



Daily Compliance Activity Report

Trade Date: 05/16/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|------------|-----------------|------------|
| CIRCLE T/SES PART | 033 | AAP | B | 2,500 | 70.59 | n/a | n/a | 100.00 | 4.0 |
| TRUSTCO/SUNTRUST | 040 | ACI | B | 25,000 | 28.91 | n/a | n/a | 875.00 | 3.5 |
| PZENA INV ADV | 044 | AET | S | 4,125 | 44.29 | n/a | n/a | 144.38 | 3.5 |
| BNP PARIBAS SEC | 040 | ANF | B | 20,000 | 72.65 | n/a | 6-May | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ANN | B | 66,300 | 31.21 | n/a | n/a | 1,989.00 | 3.0 |
| ADAGE CAPITAL MGMT | 030 | AOS | S | 11,120 | 41.00 | n/a | 16-May | 333.60 | 3.0 |
| BALYASNY ASSET MGMT | 044 | ASNA | SS | 25,000 | 31.30 | n/a | n/a | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BID | B | 12,500 | 40.11 | n/a | n/a | 375.00 | 3.0 |
| OMEGA ADVISORS | 041 | BKS | B | 200,000 | 13.78 | n/a | n/a | 8,000.00 | 4.0 |
| COUGAR TRADING | 044 | CLX | SS | 5,000 | 70.71 | n/a | 9-May | 250.00 | 5.0 |
| KACELA CAPITAL | 034 | COF | B | 25,000 | 53.72 | n/a | 16-May | 1,000.00 | 4.0 |
| CONIFER/FIRESTORM/BC | 033 | DDS | SS | 5,000 | 55.11 | n/a | n/a | 200.00 | 4.0 |
| ROYCE TRADING | 012 | FINL | B | 14,500 | 21.95 | n/a | 10-May | 725.00 | 5.0 |
| BNP PARIBAS SEC | 040 | FL | B | 25,000 | 22.60 | n/a | 12-May | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------------|------------|----------|---------------|--------------|------------|---------------|---------------|------------|
| OZ MGMT | 040 | GM | C | 29,313 | 31.26 | n/a | 6-May | 879.39 | 3.0 |
| MATRIX ASSET ADV. | 091 | HRS | B | 4,000 | 48.54 | n/a | 4-May | 160.00 | 4.0 |
| PIONEER PATH | 028 | INTC | SS | 84,246 | 23.70 | n/a | n/a | 2,527.38 | 3.0 |
| FIRST NEW YORK FRAN | 028 | IP | B | 25,000 | 31.65 | n/a | 28-Apr | 1,000.00 | 4.0 |
| BMO NESBITT BURNS | 041 | LOW | S | 5,000 | 24.90 | n/a | 16-May | 250.00 | 5.0 |
| GRYPHON CAPITAL MGMT | 084 | LOW | B | 50,000 | 25.02 | n/a | 16-May | 1,500.00 | 3.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | LPX | S | 34,585 | 8.53 | n/a | 10-May | 1,729.25 | 5.0 |
| PIONEER PATH | 028 | MU | B | 67,695 | 10.43 | n/a | n/a | 2,030.85 | 3.0 |
| BMO NESBITT BURNS | 041 | MYL | S | 7,000 | 23.67 | n/a | 16-May | 210.00 | 3.0 |
| SANDLER CAPITAL | 028 | PH | SS | 80,000 | 86.95 | n/a | 28-Apr | 4,000.00 | 5.0 |
| TRUSTCO/SUNTRUST | 040 | PH | B | 19,250 | 87.69 | n/a | 28-Apr | 673.75 | 3.5 |
| ROYCE TRADING | 012 | PLCE | B | 14,500 | 54.71 | n/a | 13-May | 725.00 | 5.0 |
| M&I FUNDS | 047 | PPG | S | 9,638 | 89.53 | n/a | 6-May | 385.52 | 4.0 |
| BUCK CAPITAL MGMT | 001 | PVH | B | 30,000 | 68.70 | n/a | 25-Apr | 900.00 | 3.0 |
| RIDGECREST INV MGMT LLC | 028 | SPY | SS | 40,000 | 134.42 | n/a | n/a | 2,000.00 | 5.0 |
| PERRY PARTNERS | 085 | SUN | B | 52,122 | 39.93 | n/a | n/a | 2,606.10 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------|------|--------|-----|---------|-------|-----|----------|------------------|-----|
| MERRILL ASSET/BLACKROCK | 297 | SUSQ | S | 115,480 | 8.65 | n/a | n/a | 4,619.20 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | S | B | 20,000 | 5.16 | n/a | n/a | 800.00 | 4.0 |
| BASIX | 033 | TIN | B | 45,000 | 24.09 | n/a | 20-Apr | 1,350.00 | 3.0 |
| LEVIN CAPITAL STRATEGIES | 012 | VC | B | 25,000 | 62.29 | n/a | n/a | 750.00 | 3.0 |
| LISTED ERR | 099 | VC | B | 4,700 | 62.26 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | VC | S | 4,700 | 62.26 | n/a | n/a | 0.00 | 0.0 |
| BMO NESBITT BURNS | 041 | WCRX | SS | 6,000 | 25.09 | n/a | 16-May | 180.00 | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | WRC | SS | 25,000 | 56.13 | n/a | 6-May | 875.00 | 3.5 |
| TOTAL (Trade Date) : | | | | | | | | 47,643.42 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|---------------------------|------|--------|-----|---------|-------|-----|----------|-----------------|
| AO, | 05/13 | AMBER CAPITAL (AMBRAMFGS) | 046 | S | SS | 350,000 | 5.10 | n/a | n/a | 7000.00 2.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 7,000.00 |

| | | | | | | | | | | |
|--------------------------------|--|--|--|--|--|--|--|--|--|------------------|
| TOTAL (Trade Date): | | | | | | | | | | 47,643.42 |
| TOTAL (AO, CXL, CRT): | | | | | | | | | | 7,000.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | | 54,643.42 |

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