

Daily Compliance Activity Report Trade Date: 05/10/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account		RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
MACQUARIE I	INVESTMENT MGMT	040	ABG	В	25,000	17.25	n/a	28-Apr	0.00	0.0
PZENA INV A	ADV	044	AEL	В	1,625	13.00	n/a	n/a	56.88	3.5
LATEFF MGMI	r	035	ALL	В	1,250	33.37	n/a	n/a	125.00	10.0
PATTEN & PA	ATTEN	025	AMLP	В	1,500	16.12	n/a	n/a	75.00	5.0
BNP PARIBAS	S SEC	040	ANF	S	25,000	74.66	n/a	6-May	1,250.00	5.0
PATTEN & PA	ATTEN	025	APD	S	100	94.51	n/a	27-Apr	5.00	5.0
BALYASNY AS	SSET MGMT	044	ASNA	SS	20,000	31.41	n/a	n/a	1,000.00	5.0
PATTEN & PA	ATTEN	025	BAB	В	500	26.26	n/a	n/a	25.00	5.0
PATTEN & PA	ATTEN	025	BAC	S	600	12.24	n/a	15-Apr	30.00	5.0
LATEFF MGMI	r	035	ВА	S	500	79.98	n/a	4-May	75.00	15.0
AVESTA CAP		229	BDX	С	47,782	87.71	n/a	n/a	1,433.46	3.0
KLEINHEINZ	CAP PART	031	CLX	SS	50,000	69.53	n/a	9-May	2,500.00	5.0
PERRY PARTN	NERS	085	CSE	S	50,000	6.32	n/a	n/a	2,500.00	5.0
PATTEN & PA	ATTEN	025	CTXS	S	100	83.36	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PROSPECTOR PARTNERS LLC	036	CW	В	10,000	33.64	n/a	n/a	400.00	4.0
LATEFF MGMT	035	ENR	S	1,500	76.44	n/a	28-Apr	225.00	15.0
PATTEN & PATTEN	025	ETN	S	125	51.74	n/a	20-Apr	6.25	5.0
PATTEN & PATTEN	025	EWC	S	500	32.73	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	EWZ	S	100	74.60	n/a	n/a	5.00	5.0
ROYCE TRADING	012	FINL	В	3,000	22.24	n/a	10-May	150.00	5.0
BNP PARIBAS SEC	040	FL	S	31,200	22.42	n/a	3-Mar	1,560.00	5.0
PZENA INV ADV	044	FRX	В	2,800	34.34	n/a	9-May	98.00	3.5
OZ MGMT	040	F	С	160,254	15.15	n/a	4-May	4,807.62	3.0
PATTEN & PATTEN	025	GDX	S	160	56.86	n/a	n/a	8.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GIL	В	25,000	37.46	n/a	25-Apr	875.00	3.5
PATTEN & PATTEN	025	GLD	В	25	147.70	n/a	n/a	1.25	5.0
SIGMA CAPITAL ASSOCIATES	041	GPS	В	50,000	23.03	n/a	n/a	1,750.00	3.5
PZENA INV ADV	044	HII	В	1,300	39.99	n/a	n/a	45.50	3.5
BRONSON POINT	036	HOG	В	10,000	38.27	n/a	n/a	300.00	3.0
	PROSPECTOR PARTNERS LLC LATEFF MGMT PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN ROYCE TRADING BNP PARIBAS SEC PZENA INV ADV OZ MGMT PATTEN & PATTEN SIGMA CAPITAL ASSOCIATES PZENA INV ADV	PROSPECTOR PARTNERS LLC LATEFF MGMT PATTEN & PATTEN D12 BNP PARIBAS SEC 040 PZENA INV ADV 044 OZ MGMT PATTEN & PATTEN D25 SIGMA CAPITAL ASSOCIATES PATTEN & PATTEN D25 SIGMA CAPITAL ASSOCIATES O41 PZENA INV ADV 044	PROSPECTOR PARTNERS LLC 036 CW LATEFF MGMT 035 ENR PATTEN & PATTEN 025 EWC PATTEN & PATTEN 025 EWZ ROYCE TRADING 012 FINL BNP PARIBAS SEC 040 FL PZENA INV ADV 044 FRX OZ MGMT 040 F PATTEN & PATTEN 025 GDX SIGMA CAPITAL ASSOCIATES 041 GIL PATTEN & PATTEN 025 GLD SIGMA CAPITAL ASSOCIATES 041 HII	PROSPECTOR PARTNERS LLC 036 CW B LATEFF MGMT 035 ENR S PATTEN & PATTEN 025 ETN S PATTEN & PATTEN 025 EWC S PATTEN & PATTEN 025 EWZ S ROYCE TRADING 012 FINL B BNP PARIBAS SEC 040 FL S PZENA INV ADV 044 FRX B OZ MGMT 040 F C PATTEN & PATTEN 025 GDX S SIGMA CAPITAL ASSOCIATES 041 GIL B PATTEN & PATTEN 025 GLD B SIGMA CAPITAL ASSOCIATES 041 GPS B PZENA INV ADV 044 HII B	PROSPECTOR PARTNERS LLC 036 CW B 10,000 LATEFF MGMT 035 ENR S 