



Daily Compliance Activity Report

Trade Date: 05/24/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAIL-SPLITTER	031	AAP	S	87,734	62.55	n/a	n/a	4,386.70	5.0
PZENA INV ADV	044	ACE	S	1,025	67.85	n/a	n/a	35.88	3.5
ROTHSCHILD ASSET	040	AGP	S	14,261	67.47	n/a	n/a	570.44	4.0
CATAPULT	040	ASH	S	15,000	59.66	n/a	6-May	600.00	4.0
CAERUS GLOBAL	041	BKS	B	29,330	18.97	n/a	n/a	1,173.20	4.0
CYRUS CAPITAL	025	BMS	SS	8,000	32.64	n/a	n/a	320.00	4.0
CATAPULT	040	CE	SS	10,000	48.13	n/a	20-May	400.00	4.0
ENTRUST CAPITAL	040	CFN	B	65,300	28.86	n/a	n/a	3,265.00	5.0
FARALLON CAP MGMT	040	CMCSA	B	30,000	24.35	n/a	n/a	900.00	3.0
MERRILL ASSET/BLACKROCK	297	DCOM	S	12,500	13.55	n/a	n/a	500.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	230,000	53.46	n/a	n/a	6,900.00	3.0
CASTLEROCK	040	FCS	SS	183,078	17.78	n/a	n/a	7,323.12	4.0
ROYCE TRADING	012	FINL	B	15,500	21.87	n/a	10-May	775.00	5.0
BRONSON POINT	036	FTR	SS	50,000	8.69	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	GIS	B	15,000	39.56	n/a	n/a	750.00	5.0
BNP PARIBAS SEC	040	GLW	B	35,000	19.61	n/a	20-May	1,750.00	5.0
BMO NESBITT BURNS	041	IP	B	28,000	30.21	n/a	28-Apr	1,370.00	4.5
JP MORGAN VENTURES	046	KR	B	20,000	24.50	n/a	n/a	800.00	4.0
SAC TRADING TOM LEDDY	035	KSS	SS	15,000	54.35	n/a	13-May	525.00	3.5
SURVEYOR CAPITAL	041	LLY	B	25,000	38.70	n/a	n/a	750.00	3.0
SANSAR CAPITAL	085	LVS	B	24,700	40.45	n/a	10-May	988.00	4.0
TRELLUS PARTNERS LP	028	LVS	B	20,000	40.39	n/a	10-May	1,000.00	5.0
FARALLON CAP MGMT	040	ORCL	B	160,000	32.98	n/a	n/a	4,800.00	3.0
RAIL-SPLITTER	031	ORLY	S	15,555	59.51	n/a	n/a	777.75	5.0
BMO NESBITT BURNS	041	PKG	SS	2,000	28.23	n/a	19-Apr	80.00	4.0
ROYCE TRADING	012	PLCE	B	5,500	50.94	n/a	20-May	275.00	5.0
SENATOR INVESTMENT GROUP	036	SPY	B	150,000	132.06	n/a	n/a	4,500.00	3.0
BNP PARIBAS SEC	040	SSCC	B	30,000	39.71	n/a	14-Apr	1,500.00	5.0
MFP INVESTORS	085	SSCC	S	2,500	39.90	n/a	14-Apr	125.00	5.0
MERRILL ASSET/BLACKROCK	297	SUSQ	S	7,500	8.60	n/a	n/a	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK NICK	029	S	B	10,000	5.84	n/a	n/a	500.00	5.0
IVORY CAPITAL	034	S	S	1,115,905	5.78	n/a	n/a	5,579.53	0.5
YORK CAPITAL	036	TEVA	B	50,000	49.39	n/a	23-May	1,500.00	3.0
BMO NESBITT BURNS	041	TIN	B	3,000	22.81	n/a	19-May	120.00	4.0
PZENA INV ADV	044	UNF	B	5,200	50.72	n/a	n/a	182.00	3.5
MATRIX ASSET ADV.	091	WAG	S	7,000	44.42	n/a	n/a	280.00	4.0
CASTLE ARK	031	WSM	S	119,775	38.92	n/a	n/a	5,988.75	5.0
TOTAL (Trade Date):								63,090.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/23	ROYCE TRADING (ROYC42)	012	AEO	B	2,100	13.35	n/a	10-May	105.00 5.0
AO,	05/23	ROYCE TRADING (ROYC6)	012	AEO	B	1,500	13.35	n/a	10-May	75.00 5.0
AO,	05/23	ROYCE TRADING (ROYC10)	012	AEO	B	100	13.35	n/a	10-May	5.00 5.0
AO,	05/23	ROYCE TRADING (ROYC87)	012	AEO	B	1,300	13.35	n/a	10-May	65.00 5.0
AO,	05/23	ROYCE TRADING (ROYC67)	012	AEO	B	20,000	13.55	n/a	10-May	1000.00 5.0
AO,	05/23	ROYCE TRADING (ROYC67)	012	AEO	B	9,100	13.55	n/a	10-May	455.00 5.0
AO,	05/23	ROYCE TRADING (ROYC66)	012	AEO	B	4,200	13.55	n/a	10-May	210.00 5.0
AO,	05/23	ROYCE TRADING (ROYC64)	012	AEO	B	800	13.55	n/a	10-May	40.00 5.0
AO,	05/23	ROYCE TRADING (ROYC181)	012	AEO	B	200	13.55	n/a	10-May	10.00 5.0
AO,	05/23	ROYCE TRADING (ROYC180)	012	AEO	B	300	13.55	n/a	10-May	15.00 5.0
AO,	05/23	ROYCE TRADING (ROYC174)	012	AEO	B	100	13.55	n/a	10-May	5.00 5.0
AO,	05/23	ROYCE TRADING (ROYC100)	012	AEO	B	300	13.55	n/a	10-May	15.00 5.0
AO,CRT	05/20	TALPION LLC (TALPCSFBPB)	040	OMX	S	5,000	8.05	n/a	n/a	150.00 3.0
AO,CXL	05/20	TALPION LLC (TALPMSPB)	040	OMX	S	5,000	8.05	n/a	n/a	150.00 3.0
AO,CXL	05/23	SAC TRADING TOM LEDDY (SACHGS)	035	PSS	SS	25,000	18.50	n/a	n/a	0.00 0.0
AO,CRT	05/23	SAC TRADING TOM LEDDY (SACHGS)	035	PSS	SS	25,000	18.50	n/a	n/a	875.00 3.5
TOTAL (AO, CXL, CRT) :										2,875.00

TOTAL (Trade Date):	63,090.37
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TOTAL (RUN DATE) / NFS:

65,965.37

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