



Daily Compliance Activity Report

Trade Date: 05/27/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ABT	S	10,918	51.56	n/a	n/a	436.72	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	19,839	76.69	n/a	19-May	694.37	3.5
TRELLUS PARTNERS LP	028	AXL	SS	35,000	11.20	n/a	25-May	1,750.00	5.0
LIONEYE CAPITAL	040	BIG	B	600	32.00	n/a	27-May	24.00	4.0
LISTED ERR	099	BWA	B	380	71.83	n/a	29-Apr	0.00	0.0
BRANDWINE	028	CLX	S	79,070	69.35	n/a	9-May	3,162.80	4.0
CATAPULT	040	CMA	S	5,000	35.75	n/a	n/a	200.00	4.0
FIRST INV MGMT CO	029	DNB	B	6,000	79.44	n/a	n/a	300.00	5.0
ROTHSCHILD ASSET	040	DOX	B	11,014	30.35	n/a	n/a	440.56	4.0
CIRCLE T/SES PART	033	F	B	50,000	14.59	n/a	25-May	2,000.00	4.0
OZ MGMT	040	F	SS	75,000	14.50	n/a	25-May	2,250.00	3.0
CIRCLE T/SES PART	033	GM	SS	5,000	31.32	n/a	25-May	200.00	4.0
OZ MGMT	040	GM	C	58,081	30.65	n/a	25-May	1,742.43	3.0
ROTHSCHILD ASSET	040	HCP	S	7,721	37.19	n/a	n/a	308.84	4.0
CAERUS GLOBAL	041	JWN	B	10,000	46.39	n/a	27-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	MWV	S	30,000	33.54	n/a	27-Apr	1,200.00	4.0
ROTHSCHILD ASSET	040	OKE	S	12,797	70.10	n/a	n/a	511.88	4.0
ROTHSCHILD ASSET	040	OMG	B	22,049	37.26	n/a	n/a	881.96	4.0
ROYCE TRADING	012	PLCE	B	1,000	50.39	n/a	20-May	50.00	5.0
BRANDWINE	028	SWY	B	101,690	24.52	n/a	n/a	4,067.60	4.0
BMO NESBITT BURNS	041	WY	B	6,000	21.18	n/a	19-May	300.00	5.0
TOTAL (Trade Date) :								20,921.16	

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):									20,921.16
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									20,921.16
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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