1,500 PATTEN & PATTEN 025 ETN S 125 PATTEN & PATTEN 025 EWC S 500 PATTEN & PATTEN 025 EWZ S 100 ROYCE TRADING 012 FINL B 3,000 BNP PARIBAS SEC 040 FL S 31,200 PZENA INV ADV 044 FRX B 2,800 OZ MGMT 040 F C 160,254 PATTEN & PATTEN 025 GDX S 160 SIGMA CAPITAL ASSOCIATES 041 GIL B 25,000 PATTEN & PATTEN 025 GLD B 25 SIGMA CAPITAL ASSOCIATES 041 GPS B 50,000 PZENA INV ADV 044 HII B 1,300	PROSPECTOR PARTNERS LLC 036 CW B 10,000 33.64 LATEFF MGMT 035 ENR S 1,500 76.44 PATTEN & PATTEN 025 EWC S 500 32.73 PATTEN & PATTEN 025 EWZ S 100 74.60 ROYCE TRADING 012 FINL B 3,000 22.24 BNP PARIBAS SEC 040 FL S 31,200 22.42 PZENA INV ADV 044 FRX B 2,800 34.34 OZ MGMT 040 F C 160,254 15.15 PATTEN & PATTEN 025 GDX S 160 56.86 SIGMA CAPITAL ASSOCIATES 041 GIL B 25,000 37.46 PATTEN & PATTEN 025 GLD B 25 147.70 SIGMA CAPITAL ASSOCIATES 041 GPS B 50,000 23.03 PZENA INV ADV 044 HII B 1,300 39.99	PROSPECTOR PARTNERS LLC 036 CW B 10,000 33.64 n/a LATEFF MGMT 035 ENR S 1,500 76.44 n/a PATTEN & PATTEN 025 ETN S 125 51.74 n/a PATTEN & PATTEN 025 EWC S 500 32.73 n/a PATTEN & PATTEN 025 EWZ S 100 74.60 n/a ROYCE TRADING 012 FINL B 3,000 22.24 n/a BNP PARIBAS SEC 040 FL S 31,200 22.42 n/a PZENA INV ADV 044 FRX B 2,800 34.34 n/a PATTEN & PATTEN 025 GDX S 160,254 15.15 n/a SIGMA CAPITAL ASSOCIATES 041 GIL B 25,000 37.46 n/a SIGMA CAPITAL ASSOCIATES 041 GPS B 50,000 23.03 n/a PZENA INV ADV 044 HII B 1,300 39.99 n/a	PROSPECTOR PARTNERS LLC 036 CW B 10,000 33.64 n/a n/a n/a LATEFF MGMT 035 ENR S 1,500 76.44 n/a 28-Apr PATTEN & PATTEN 025 EWC S 500 32.73 n/a n/a n/a PATTEN 6 PATTEN 025 EWZ S 100 74.60 n/a n/a 10-May ENP PARTBAS SEC 040 FL S 31,200 22.24 n/a 10-May ENP PARTBAS SEC 040 FL S 31,200 22.42 n/a 3-Mar PATTEN 6 PATTEN 044 FRX B 2,800 34.34 n/a 9-May OZ MGMT 040 F C 160,254 15.15 n/a 4-May PATTEN 6 PATTEN 025 GDX S 160 56.86 n/a n/a SIGMA CAPITAL ASSOCIATES 041 GPS B 25,000 37.46 n/a 25-Apr PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a n/a 10-May PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 10-May PATTEN 6 PATTEN 025 GLD B 25,000 37.46 n/a 10-May PATTEN 025 GLD B 25,000 37.46 n/a 10-May PATTEN 025 GLD B 1,300 39.99 n/a n/a 10-May PATTEN 100 100 100 100 100 100 100 100 100 10	PROSPECTOR PARINERS LLC 036 CW B 10,000 33.64 n/a n/a 1400.00 LATEFF MCMT 035 ENR S 1,500 76.44 n/a 28-Apr 225.00 PATTEN & PATTEN 025 ETN S 125 51.74 n/a 20-Apr 6.25 PATTEN & PATTEN 025 EWC S 500 32.73 n/a n/a 1.25.00 PATTEN & PATTEN 025 EWC S 100 74.60 n/a n/a 5.00 ROYCE TRADING 012 FINL B 3,000 22.24 n/a 10-May 150.00 ENP PARIBAS SEC 040 FL S 31,200 22.42 n/a 3-Mar 1,560.00 PZENA INV ADV 044 FRX B 2,800 34.34 n/a 9-May 98.00 CZ MCMT 040 F C 160,254 15.15 n/a 4-May 4,807.62 PATTEN & PATTEN 025 GDX S 160 56.86 n/a n/a 1.25 SICMA CAPITAL ASSOCIATES 041 GPS B 25,000 37.46 n/a 25-Apr 875.00 PATTEN & PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr 875.00 PATTEN & PATTEN 025 GLD B 25,000 37.46 n/a 25-Apr 875.00 PATTEN & PATTEN 025 GLD B 25,000 37.46 n/a 1.25 SICMA CAPITAL ASSOCIATES 041 GPS B 50,000 23.03 n/a n/a 1.750.00 PZENA INV ADV 044 HII B 1,300 39.99 n/a n/a 45.50

