

## **Daily Compliance Activity Report** Trade Date: 05/05/2011

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
PERRY PARTNERS	085	AEO	S	100,000	15.30	n/a	10-Mar	5,000.00	5.0	
ST OF MICHIAN	047	AEO	В	150,000	15.17	n/a	10-Mar	4,500.00	3.0	
ARMATURE CAPITAL	041	ALV	SS	10,000	77.11	n/a	21-Apr	400.00	4.0	
BNP PARIBAS SEC	040	ANF	В	25,000	72.02	n/a	2-May	1,250.00	5.0	
BUCK CAPITAL MGMT	001	ANF	S	20,000	73.33	n/a	2-May	600.00	3.0	
ADAGE CAPITAL MGMT	030	AOS	S	70,000	42.06	n/a	19-Apr	2,100.00	3.0	
TRUSTCO/SUNTRUST	040	AOS	В	21,500	41.97	n/a	19-Apr	752.50	3.5	
MA CAPITAL MGMT/MELLON	ADV041	ARCO	В	5,000	22.99	n/a	n/a	250.00	5.0	
BALYASNY ASSET MGMT	044	ASNA	SS	20,000	31.03	n/a	n/a	1,000.00	5.0	
SCOPUS FUND	041	AXL	В	200,000	11.79	n/a	2-May	8,000.00	4.0	
GREEN ARROW DOUG	040	BAC	В	25,000	12.26	n/a	15-Apr	1,250.00	5.0	
LISTED ERR	099	BBT	В	10	26.64	n/a	n/a	0.00	0.0	
SAC CHICAGO ANDREW	031	BBY	В	15,000	30.87	n/a	n/a	525.00	3.5	
IRIDIAN ASSET MGMT.	036	BSX	SS	98 <b>,</b> 270	7.70	n/a	n/a	2,948.10	3.0	
COOPER CREEK PART	028	BZ	В	3,524	8.28	n/a	n/a	140.96	4.0	
MA CAPITAL MGMT/MELLON	ADV041	BZ	В	5,000	8.31	n/a	n/a	150.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr
MA CAPITAL MGMT/MELLON AI		BZ	B/S S	5,000	8.37	n/a	n/a	150.00	3.0
MA CAPITAL MGMI/MELLON AI	70041	DЦ	ی	3,000	0.37	II/a	II/a	130.00	3.0
BURL CAPITAL LLC	029	COL	SS	10,000	62.80	n/a	5-May	400.00	4.0
BONE ON TIME BEO	023	001		10,000	02.00	11, α	o nay	100.00	1.0
GRANAHAN INV	029	CRR	S	27,800	150.43	n/a	11-Jan	1,112.00	4.0
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KLEINHEINZ CAP PART	031	CTXS	В	25,000	82.40	n/a	n/a	1,250.00	5.0
EVERCORE WEALTH MGMT	012	DBC	S	22,680	29.08	n/a	n/a	1,134.00	5.0
BUCK CAPITAL MGMT	001	DDS	S	10,000	48.37	n/a	n/a	300.00	3.0
BMO NESBITT BURNS	041	DKS	SS	3,000	41.16	n/a	8-Mar	150.00	5.0
IRIDIAN ASSET MGMT.	036	DRI	SS	15,570	49.46	n/a	11-Apr	467.10	3.0
ROARING BLUE LION MGMT	012	FDO	SS	3,740	53.94	n/a	29-Apr	149.60	4.0
ROYCE TRADING	012	FINL	В	18,000	21.42	n/a	25-Mar	900.00	5.0
	0.66		_	F. C.	10.40	,	F	0.064.00	4 0
MERRILL ASSET/BLACKROCK	266	FOR	В	76,600	18.49	n/a	5-May	3,064.00	4.0
CDEEN ADDOM DOMC	0.40	В	C	25 000	15 07	- /-	4 Mars	1 750 00	F 0
GREEN ARROW DOUG	040	F	S SS	35,000	15.07	n/a	4-May	1,750.00	5.0
OZ MGMT	040	F	55	100,000	14.94	n/a	4-May	3,000.00	3.0
BNP PARIBAS SEC	040	GLW	В	30,000	20.37	n/a	27-Apr	1,500.00	5.0
DIME LAWIDAD SEC	040	GTM	D	30,000	20.31	11/ d	Z/-API	1,300.00	J. U
CYRUS CAPITAL	025	GM	В	25,000	32.22	n/a	4-May	1,000.00	4.0
