



Daily Compliance Activity Report

Trade Date: 05/19/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	ABT	SS	50,000	53.28	n/a	n/a	1,500.00	3.0
PIONEER PATH	028	AEO	B	80,000	14.59	n/a	10-May	2,400.00	3.0
COUGAR TRADING	044	ANN	SS	5,000	30.46	n/a	n/a	250.00	5.0
ADAGE CAPITAL MGMT	030	AOS	S	200	41.00	n/a	16-May	6.00	3.0
COUGAR TRADING	044	ARCO	B	5,000	21.99	n/a	n/a	250.00	5.0
METROPOLITAN CAPITAL	044	ARO	S	8,100	21.13	n/a	6-May	405.00	5.0
NEWLAND CAPITAL MGT	025	AXAS	S	50,000	4.10	n/a	n/a	1,000.00	2.0
BMO NESBITT BURNS	041	AXL	B	42,200	11.35	n/a	2-May	2,110.00	5.0
BNP PARIBAS SEC	040	BA	B	20,000	77.99	n/a	4-May	1,000.00	5.0
RAINIER INV MGMT	035	BHI	B	113,890	70.47	n/a	n/a	4,555.60	4.0
AAD CAPITAL	084	BIG	B	30,000	33.96	n/a	19-May	1,200.00	4.0
BMO NESBITT BURNS	041	BIG	B	3,000	34.04	n/a	19-May	150.00	5.0
EGS ASSOCIATES LP	091	BIG	B	6,000	33.66	n/a	19-May	360.00	6.0
FIRST NY SEC/CHRIS	041	BIG	S	15,000	33.92	n/a	19-May	750.00	5.0
GREEN ARROW DOUG	040	BIG	B	10,000	33.81	n/a	19-May	500.00	5.0
RIDGECREST INV MGMT LLC	028	BIG	B	10,000	34.09	n/a	19-May	500.00	5.0
TALPION LLC	040	BIG	B	15,000	33.85	n/a	19-May	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	070	BIG	B	25,000	33.80	n/a	19-May	1,250.00	5.0
CAERUS GLOBAL	041	BJ	S	20,000	51.79	n/a	n/a	800.00	4.0
JENNISON	070	BRCM	S	886,551	33.69	n/a	n/a	32,802.43	3.7
CHART WELL ADV	028	CAKE	B	145,525	31.57	n/a	21-Apr	5,821.00	4.0
NEWLAND CAPITAL MGT	025	CNW	S	20,000	38.42	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	CNX	B	15,000	49.14	n/a	n/a	600.00	4.0
MILLENNIUM PARTNERS ICSUS	041	COP	SS	484	72.63	n/a	n/a	24.20	5.0
MILLENNIUM PARTNERS ICSUS	041	COP	S	42,016	72.65	n/a	n/a	2,100.80	5.0
ISLE RIDGE PARTNERS	041	CTB	S	45,000	23.97	n/a	n/a	1,800.00	4.0
NEWLAND CAPITAL MGT	025	CYT	B	5,000	55.46	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	297	DCOM	S	13,364	13.87	n/a	n/a	534.56	4.0
RIDGECREST INV MGMT LLC	028	ERY	B	10,000	15.51	n/a	n/a	500.00	5.0
ROYCE TRADING	012	FINL	B	10,000	21.60	n/a	10-May	500.00	5.0
BNP PARIBAS SEC	040	FL	B	25,000	22.32	n/a	19-May	1,250.00	5.0
GREEN ARROW DOUG	040	F	S	25,000	15.11	n/a	4-May	1,250.00	5.0
BAIRD INVESTMENT	047	GLW	S	40,275	20.07	n/a	27-Apr	2,013.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ISLE RIDGE PARTNERS	041	GM	B	15,000	31.44	n/a	6-May	600.00	4.0
ISLE RIDGE PARTNERS	041	GPC	SS	25,000	55.08	n/a	n/a	1,000.00	4.0
HARVEST MGMT	029	GPS	S	25,000	23.15	n/a	n/a	1,000.00	4.0
TALPION LLC	040	HD	B	5,000	37.30	n/a	18-May	200.00	4.0
BNP PARIBAS SEC	040	HIBB	SS	25,000	37.22	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	HIBB	SS	5,000	37.25	n/a	n/a	250.00	5.0
SUFFOLK CAPITAL MGMT	040	KFT	B	81,400	35.02	n/a	n/a	3,256.00	4.0
DC CAPITAL	044	LPX	B	200,000	8.23	n/a	19-May	8,000.00	4.0
BMO NESBITT BURNS	041	MGM	B	25,000	15.34	n/a	10-May	1,250.00	5.0
FIRST NY SEC/CHRIS	041	MGM	B	15,000	15.27	n/a	10-May	750.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	MGM	B	13,000	15.19	n/a	10-May	650.00	5.0
