



Daily Compliance Activity Report

Trade Date: 05/18/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OWL CREEK INV	085	AMR	B	290,428	6.56	n/a	n/a	8,712.84	3.0
ADAGE CAPITAL MGMT	030	AOS	S	52,754	40.87	n/a	16-May	1,582.62	3.0
AVESTA CAP	229	BA	B	25,000	76.70	n/a	4-May	750.00	3.0
BMO NESBITT BURNS	041	CHS	B	2,000	14.24	n/a	5-Feb	100.00	5.0
SCOPUS FUND	041	CHS	B	20,000	14.30	n/a	5-Feb	800.00	4.0
CYRUS CAPITAL	025	CIT	B	125,000	42.13	n/a	17-May	3,750.00	3.0
SHEFFIELD ASSET MGMT	031	COH	B	30,800	59.66	n/a	27-Apr	1,232.00	4.0
BMO NESBITT BURNS	041	CRI	SS	3,000	29.49	n/a	n/a	150.00	5.0
SURVEYOR CAPITAL	041	CVS	B	50,000	38.44	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	DCOM	S	12,936	13.88	n/a	n/a	517.44	4.0
CATAPULT	040	DE	B	5,000	86.57	n/a	18-Feb	200.00	4.0
ROYCE TRADING	012	FINL	B	28,500	21.48	n/a	10-May	1,425.00	5.0
BUCK CAPITAL MGMT	001	GES	B	40,000	43.01	n/a	25-Apr	1,200.00	3.0
LEVIN CAPITAL STRATEGIES	012	GM	B	10,000	31.58	n/a	6-May	300.00	3.0
KLEINHEINZ CAP PART	031	HD	B	40,000	37.35	n/a	18-May	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	HLF	S	15,000	53.31	n/a	n/a	525.00	3.5
ROSEDALE CAPITAL	046	INTC	S	40,000	23.76	n/a	n/a	2,000.00	5.0
SOUTH POINT CAP	044	IWM	B	125,000	82.39	n/a	n/a	6,250.00	5.0
SURVEYOR CAPITAL	041	JNJ	SS	53,500	66.41	n/a	n/a	1,605.00	3.0
GREEN ARROW DOUG	040	KR	B	20,000	25.31	n/a	n/a	1,000.00	5.0
COLUMBUS CIRCLE	036	MCO	B	2,790	38.64	n/a	n/a	111.60	4.0
ROTHSCHILD ASSET	040	OKE	S	2,390	70.09	n/a	n/a	95.60	4.0
ROTHSCHILD ASSET	040	OMG	B	8,000	35.72	n/a	n/a	320.00	4.0
STANDARD PACIFIC CAPITAL	040	PCX	B	100,000	22.63	n/a	n/a	5,000.00	5.0
BNP PARIBAS SEC	040	PLCE	B	7,500	54.35	n/a	13-May	375.00	5.0
ROYCE TRADING	012	PLCE	B	8,500	53.97	n/a	13-May	425.00	5.0
ROTHSCHILD ASSET	040	PPO	S	13,846	69.23	n/a	n/a	553.84	4.0
BALLAST CAP	040	RGC	B	10,000	14.09	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	RRC	B	40,000	52.68	n/a	27-Apr	2,000.00	5.0
BASIX	033	TEX	S	41,000	29.56	n/a	25-Apr	1,230.00	3.0
BASSWOOD PARTNERS	267	TEX	B	35,000	29.38	n/a	25-Apr	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	TIN	S	134,500	23.36	n/a	20-Apr	5,380.00	4.0
AMBER CAPITAL	046	TSU	B	57,444	48.39	n/a	n/a	2,297.76	4.0
ENTRUST CAPITAL	040	TWI	B	14,200	27.61	n/a	n/a	710.00	5.0
MATRIX ASSET ADV.	091	WAG	S	2,000	44.24	n/a	n/a	80.00	4.0
HOLLIS CAPITAL	033	WPRT	B	5,000	22.32	n/a	n/a	250.00	5.0
THIRD COAST CAPITAL	035	WSM	S	15,000	42.30	n/a	n/a	750.00	5.0
TOTAL (Trade Date):								57,078.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									57,078.70
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									57,078.70
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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