



## Daily Compliance Activity Report

Trade Date: 05/09/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	AAP	SS	2,500	65.62	n/a	n/a	100.00	4.0
THE JAY GOLDMAN	028	BEE	S	21,100	6.89	n/a	n/a	844.00	4.0
BMO NESBITT BURNS	041	BWS	B	4,000	11.63	n/a	n/a	280.00	7.0
BAIRD INVESTMENT	047	CAT	B	5,300	112.15	n/a	2-May	265.00	5.0
GREEN ARROW DOUG	040	CCL	B	15,000	39.56	n/a	n/a	750.00	5.0
SURVEYOR CAPITAL	041	COH	B	33,518	60.03	n/a	27-Apr	1,005.54	3.0
SANDLER O'NEILL ASSET	031	C	B	2,500	44.15	n/a	18-Apr	50.00	2.0
ADALY INV MGMT	031	DF	S	14,300	10.88	n/a	n/a	429.00	3.0
SURVEYOR CAPITAL	041	DSW	B	33,960	44.59	n/a	11-Feb	1,018.80	3.0
PRIMECAP MGMT	084	DTV	S	160,000	49.21	n/a	n/a	6,400.00	4.0
OZ MGMT	040	F	B	65,000	15.09	n/a	4-May	1,950.00	3.0
OZ MGMT	040	GM	SS	58,313	31.40	n/a	6-May	1,749.39	3.0
KACELA CAPITAL	034	GPS	B	50,000	22.61	n/a	n/a	2,000.00	4.0
SENATOR INVESTMENT GROUP	036	GTI	B	37,394	22.32	n/a	n/a	1,121.82	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	GWR	B	4,400	59.65	n/a	n/a	176.00	4.0
JP MORGAN VENTURES	046	JWN	S	9,000	47.26	n/a	6-May	360.00	4.0
MACQUARIE INVESTMENT MGMT.	040	LOW	B	10,000	25.81	n/a	25-Apr	400.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	LPX	B	15,000	8.64	n/a	14-Apr	600.00	4.0
SCOPUS FUND	041	LPX	B	51,000	8.63	n/a	14-Apr	2,040.00	4.0
HILLTOP PARK ASSOC	086	LVS	B	25,000	43.22	n/a	4-May	1,250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	NDN	B	5,000	20.32	n/a	29-Apr	200.00	4.0
SURVEYOR CAPITAL	041	NKE	SS	30,480	82.51	n/a	n/a	914.40	3.0
MACQUARIE INVESTMENT MGMT.	040	NWY	B	5,000	5.60	n/a	n/a	200.00	4.0
HILLTOP PARK ASSOC	086	PCX	B	50,000	24.41	n/a	n/a	2,500.00	5.0
SURVEYOR CAPITAL	041	PSS	SS	5,594	19.35	n/a	n/a	167.82	3.0
GREEN ARROW DOUG	040	RCL	B	15,000	39.93	n/a	n/a	750.00	5.0
NEUBERGER BERMAN	036	ROL	B	10,200	20.20	n/a	n/a	408.00	4.0
COUGAR TRADING	044	SKS	S	5,000	11.21	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	SYNT	B	7,800	53.11	n/a	n/a	312.00	4.0
COUGAR TRADING	044	SYU	B	15,000	29.99	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	TECH	B	4,900	78.47	n/a	n/a	196.00	4.0
EGS ASSOCIATES LP	091	WRC	B	7,000	56.98	n/a	6-May	420.00	6.0
<b>TOTAL (Trade Date):</b>							<b>29,857.77</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/05	PERRY PARTNERS (PERRGOLDMA)	085	AEO	S	100,000	15.30	n/a	10-Mar	5000.00 5.0
AO,CRT	05/05	PERRY PARTNERS (PERRGOLDMA)	085	AEO	S	100,000	15.30	n/a	10-Mar	4000.00 4.0
CRT	05/09	THE JAY GOLDMAN (GOLDGSBULK)	028	BEE	S	21,100	6.89	n/a	n/a	844.00 4.0
AO,	05/06	NOMURA CAPITAL (NOMUSTRAT)	029	TXI	SS	132	40.89	n/a	n/a	3.96 3.0
AO,	05/06	NOMURA CAPITAL (NOMUBATT2)	029	TXI	SS	60	40.89	n/a	n/a	1.80 3.0
AO,	05/06	NOMURA CAPITAL (NOMUBSMAIN)	029	TXI	SS	108	40.89	n/a	n/a	3.24 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-147.00</b>
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TOTAL (Trade Date) :	29,857.77
TOTAL (AO, CXL, CRT) :	-147.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>29,710.77</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