PHILADELPHIA FINANCIAL	033	GM	C	53,894	31.85	n/a	4-May	2,155.76	4.0
WEDBUSH/PACIFIC GROWTH EQ		-	-		000 32.0		-	ay 750	
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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
BERMAN CAPITAL MGMT	046	GPS	В	10,000	23.08	n/a	n/a	300.00	3.0	
ARMATURE CAPITAL	041	GT	В	75 <b>,</b> 000	17.61	n/a	n/a	3,000.00	4.0	
BMO NESBITT BURNS	041	НОТТ	S	7,000	7.07	n/a	n/a	350.00	5.0	
CASTLE ARK	031	INTC	В	775,250	23.55	n/a	n/a	38,762.50	5.0	
RBC CAPITAL MARKETS	040	IPI	В	20,000	31.44	n/a	n/a	800.00	4.0	
ARMATURE CAPITAL	041	ITW	SS	20,000	57.69	n/a	27-Apr	800.00	4.0	
BALLAST CAP	040	JACK	S	20,000	19.70	n/a	n/a	800.00	4.0	
THE JAY GOLDMAN	028	JCP	S	152 <b>,</b> 733	37.90	n/a	2-May	6,109.32	4.0	
SAC TRADING TOM LEDDY	035	JNY	В	50,000	13.24	n/a	28-Apr	1,750.00	3.5	
SONICA CAPITAL LLC	025	JNY	В	56,100	13.29	n/a	28-Apr	1,683.00	3.0	
WINSLOW CAPITAL	030	JPM	В	52 <b>,</b> 300	45.50	n/a	13-Apr	1,569.00	3.0	
RBC CAPITAL MARKETS	040	KEX	В	10,000	54.66	n/a	n/a	400.00	4.0	
BRONSON POINT	036	KMT	SS	20,000	39.72	n/a	29-Apr	600.00	3.0	
THE JAY GOLDMAN	028	KSS	В	108,400	52.88	n/a	2-May	4,336.00	4.0	
OSKIE CAPITAL MGMT	224	LEA	В	5,000	49.53	n/a	2-May	250.00	5.0	
TALPION LLC	040	LOW	S	5,000	25.94	n/a	25-Apr	200.00	4.0	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
GEORGE WEISS	034	LPLA	S	20,000	36.60	n/a	n/a	600.00	3.0	
DAVIDSON KEMPNER ADVISOR	040	LPX	S	50,000	8.92	n/a	14-Apr	2,500.00	5.0	
MA CAPITAL MGMT/MELLON AD	)V041	LVS	В	3,000	43.09	n/a	4-May	150.00	5.0	
ST OF MICHIAN	047	MDT	S	120,000	42.56	n/a	n/a	3,600.00	3.0	
IRIDIAN ASSET MGMT.	036	MHP	SS	18,720	40.89	n/a	n/a	561.60	3.0	
KLEINHEINZ CAP PART	031	MMM	S	50,000	95.83	n/a	26-Apr	2,500.00	5.0	
LEVIN CAPITAL STRATEGIES	012	М	В	50,000	25.71	n/a	2-May	1,500.00	3.0	
GRANAHAN INV	048	OII	S	20,400	79.17	n/a	n/a	816.00	4.0	
COLUMBIA PARTNERS	028	PAG	SS	6,106	22.05	n/a	29-Apr	244.24	4.0	
BARROW HANLEY MEWHINNEY	031	PDCO	S	22,800	35.00	n/a	n/a	798.00	3.5	
LISTED ERR	099	PDCO	В	68	35.00	n/a	n/a	0.00	0.0	
BNP PARIBAS SEC	040	PKG	В	10,000	28.21	n/a	19-Apr	500.00	5.0	
ROYCE TRADING	012	PLCE	В	15,000	52.03	n/a	9-Mar	750.00	5.0	
BMO NESBITT BURNS	041	RUE	В	2,000	30.11	n/a	n/a	100.00	5.0	
COHE & STEERS	041	RYN	В	182,407	65.13	n/a	27-Apr	7,296.28	4.0	
BMO NESBITT BURNS	041	SCVL	В	3,000	26.24	n/a	n/a	150.00	5.0	
