



Daily Compliance Activity Report

Trade Date: 05/17/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	AMP	B	9,617	61.51	n/a	n/a	384.68	4.0
MILLRACE FUND LP	028	ANF	S	4,000	72.93	n/a	6-May	160.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	72.50	n/a	6-May	875.00	3.5
ADAGE CAPITAL MGMT	030	AOS	S	1,399	40.84	n/a	16-May	41.97	3.0
PIONEER PATH	028	ART	SS	13,633	14.65	n/a	n/a	408.99	3.0
TRELLUS PARTNERS LP	028	AXL	SS	60,000	11.11	n/a	2-May	3,000.00	5.0
LISTED ERR	099	AXL	B	100	11.15	n/a	2-May	0.00	0.0
LISTED ERR	099	AXL	SS	100	11.18	n/a	2-May	0.00	0.0
PIONEER PATH	028	BXS	B	70,491	12.92	n/a	n/a	2,114.73	3.0
MILLENNIUM-ANDEW	031	CAT	B	5,000	101.81	n/a	2-May	300.00	6.0
CRAMER ROSENTHAL/SCOTT	012	CBI	B	85,950	36.81	n/a	n/a	3,438.00	4.0
COUGAR TRADING	044	CBRL	B	10,000	52.16	n/a	n/a	500.00	5.0
PIONEER PATH	028	CFR	SS	13,116	58.47	n/a	n/a	393.48	3.0
THIRD COAST CAPITAL	035	CVGI	S	15,000	15.51	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	297	DCOM	S	27,400	13.88	n/a	n/a	1,096.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	20,000	53.13	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	DKS	B	2,700	39.12	n/a	12-May	270.00	10.0
CAERUS GLOBAL	041	DKS	SS	10,100	39.50	n/a	12-May	404.00	4.0
TALPION LLC	040	DLTR	S	5,000	60.14	n/a	16-May	200.00	4.0
ARCHON CAPITAL	035	EGHT	B	125,000	2.86	n/a	n/a	3,750.00	3.0
ROYCE TRADING	012	FINL	B	48,000	21.61	n/a	10-May	2,400.00	5.0
FORWARD MGMT	033	GGC	S	20,000	27.82	n/a	n/a	800.00	4.0
EVERCORE WEALTH MGMT	012	GLD	S	71,624	143.70	n/a	n/a	2,864.96	4.0
OZ MGMT	040	GM	C	29,316	31.01	n/a	6-May	879.48	3.0
PHILADELPHIA FINANCIAL	033	GM	C	95,082	31.01	n/a	6-May	3,803.28	4.0
LANE GATE PARTNERS LLC	012	HD	B	4,000	37.75	n/a	11-May	120.00	3.0
SIGMA CAPITAL ASSOCIATES	041	HD	B	50,000	37.44	n/a	11-May	1,750.00	3.5
ROSEDALE CAPITAL	046	HES	B	10,724	74.31	n/a	n/a	536.20	5.0
ROSEDALE CAPITAL	046	HES	S	10,724	75.05	n/a	n/a	536.20	5.0
BMO NESBITT BURNS	041	IP	SS	27,000	31.25	n/a	28-Apr	1,350.00	5.0
ENTRUST CAPITAL	040	ITT	B	13,700	56.42	n/a	4-May	685.00	5.0
JP MORGAN VENTURES	046	KR	S	10,000	25.23	n/a	n/a	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LOW	SS	25,000	24.64	n/a	16-May	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	40,000	8.15	n/a	10-May	2,000.00	5.0
AVESTA CAP	229	MCD	S	150,000	80.91	n/a	9-May	4,500.00	3.0
SANDLER O'NEILL ASSET	031	MS	S	10,000	24.19	n/a	17-May	500.00	5.0
BMO NESBITT BURNS	041	MWV	S	2,000	32.99	n/a	27-Apr	100.00	5.0
CR INTRINIC INVESTMENT	044	M	S	15,000	28.40	n/a	12-May	525.00	3.5
ENTRUST CAPITAL	040	NLC	B	20,300	28.67	n/a	n/a	1,015.00	5.0
CYPRESS CAP MGMT LLC	040	NYT	B	94,500	7.25	n/a	n/a	3,780.00	4.0
FARALLON CAP MGMT	040	ORCL	B	50,000	33.90	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	OXM	S	19,329	38.86	n/a	n/a	773.16	4.0
ROYCE TRADING	012	PLCE	B	21,538	53.96	n/a	13-May	1,076.90	5.0
TRUSTCO/SUNTRUST	040	PRM	S	38,684	7.01	n/a	n/a	1,353.99	3.5
BUCK CAPITAL MGMT	001	PVH	B	10,000	66.81	n/a	25-Apr	300.00	3.0
EVERCORE WEALTH MGMT	012	SLB	S	10,160	80.98	n/a	n/a	508.00	5.0
PIONEER PATH	028	STZ	B	36,800	22.72	n/a	n/a	1,104.00	3.0
MERRILL ASSET/BLACKROCK	297	SUSQ	S	48,220	8.57	n/a	n/a	1,928.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TJX	B	10,000	52.51	n/a	6-May	300.00	3.0
ROTHSCHILD ASSET	040	WAT	S	9,699	95.62	n/a	n/a	387.96	4.0
BMO NESBITT BURNS	041	WY	B	4,000	21.57	n/a	29-Apr	200.00	5.0
TOTAL (Trade Date):							57,539.78		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/13	LIONEYE CAPITAL (LIONCSPBAC)	040	BIG	B	10,000	38.54	n/a	5-May	400.00 4.0
AO,CXL	05/13	LIONEYE CAPITAL (LIONGSMAFD)	040	BIG	B	10,000	38.54	n/a	5-May	400.00 4.0
AO,CRT	05/16	MATRIX ASSET ADV. (MATXVALLMH)	091	HRS	B	2,000	48.54	n/a	4-May	80.00 4.0
AO,CXL	05/16	MATRIX ASSET ADV. (MATXLIBERT)	091	HRS	B	2,000	48.54	n/a	4-May	80.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	57,539.78
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	57,539.78
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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