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PZENA INV ADV	044	HPQ	В	10,700	41.70	n/a	n/a	374.50	3.5
JANA CAPITAL	044	IP	С	50,000	32.85	n/a	28-Apr	2,000.00	4.0
PZENA INV ADV	044	JAKK	В	1,875	20.46	n/a	n/a	65.63	3.5
GREEN ARROW DOUG	040	JNY	В	20,000	12.90	n/a	28-Apr	1,000.00	5.0
PZENA INV ADV	044	JNY	В	850	12.92	n/a	28-Apr	29.76	3.5
LATEFF MGMT	035	KFT	S	1,500	34.10	n/a	n/a	150.00	10.0
LATEFF MGMT	035	KR	S	7,000	24.47	n/a	n/a	650.00	9.5
MA CAPITAL MGMT/MELLON AD	V041	KSS	В	2,000	52.36	n/a	6-May	100.00	5.0
MA CAPITAL MGMT/MELLON AD	V041	KSS	S	2,000	52.97	n/a	6-May	100.00	5.0
TALPION LLC	040	LOW	S	5,000	26.10	n/a	25-Apr	200.00	4.0
BMO NESBITT BURNS	041	LPX	В	20,000	8.70	n/a	10-May	600.00	3.0
MA CAPITAL MGMT/MELLON AD	V041	LPX	В	3,500	8.75	n/a	10-May	175.00	5.0
PATTEN & PATTEN	025	MCD	В	100	79.64	n/a	9-May	5.00	5.0
MATRIX ASSET ADV.	091	МНР	s	2,000	42.00	n/a	n/a	80.00	4.0
BERMAN CAPITAL MGMT	046	MSFT	S	30,000	25.48	n/a	n/a	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	М	В	50,000	26.47	n/a	6-Мау	1,500.00	3.0
COOPER CREEK PART	028	NP	SS	12,500	22.83	n/a	15-Apr	500.00	4.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
PATTEN & PATTEN	025	NUAN	В	300	21.64	n/a	n/a	15.00	5.0	
PATTEN & PATTEN	025	PGX	В	1,500	14.47	n/a	n/a	75.00	5.0	
MERRILL ASSET/BLACKROCK	297	RJF	S	15,700	35.29	n/a	n/a	628.00	4.0	
SONTERRA CAP	041	RKT	S	20,000	71.21	n/a	n/a	800.00	4.0	
BUCK CAPITAL MGMT	001	RL	s	15,000	132.23	n/a	25-Apr	450.00	3.0	
NEUBERGER BERMAN	036	ROL	В	12,800	20.53	n/a	n/a	512.00	4.0	
BRONSON POINT	036	SEE	S	5,000	26.07	n/a	n/a	150.00	3.0	
BRONSON POINT	036	SPR	S	10,000	23.62	n/a	5-May	300.00	3.0	
FIRST NEW YORK LEDDY	035	S	В	20,000	5.28	n/a	n/a	800.00	4.0	
FIRST NEW YORK NICK	029	S	S	10,000	5.30	n/a	n/a	500.00	5.0	
NEUBERGER BERMAN	036	TECH	В	10,300	79.59	n/a	n/a	412.00	4.0	
LATEFF MGMT	035	TEVA	В	300	46.85	n/a	10-May	60.00	20.0	
PATTEN & PATTEN	025	TIP	S	250	110.99	n/a	n/a	12.50	5.0	
M&I FUNDS	047	TJX	S	29,051	53.20	n/a	6-May	1,162.04	4.0	
PIONEER PATH	028	TSN	В	100,000	17.88	n/a	n/a	3,000.00	3.0	
PZENA INV ADV	044	VVI	S	7,042	25.03	n/a	n/a	246.47	3.5	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
MATRIX ASSET ADV.	091	WAG	S	1,500	43.21	n/a	n/a	60.00 4.0
BNP PARIBAS SEC	040	WRC	В	49,800	56.98	n/a	6-May	2,490.00 5.0

