



## Daily Compliance Activity Report

Trade Date: 05/06/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ST OF MICHIAN	047	AEO	B	430,000	14.66	n/a	10-Mar	12,900.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>10,000</b>	<b>29.61</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
GREEN ARROW DOUG	040	ARO	B	10,000	20.90	n/a	6-May	500.00	5.0
PEREGRINE	030	ARO	S	114,765	20.77	n/a	6-May	4,590.60	4.0
HUNTER GLOBAL INVESTOR	028	BGC	B	122,000	45.15	n/a	n/a	6,100.00	5.0
RBC CAPITAL MARKETS	040	BHP	SS	10,000	96.05	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>3,000</b>	<b>45.64</b>	<b>n/a</b>	<b>n/a</b>	<b>90.00</b>	<b>3.0</b>
RBC CAPITAL MARKETS	040	BTU	SS	15,000	62.74	n/a	n/a	600.00	4.0
MA CAPITAL MGMT/MELLON ADV041		CAKE	S	1,000	30.94	n/a	21-Apr	50.00	5.0
NCM CAPITAL MGMT	035	CFN	B	160,705	29.16	n/a	n/a	6,428.20	4.0
WEINTRAUB CAPITAL MGT.	040	CHS	B	25,000	14.48	n/a	5-Feb	1,000.00	4.0
CYPRESS CAP MGMT LLC	040	CROX	B	10,700	21.41	n/a	n/a	428.00	4.0
EVERCORE WEALTH MGMT	012	CYB	B	10,000	25.58	n/a	n/a	400.00	4.0
SEVEN LOCKS CAPITAL	025	DAN	B	10,000	18.14	n/a	28-Apr	300.00	3.0
CATAPULT	040	EMN	B	5,000	103.80	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	EXPE	B	19,739	25.34	n/a	n/a	592.17	3.0
ROYCE TRADING	012	FINL	B	2,500	21.50	n/a	25-Mar	125.00	5.0
MERRILL ASSET/BLACKROCK	266	FOR	B	35,900	18.07	n/a	5-May	1,436.00	4.0
CATAPULT	040	FUL	B	10,000	21.47	n/a	n/a	400.00	4.0
OZ MGMT	040	F	C	70,587	15.16	n/a	4-May	2,117.61	3.0
OZ MGMT	040	GM	SS	33,532	32.15	n/a	6-May	1,005.96	3.0
NEUBERGER BERMAN	036	GWR	B	23,400	59.73	n/a	n/a	936.00	4.0
THE JAY GOLDMAN	028	HOT	B	5,000	58.73	n/a	28-Apr	200.00	4.0
CASTLE ARK	031	INTC	B	531,500	23.25	n/a	n/a	26,575.00	5.0
SUFFOLK CAPITAL MGMT	040	JPM	S	125,000	44.87	n/a	13-Apr	5,000.00	4.0
THE JAY GOLDMAN	028	LHO	S	10,000	27.36	n/a	n/a	400.00	4.0
MA CAPITAL MGMT/MELLON ADV041		LVS	S	3,000	43.27	n/a	4-May	150.00	5.0
ST OF MICHIAN	047	MDT	S	90,000	42.63	n/a	n/a	2,700.00	3.0
MA CAPITAL MGMT/MELLON ADV041		MERC	S	10,000	12.56	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	MGM	S	10,000	14.70	n/a	4-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	MMM	S	50,000	95.77	n/a	26-Apr	2,500.00	5.0
GREEN ARROW DOUG	040	ODP	B	25,000	4.34	n/a	n/a	1,250.00	5.0
COLUMBIA PARTNERS	028	PAG	SS	3,094	22.03	n/a	29-Apr	123.76	4.0
RBC CAPITAL MARKETS	040	PCX	SS	30,000	23.83	n/a	n/a	1,200.00	4.0
BARROW HANLEY MEWHINNEY	031	PDCO	S	70,925	35.10	n/a	n/a	2,482.38	3.5
SAC TRADING TOM LEDDY	035	PG	B	34,260	65.05	n/a	2-May	1,199.10	3.5
ROYCE TRADING	012	PLCE	B	5,500	52.15	n/a	9-Mar	275.00	5.0
RBC CAPITAL MARKETS	040	PVH	B	40,000	68.29	n/a	25-Apr	1,600.00	4.0
NEUBERGER BERMAN	036	QSII	B	5,000	88.80	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	ROL	B	12,500	20.15	n/a	n/a	500.00	4.0
COHE & STEERS	041	RYN	B	90,000	65.16	n/a	27-Apr	3,600.00	4.0
GREEN ARROW DOUG	040	SBUX	SS	25,000	37.20	n/a	28-Apr	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	SBUX	B	125,000	37.21	n/a	28-Apr	5,000.00	4.0
FARALLON CAP MGMT	040	SCHW	S	150,000	18.10	n/a	n/a	4,500.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	SDS	B	2,500	20.23	n/a	n/a	125.00	5.0
DAVIDSON KEMPNER ADVISOR	040	SHAW	S	20,000	38.85	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	SLGN	B	18,800	45.02	n/a	n/a	752.00	4.0
ROXBURY CAPITAL MGMT	035	SONS	S	265,864	2.94	n/a	n/a	5,317.28	2.0
CAVU CAP ADV	028	SPR	S	10,400	23.18	n/a	5-May	520.00	5.0
NEUBERGER BERMAN	036	SYNT	B	12,300	53.52	n/a	n/a	492.00	4.0
NEUBERGER BERMAN	036	TECH	B	7,400	78.32	n/a	n/a	296.00	4.0
CYPRESS CAP MGMT LLC	040	UA	B	10,300	66.84	n/a	27-Apr	412.00	4.0
AVESTA CAP	229	UTX	S	25,000	89.86	n/a	n/a	750.00	3.0
COLUMBUS CIRCLE	036	WBMD	S	3,629	52.54	n/a	n/a	145.16	4.0
BNP PARIBAS SEC	040	WRC	B	25,000	56.97	n/a	6-May	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV041		WRC	S	2,500	57.89	n/a	6-May	125.00	5.0
PEREGRINE	030	WRC	B	15,000	56.40	n/a	6-May	600.00	4.0
RBC CAPITAL MARKETS	040	WRC	SS	10,000	56.48	n/a	6-May	400.00	4.0
RBC CAPITAL MARKETS	040	XLP	SS	30,000	31.42	n/a	n/a	1,200.00	4.0
RBC CAPITAL MARKETS	040	XRT	B	30,000	53.30	n/a	n/a	1,200.00	4.0
<b>TOTAL (Trade Date) :</b>							<b>117,089.22</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/05	LISTED ERR (LISTED ERR)	099	PDCO	B	68	35.00	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	117,089.22
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	117,089.22
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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