



## Daily Compliance Activity Report

Trade Date: 05/13/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	ARCO	B	1,400	22.07	n/a	n/a	70.00	5.0
CYRUS CAPITAL	025	AWI	S	10,000	48.01	n/a	n/a	300.00	3.0
BASIX	033	AXE	S	8,800	71.72	n/a	27-Apr	264.00	3.0
OZ MGMT	040	AXL	SS	21,258	11.26	n/a	2-May	637.74	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>20,000</b>	<b>32.12</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
LIONEYE CAPITAL	040	BIG	B	10,000	38.54	n/a	5-May	400.00	4.0
NICOLAS APPLGATE	084	BMJ	B	104,200	28.88	n/a	n/a	2,084.00	2.0
BNP PARIBAS SEC	040	CAG	S	25,000	25.43	n/a	n/a	1,250.00	5.0
1798 CAP/LOMBARD ASSET	040	CSX	S	10,000	74.68	n/a	n/a	500.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	DE	S	60,600	88.00	n/a	18-Feb	2,424.00	4.0
MORTAR ROCK	033	DPZ	S	58,000	23.31	n/a	6-May	2,320.00	4.0
GEORGE WEISS	034	EDU	B	10,985	121.25	n/a	n/a	439.40	4.0
MERRILL ASSET/BLACKROCK	297	ESS	S	4,400	133.09	n/a	n/a	176.00	4.0
BMO NESBITT BURNS	041	FINL	B	4,000	22.32	n/a	10-May	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	FINL	B	7,500	22.56	n/a	10-May	375.00	5.0
BMO NESBITT BURNS	041	FL	B	4,000	22.91	n/a	12-May	200.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>30,000</b>	<b>43.33</b>	<b>n/a</b>	<b>25-Apr</b>	<b>900.00</b>	<b>3.0</b>
MERCHANTS GATE CAP LP	036	GLT	SS	40,000	14.82	n/a	n/a	1,600.00	4.0
BALYASNY ASSET MGMT	044	GPS	C	25,000	23.11	n/a	n/a	1,250.00	5.0
ASCEND PARTNERS	033	JNY	SS	4,900	13.26	n/a	28-Apr	245.00	5.0
BNP PARIBAS SEC	040	JWN	B	20,000	47.74	n/a	13-May	1,000.00	5.0
BNP PARIBAS SEC	040	KMX	B	25,000	30.84	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	KSS	C	20,000	55.40	n/a	13-May	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LL</b>	<b>S</b>	<b>51,824</b>	<b>26.31</b>	<b>n/a</b>	<b>n/a</b>	<b>1,554.72</b>	<b>3.0</b>
MELLON/BANK OF NEW YORK	046	LOW	S	89,492	25.69	n/a	11-May	3,579.68	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	S	2,100	8.59	n/a	10-May	105.00	5.0
ST OF MICHIAN	047	MDT	S	90,000	42.20	n/a	n/a	2,700.00	3.0
KLEINHEINZ CAP PART	031	MON	S	75,000	64.33	n/a	21-Apr	3,750.00	5.0
BALLAST CAP	040	MOO	B	12,200	52.98	n/a	n/a	610.00	5.0
IRIDIAN ASSET MGMT.	036	MSFT	S	22,090	25.22	n/a	n/a	1,104.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
YORK CAPITAL	036	MTW	B	50,000	18.16	n/a	3-May	2,000.00	4.0
PIONEER PATH	028	MU	B	115,274	10.42	n/a	n/a	3,458.22	3.0
RIDGECREST INV MGMT LLC	028	MWV	S	5,000	33.63	n/a	27-Apr	250.00	5.0
BALYASNY ASSET MGMT	044	M	S	25,000	28.61	n/a	12-May	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PCS	B	70,000	17.80	n/a	n/a	2,100.00	3.0
BASSWOOD PARTNERS	267	PH	C	11,700	87.74	n/a	28-Apr	468.00	4.0
BALYASNY ASSET MGMT	044	PLCE	B	25,000	55.63	n/a	13-May	1,250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>PLCE</b>	<b>B</b>	<b>3,500</b>	<b>55.36</b>	<b>n/a</b>	<b>13-May</b>	<b>210.00</b>	<b>6.0</b>
ROYCE TRADING	012	PLCE	B	7,000	55.49	n/a	13-May	350.00	5.0
CYRUS CAPITAL	025	RKT	S	7,000	71.74	n/a	n/a	210.00	3.0
CASTLEROCK	040	RL	B	26,890	135.18	n/a	25-Apr	1,075.60	4.0
MTB INV ADV	034	ROC	S	4,150	50.90	n/a	n/a	207.50	5.0
MTB INV ADV	034	SOA	S	7,275	23.68	n/a	n/a	363.75	5.0
FINDLAY PARK PART	291	SWN	B	61,000	41.15	n/a	29-Apr	4,392.59	0.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.08	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	TIN	S	50,000	24.30	n/a	20-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	TWI	S	21,850	27.89	n/a	n/a	1,092.50	5.0
BALYASNY ASSET MGMT	044	UFS	SS	20,100	104.80	n/a	n/a	1,005.00	5.0
MERCHANTS GATE CAP LP	036	UFS	SS	5,000	103.40	n/a	n/a	200.00	4.0
1798 CAP/LOMBARD ASSET	040	UPS	B	50,000	74.37	n/a	n/a	2,500.00	5.0
PZENA INV ADV	044	VCI	B	301	28.60	n/a	n/a	10.54	3.5
MTB INV ADV	034	WNC	S	43,700	10.22	n/a	n/a	1,748.00	4.0
DAVIDSON KEMPNER ADVISOR	040	XLV	C	100,000	36.27	n/a	n/a	5,000.00	5.0
<b>TOTAL (Trade Date):</b>								<b>65,330.74</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/12	KACELA CAPITAL (KACEGS)	034	DXD	S	53,601	16.85	n/a	n/a	2144.04 4.0
AO,CRT	05/12	KACELA CAPITAL (KACEGS)	034	DXD	S	53,601	16.85	n/a	n/a	1608.03 3.0
AO,	05/12	OZ MGMT (OZFFCSFB)	040	GM	B	5,876	31.40	n/a	6-May	176.28 3.0
AO,	05/12	OZ MGMT (OZFFMS)	040	GM	B	1,342	31.40	n/a	6-May	40.26 3.0
AO,	05/12	OZ MGMT (OZFFGS)	040	GM	B	67,782	31.40	n/a	6-May	2033.46 3.0
AO,	05/12	OZ MGMT (OZFFCSFB)	040	GM	SS	5,876	31.20	n/a	6-May	176.28 3.0
AO,	05/12	OZ MGMT (OZFFMS)	040	GM	SS	1,342	31.20	n/a	6-May	40.26 3.0
AO,	05/12	OZ MGMT (OZFFGS)	040	GM	SS	67,782	31.20	n/a	6-May	2033.46 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,963.99</b>

TOTAL (Trade Date) :	65,330.74
TOTAL (AO, CXL, CRT) :	3,963.99

<b>TOTAL (RUN DATE) / NFS :</b>	<b>69,294.73</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