TOTAL (Trade Date): 40,039.86

Cancel/Corrects and As-Of Trades

Туре	Date	Account		Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
AO,CXL	05/09	MACQUARIE INVESTMENT MGMT. (MACQFLIP)	040	AAP	SS	2,500	65.62	n/a	n/a	100.00	4.0
AO, CRT	05/09	MACQUARIE INVESTMENT MGMT. (MACQFLIP)	040	AAP	SS	2,500	65.62	n/a	n/a	0.00	0.0
AO,CXL	05/06	EVERCORE WEALTH MGMT (EVERMAIN)	012	CYB	В	10,000	25.58	n/a	n/a	400.00	4.0
AO, CRT	05/06	EVERCORE WEALTH MGMT (EVERMAIN)	012	CYB	В	10,000	25.58	n/a	n/a	500.00	5.0
AO,	05/09	ENTRUST CAPITAL (ENTRMORGAN)	040	ITT	В	3,000	57.89	n/a	4-May	150.00	5.0
AO,	05/09	ENTRUST CAPITAL (ENTRGOLDMA)	040	ITT	В	10,400	57.89	n/a	4-May	520.00	5.0
AO,CXL	05/09	MACQUARIE INVESTMENT MGMT. (MACQFLIP)	040	LOW	В	10,000	25.81	n/a	25-Apr	400.00	4.0
AO, CRT	05/09	MACQUARIE INVESTMENT MGMT. (MACQFLIP)	040	LOW	В	10,000	25.81	n/a	25-Apr	0.00	0.0
AO,CXL	05/09	MACQUARIE INVESTMENT MGMT. (MACQFLIP)	040	NDN	В	5,000	20.32	n/a	29-Apr	200.00	4.0
AO, CRT	05/09	MACQUARIE INVESTMENT MGMT. (MACQFLIP)	040	NDN	В	5,000	20.32	n/a	29-Apr	0.00	0.0
AO,CXL	05/09	MACOUARIE INVESTMENT MGMT. (MACOFLIP)	040	NWY	В	5,000	5.60	n/a	n/a	200.00	4.0
AO, CRT	05/09	MACQUARIE INVESTMENT MGMT. (MACQFLIP)	040	NWY	В	5,000	5.60	n/a	n/a	0.00	0.0
AO,	05/09	NOMURA CAPITAL (NOMUSTRAT)	029	TXI	SS	966	40.02	n/a	n/a	28.98	3.0
AO,	05/09	NOMURA CAPITAL (NOMUBATT2)	029	TXI	SS	442	40.02	n/a	n/a	13.26	3.0
AO,	05/09	NOMURA CAPITAL (NOMUBSMAIN)	029	TXI	SS	792	40.02	n/a	n/a	23.76	3.0

TOTAL (AO, CXL, CRT): -64.00

TOTAL (Trade Date): 40,039.86

TOTAL (AO, CXL, CRT): -64.00

TOTAL (RUN DATE) / NFS: 39,975.86

Legend:

O: 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