Õ Nilsa Vazquez		MOS	B	100	66.2500	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	MOS	B	10,000	67.77	n/a	n/a	400.00	4.0
SURVEYOR CAPITAL	041	MRK	S	37,500	37.23	n/a	n/a	1,125.00	3.0
MILLENNIUM PARTNERS ICSUS	041	MRO	B	65,000	52.17	n/a	n/a	3,250.00	5.0
GREEN ARROW DOUG	040	MS	S	25,000	24.25	n/a	17-May	1,250.00	5.0
BRONSON POINT	036	MWW	B	25,000	15.04	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYRUS CAPITAL	025	NCMI	B	25,000	16.99	n/a	n/a	1,000.00	4.0
CATAPULT	040	NEU	SS	1,000	174.47	n/a	n/a	40.00	4.0
COOPER CREEK PART	028	NP	SS	3,697	22.22	n/a	11-May	147.88	4.0
ISLE RIDGE PARTNERS	041	ORLY	SS	25,000	58.57	n/a	n/a	1,000.00	4.0
KENNEDY CAPITAL	046	OXM	S	7,352	38.80	n/a	n/a	294.08	4.0
COHE & STEERS	041	PCL	B	66,666	40.84	n/a	27-Apr	2,666.64	4.0
ROYCE TRADING	012	PLCE	B	22,462	53.24	n/a	19-May	1,123.10	5.0
NEWLAND CAPITAL MGT	025	SWFT	S	20,941	13.75	n/a	n/a	837.64	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.25	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	B	20,000	5.33	n/a	n/a	1,000.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	63,000	23.54	n/a	19-May	2,520.00	4.0
AVESTA CAP	229	TJX	SS	50,000	52.21	n/a	18-May	1,500.00	3.0
ST OF MICHIAN	047	TMO	B	40,000	65.39	n/a	n/a	1,200.00	3.0
AMBER CAPITAL	046	TSU	B	25,000	48.45	n/a	n/a	1,000.00	4.0
ISLE RIDGE PARTNERS	041	UNP	S	15,000	103.27	n/a	n/a	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	VC	S	10,000	61.90	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	WFT	S	40,000	19.49	n/a	n/a	1,600.00	4.0
ACK ASSET	028	WRC	B	25,000	57.15	n/a	6-May	750.00	3.0
RIDGECREST INV MGMT LLC	028	WSM	B	15,000	41.70	n/a	n/a	750.00	5.0
COOPER CREEK PART	028	WY	SS	10,000	22.02	n/a	19-May	400.00	4.0
TOTAL (Trade Date) :								114,293.68	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/18	KENNEDY CAPITAL (KENN935)	046	OXM	S	700	38.76	n/a	n/a	28.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN734)	046	OXM	S	600	38.76	n/a	n/a	24.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN673)	046	OXM	S	1,900	38.76	n/a	n/a	76.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN308)	046	OXM	S	650	38.76	n/a	n/a	26.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN743)	046	OXM	S	1,950	38.76	n/a	n/a	78.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN485)	046	OXM	S	2,050	38.76	n/a	n/a	82.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN385)	046	OXM	S	1,600	38.76	n/a	n/a	64.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN729)	046	OXM	S	2,350	38.76	n/a	n/a	94.00 4.0
AO,	05/18	KENNEDY CAPITAL (KENN426)	046	OXM	S	9,822	38.76	n/a	n/a	392.88 4.0
TOTAL (AO, CXL, CRT) :										864.88

TOTAL (Trade Date) :	114,293.68
TOTAL (AO, CXL, CRT) :	864.88

TOTAL (RUN DATE) / NFS :	115,158.56
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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