	GEORGE WEISS  DAVIDSON KEMPNER ADVISOR  MA CAPITAL MGMT/MELLON AD  ST OF MICHIAN  IRIDIAN ASSET MGMT.  KLEINHEINZ CAP PART  LEVIN CAPITAL STRATEGIES  GRANAHAN INV  COLUMBIA PARTNERS  BARROW HANLEY MEWHINNEY  LISTED ERR  BNP PARIBAS SEC  ROYCE TRADING  BMO NESBITT BURNS  COHE & STEERS	GEORGE WEISS 034  DAVIDSON KEMPNER ADVISOR 040  MA CAPITAL MGMT/MELLON ADV041  ST OF MICHIAN 047  IRIDIAN ASSET MGMT. 036  KLEINHEINZ CAP PART 031  LEVIN CAPITAL STRATEGIES 012  GRANAHAN INV 048  COLUMBIA PARTNERS 028  BARROW HANLEY MEWHINNEY 031  LISTED ERR 099  BNP PARIBAS SEC 040  ROYCE TRADING 012  BMO NESBITT BURNS 041  COHE & STEERS 041	GEORGE WEISS 034 LPLA  DAVIDSON KEMPNER ADVISOR 040 LPX  MA CAPITAL MGMT/MELLON ADV041 LVS  ST OF MICHIAN 047 MDT  IRIDIAN ASSET MGMT. 036 MHP  KLEINHEINZ CAP PART 031 MMM  LEVIN CAPITAL STRATEGIES 012 M  GRANAHAN INV 048 OII  COLUMBIA PARTNERS 028 PAG  BARROW HANLEY MEWHINNEY 031 PDCO  LISTED ERR 099 PDCO  BNP PARIBAS SEC 040 PKG  ROYCE TRADING 012 PLCE  BMO NESBITT BURNS 041 RUE  COHE & STEERS 041 RYN	GEORGE WEISS 034 LPLA S DAVIDSON KEMPNER ADVISOR 040 LPX S MA CAPITAL MGMT/MELLON ADVO41 LVS B ST OF MICHIAN 047 MDT S IRIDIAN ASSET MGMT. 036 MHP SS KLEINHEINZ CAP PART 031 MMM S LEVIN CAPITAL STRATEGIES 012 M B GRANAHAN INV 048 OII S COLUMBIA PARTNERS 028 PAG SS BARROW HANLEY MEWHINNEY 031 PDCO S LISTED ERR 099 PDCO B BNP PARIBAS SEC 040 PKG B ROYCE TRADING 012 PLCE B BMO NESBITT BURNS 041 RUE B COHE & STEERS 041 RYN B	DAVIDSON KEMPNER ADVISOR 040 LPX S 50,000  MA CAPITAL MGMT/MELLON ADV041 LVS B 3,000  ST OF MICHIAN 047 MDT S 120,000  IRIDIAN ASSET MGMT. 036 MHP SS 18,720  KLEINHEINZ CAP PART 031 MMM S 50,000  LEVIN CAPITAL STRATEGIES 012 M B 50,000  GRANAHAN INV 048 OII S 20,400  COLUMBIA PARTNERS 028 PAG SS 6,106  BARROW HANLEY MEWHINNEY 031 PDCO S 22,800  LISTED ERR 099 PDCO B 68  BNP PARIBAS SEC 040 PKG B 10,000  ROYCE TRADING 012 PLCE B 15,000  BMO NESBITT BURNS 041 RUE B 2,000  COHE & STEERS 041 RYN B 182,407	GEORGE WEISS 034 LPLA S 20,000 36.60  DAVIDSON KEMPNER ADVISOR 040 LPX S 50,000 8.92  MA CAPITAL MGMT/MELLON ADV041 LVS B 3,000 43.09  ST OF MICHIAN 047 MDT S 120,000 42.56  IRIDIAN ASSET MGMT. 036 MHP SS 18,720 40.89  KLEINHEINZ CAP PART 031 MMM S 50,000 95.83  LEVIN CAPITAL STRATEGIES 012 M B 50,000 25.71  GRANAHAN INV 048 OII S 20,400 79.17  COLUMBIA PARTNERS 028 PAG SS 6,106 22.05  BARROW HANLEY MEWHINNEY 031 PDCO S 22,800 35.00  LISTED ERR 099 PDCO B 68 35.00  BNP PARIBAS SEC 040 PKG B 10,000 28.21  ROYCE TRADING 012 PLCE B 15,000 52.03  BMO NESBITT BURNS 041 RUE B 2,000 30.11  COHE & STEERS 041 RYN B 182,407 65.13	GEORGE WEISS 034 LPLA S 20,000 36.60 n/a  DAVIDSON KEMPNER ADVISOR 040 LPX S 