	BRANDWINE (BWAM4879)	028	GM	B	400	31.58	n/a	6-May	16.00	4.0
AO,	05/10	BRANDWINE (BWAM4877)	028	GM	B	100	31.58	n/a	6-May	4.00	4.0
AO,	05/10	BRANDWINE (BWAM4875)	028	GM	B	1,700	31.58	n/a	6-May	68.00	4.0
AO,	05/10	BRANDWINE (BWAM4876)	028	GM	B	100	31.58	n/a	6-May	4.00	4.0
AO,	05/10	BRANDWINE (BWAM4878)	028	GM	B	300	31.58	n/a	6-May	12.00	4.0
AO,	05/10	BRANDWINE (BWAM4020)	028	GM	B	600	31.58	n/a	6-May	24.00	4.0
AO,	05/10	BRANDWINE (BWAM4900)	028	GM	B	800	31.58	n/a	6-May	32.00	4.0
AO,	05/10	BRANDWINE (BWAM4901)	028	GM	B	1,800	31.58	n/a	6-May	72.00	4.0
AO,	05/10	BRANDWINE (BWAM4019)	028	GM	B	400	31.58	n/a	6-May	16.00	4.0
AO,	05/10	BRANDWINE (BWAM4023)	028	GM	B	200	31.58	n/a	6-May	8.00	4.0
AO,	05/10	BRANDWINE (BWAM4863)	028	GM	B	9,000	31.58	n/a	6-May	360.00	4.0
AO,	05/10	BRANDWINE (BWAM4864)	028	GM	B	300	31.58	n/a	6-May	12.00	4.0
AO,	05/10	BRANDWINE (BWAM4862)	028	GM	B	100	31.58	n/a	6-May	4.00	4.0
AO,	05/10	BRANDWINE (BWAM4859)	028	GM	B	1,900	31.58	n/a	6-May	76.00	4.0
AO,	05/10	BRANDWINE (BWAM4861)	028	GM	B	500	31.58	n/a	6-May	20.00	4.0
AO,	05/10	BRANDWINE (BWAM4858)	028	GM	B	1,000	31.58	n/a	6-May	40.00	4.0
AO,	05/10	BRANDWINE (BWAM4832)	028	GM	B	400	31.58	n/a	6-May	16.00	4.0
AO,	05/10	BRANDWINE (BWAM4851)	028	GM	B	300	31.58	n/a	6-May	12.00	4.0
AO,	05/10	BRANDWINE (BWAM4857)	028	GM	B	2,200	31.58	n/a	6-May	88.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/10	BRANDWINE (BWAM4856)	028	GM	B	800	31.58	n/a	6-May	32.00 4.0
AO,	05/10	BRANDWINE (BWAM4811)	028	GM	B	1,300	31.58	n/a	6-May	52.00 4.0
AO,	05/10	BRANDWINE (BWAM4853)	028	GM	B	1,900	31.58	n/a	6-May	76.00 4.0
AO,	05/10	BRANDWINE (BWAM4808)	028	GM	B	200	31.58	n/a	6-May	8.00 4.0
AO,	05/10	BRANDWINE (BWAM4828)	028	GM	B	1,300	31.58	n/a	6-May	52.00 4.0
AO,	05/10	BRANDWINE (BWAM4821)	028	GM	B	500	31.58	n/a	6-May	20.00 4.0
AO,	05/10	BRANDWINE (BWAM4854)	028	GM	B	9,300	31.58	n/a	6-May	372.00 4.0
AO,	05/10	BRANDWINE (BWAM4804)	028	GM	B	1,200	31.58	n/a	6-May	48.00 4.0
AO,	05/10	BRANDWINE (BWAM4814)	028	GM	B	2,800	31.58	n/a	6-May	112.00 4.0
AO,	05/10	BRANDWINE (BWAM4813)	028	GM	B	200	31.58	n/a	6-May	8.00 4.0
AO,	05/10	BRANDWINE (BWAM4818)	028	GM	B	500	31.58	n/a	6-May	20.00 4.0
AO,	05/10	BRANDWINE (BWAM4825)	028	GM	B	800	31.58	n/a	6-May	32.00 4.0
AO,	05/10	BRANDWINE (BWAM4819)	028	GM	B	400	31.58	n/a	6-May	16.00 4.0
AO,	05/10	BRANDWINE (BWAM4837)	028	GM	B	600	31.58	n/a	6-May	24.00 4.0
AO,	05/10	BRANDWINE (BWAM4802)	028	GM	B	128,100	31.58	n/a	6-May	5124.00 4.0
AO,	05/10	BRANDWINE (BWAM4801)	028	GM	B	9,100	31.58	n/a	6-May	364.00 4.0
AO,	05/10	BRANDWINE (BWAM4800)	028	GM	B	17,000	31.58	n/a	6-May	680.00 4.0
AO,	05/10	WEISS PECK (PECKCELANE)	040	JNY	S	4,000	12.97	n/a	28-Apr	200.00 5.0
AO,	05/10	WEISS PECK (PECKSIITSM)	040	JNY	S	9,300	12.97	n/a	28-Apr	465.00 5.0
AO,	05/10	WEISS PECK (PECKFEDEXP)	040	JNY	S	35,230	12.97	n/a	28-Apr	1761.50 5.0
AO,	05/10	WEISS PECK (PECKSIMTSC)	040	JNY	S	4,500	12.97	n/a	28-Apr	225.00 5.0
AO,	05/10	WEISS PECK (PECKPFA)	040	JNY	S	12,100	12.97	n/a	28-Apr	605.00 5.0
AO,	05/10	WEISS PECK (PECKQUALEX)	040	JNY	S	1,240	12.97	n/a	28-Apr	62.00 5.0
AO,	05/10	WEISS PECK (PECK453)	040	JNY	S	13,700	12.97	n/a	28-Apr	685.00 5.0
AO,	05/10	WEISS PECK (PECK454)	040	JNY	S	770	12.97	n/a	28-Apr	38.50 5.0
AO,	05/10	WEISS PECK (PECK448)	040	JNY	S	5,700	12.97	n/a	28-Apr	285.00 5.0
AO,	05/10	WEISS PECK (PECK443)	040	JNY	S	5,200	12.97	n/a	28-Apr	260.00 5.0
AO,	05/10	WEISS PECK (PECKSIMT)	040	JNY	S	14,400	12.97	n/a	28-Apr	720.00 5.0
AO,	05/10	WEISS PECK (PECKASTEAM)	040	JNY	S	310	12.97	n/a	28-Apr	15.50 5.0
AO,	05/10	WEISS PECK (PECKSIIT)	040	JNY	S	9,800	12.97	n/a	28-Apr	490.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/10	WEISS PECK (PECKKKPHOL)	040	JNY	S	870	12.97	n/a	28-Apr	43.50 5.0
AO,	05/10	WEISS PECK (PECKTUDOR)	040	JNY	S	6,100	12.97	n/a	28-Apr	305.00 5.0
AO,	05/10	NOMURA CAPITAL (NOMUSTRAT)	029	TXI	SS	1,756	40.35	n/a	n/a	52.68 3.0
AO,	05/10	NOMURA CAPITAL (NOMUBATT2)	029	TXI	SS	804	40.35	n/a	n/a	24.12 3.0
AO,	05/10	NOMURA CAPITAL (NOMUBSMAIN)	029	TXI	SS	1,440	40.35	n/a	n/a	43.20 3.0
TOTAL (AO, CXL, CRT) :										13,425.00

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