



Daily Compliance Activity Report

Trade Date: 05/23/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AGCO	C	5,000	48.27	n/a	27-Apr	150.00	3.0
OZ MGMT	040	AXL	C	118,002	10.71	n/a	2-May	3,540.06	3.0
TRELLUS PARTNERS LP	028	AXL	SS	7,855	10.96	n/a	2-May	392.75	5.0
CHILTON CAPITAL MGMT.	036	BIG	B	25,000	33.82	n/a	19-May	750.00	3.0
DELTEC ASSET MGMT.	040	BONT	B	20,000	9.95	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	58.93	n/a	27-Apr	300.00	3.0
ROYAL CAPITAL MGMT	070	CVS	S	200,000	38.20	n/a	n/a	10,000.00	5.0
ROSEDALE CAPITAL	046	C	B	10,000	40.35	n/a	17-May	500.00	5.0
SANDLER O'NEILL ASSET	031	C	B	2,500	40.38	n/a	17-May	50.00	2.0
MERRILL ASSET/BLACKROCK	297	DCOM	S	40,000	13.73	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	100,000	52.98	n/a	n/a	3,000.00	3.0
NEUBERGER BERMAN	036	DHR	B	42,157	53.63	n/a	n/a	1,686.28	4.0
ROYCE TRADING	012	FINL	B	32,000	22.20	n/a	10-May	1,600.00	5.0
OZ MGMT	040	F	SS	250,000	14.70	n/a	4-May	7,500.00	3.0
SUN AMERICA ASSET MGMT	030	GES	S	19,100	40.89	n/a	25-Apr	764.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T/SES PART	033	GM	SS	25,000	30.88	n/a	6-May	1,000.00	4.0
OZ MGMT	040	GM	C	65,000	31.04	n/a	6-May	1,950.00	3.0
CYPRESS CAP MGMT LLC	040	GPS	B	37,700	19.45	n/a	n/a	1,508.00	4.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	30.11	n/a	21-Apr	2,500.00	5.0
KLEINHEINZ CAP PART	031	HRB	S	95,000	15.95	n/a	n/a	4,750.00	5.0
JET CAPITAL/CHRIS	041	HTZ	S	100,000	15.67	n/a	n/a	3,000.00	3.0
RIDGECREST INV MGMT LLC	028	IP	S	15,000	30.52	n/a	28-Apr	750.00	5.0
NEUBERGER BERMAN	036	KO	B	42,417	67.61	n/a	20-May	1,696.68	4.0
CHILTON CAPITAL MGMT.	036	LTD	B	25,000	40.15	n/a	n/a	750.00	3.0
CHILTON CAPITAL MGMT.	036	LTD	C	12,828	40.06	n/a	n/a	384.84	3.0
RWC PARTNERS LTD	085	MOS	B	31,611	66.79	n/a	n/a	948.33	3.0
RIDGECREST INV MGMT LLC	028	MWV	S	10,000	32.50	n/a	27-Apr	500.00	5.0
LISTED ERR	099	MWW	B	10,000	14.69	n/a	n/a	0.00	0.0
LISTED ERR	099	MWW	S	10,000	14.65	n/a	n/a	0.00	0.0
FIRST INV MGMT CO	029	NSM	S	36,000	24.57	n/a	n/a	1,800.00	5.0
ROTHSCHILD ASSET	040	OMG	B	11,520	35.95	n/a	n/a	460.80	4.0
NEUBERGER BERMAN	036	PEP	B	63,814	71.01	n/a	n/a	2,552.56	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	PLCE	B	5,000	50.96	n/a	20-May	250.00	5.0
SAC TRADING TOM LEDDY	035	PSS	SS	25,000	18.50	n/a	n/a	0.00	0.0
GEOSPHERE CAPITAL MGMT	084	SD	S	18,500	10.11	n/a	n/a	555.00	3.0
LATEFF MGMT	035	SPLS	B	4,600	16.75	n/a	n/a	502.00	11.2
MERRILL ASSET/BLACKROCK	297	SUSQ	S	122,300	8.59	n/a	n/a	4,892.00	4.0
CASTLEROCK	040	S	B	100,000	5.57	n/a	n/a	4,000.00	4.0
SAC COHEN	044	TJX	B	10,000	53.08	n/a	18-May	350.00	3.5
NEUBERGER BERMAN	036	TWX	B	62,416	36.19	n/a	n/a	2,496.64	4.0
SONTERRA CAP	041	WRC	SS	100,000	54.31	n/a	6-May	4,000.00	4.0
TOTAL (Trade Date) :								74,229.94	

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):									74,229.94
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									74,229.94
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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