50,000 8.92 n/a  MA CAPITAL MGMT/MELLON ADV041 LVS B 3,000 43.09 n/a  ST OF MICHIAN 047 MDT S 120,000 42.56 n/a  IRIDIAN ASSET MGMT. 036 MHP SS 18,720 40.89 n/a  KLEINHEINZ CAP PART 031 MMM S 50,000 95.83 n/a  LEVIN CAPITAL STRATEGIES 012 M B 50,000 25.71 n/a  GRANAHAN INV 048 OII S 20,400 79.17 n/a  COLUMBIA PARTNERS 028 PAG SS 6,106 22.05 n/a  BARROW HANLEY MEWHINNEY 031 PDCO S 22,800 35.00 n/a  LISTED ERR 099 PDCO B 68 35.00 n/a  BNP PARIBAS SEC 040 PKG B 10,000 28.21 n/a  ROYCE TRADING 012 PLCE B 15,000 52.03 n/a  EMO NESRITT BURNS 041 RUE B 2,000 30.11 n/a  COHE & STEERS 041 RYN B 182,407 65.13 n/a	GEORGE WEISS 034 LPLA S 20,000 36.60 n/a n/a  DAVIDSON KEMPNER ADVISOR 040 LPX S 50,000 8.92 n/a 14-Apr  MA CAPITAL MGMT/MELLON ADV041 LVS B 3,000 43.09 n/a 4-May  ST OF MICHIAN 047 MDT S 120,000 42.56 n/a n/a  IRIDIAN ASSET MGMT. 036 MHP SS 18,720 40.89 n/a n/a  KLEINHEINZ CAP PART 031 MMM S 50,000 95.83 n/a 26-Apr  LEVIN CAPITAL STRATEGIES 012 M B 50,000 25.71 n/a 2-May  GRANAHAN INV 048 0II S 20,400 79.17 n/a n/a  COLUMBIA PARTNERS 028 PAG SS 6,106 22.05 n/a 29-Apr  BARROW HANLEY MEWHINNEY 031 PDCO S 22,800 35.00 n/a n/a  LISTED ERR 099 PDCO B 68 35.00 n/a n/a  BNP PARIBAS SEC 040 PKG B 10,000 28.21 n/a 19-Apr  ROYCE TRADING 012 PLCE B 15,000 52.03 n/a 9-Mar  BMO NESBITT BURNS 041 RUE B 2,000 30.11 n/a n/a  COHE & STEERS 041 RYN B 182,407 65.13 n/a 27-Apr	GEORGE WEISS 034 LPLA S 20,000 36.60 n/a n/a 600.00  DAVIDSON KEMPNER ADVISOR 040 LPX S 50,000 8.92 n/a 14-Apr 2,500.00  MA CAPITAL MGMI/MELLON ADV041 LVS B 3,000 43.09 n/a 4-May 150.00  ST OF MICHIAN 047 MDT S 120,000 42.56 n/a n/a 3,600.00  IRIDIAN ASSET MCMT. 036 MHP SS 18,720 40.89 n/a n/a 561.60  KLEINHEINZ CAP PART 031 MMM S 50,000 95.83 n/a 26-Apr 2,500.00  LEVIN CAPITAL STRATEGIES 012 M B 50,000 25.71 n/a 2-May 1,500.00  GRANAHAN INV 048 0II S 20,400 79.17 n/a n/a 816.00  COLUMBIA PARTNERS 028 PAG SS 6,106 22.05 n/a 29-Apr 2444.24  BARROW HANLEY MEWHINNEY 031 PDCO S 22.800 35.00 n/a n/a 798.00  LISTED ERR 099 PDCO B 68 35.00 n/a n/a n/a 0.00  ROYCE TRADING 012 PLCE B 15,000 28.21 n/a 19-Apr 500.00  ROYCE TRADING 012 PLCE B 15,000 52.03 n/a 9-Mar 750.00  BMO NESBITT BURNS 041 RUE B 2,000 30.11 n/a n/a 100.00	GEORGE WEISS 034 LPLA S 20,000 36.60 n/a n/a 600.00 3.0  DAVIDSON KEMPNER ADVISOR 040 LPX S 50,000 8.92 n/a 14-Apr 2,500.00 5.0  MA CAPITAL MCMI/MELLON ADVO41 LVS B 3,000 43.09 n/a 4-May 150.00 5.0  ST OF MICHIAN 047 MDT S 120,000 42.56 n/a n/a 3,600.00 3.0  RIDIAN ASSET MCMT. 036 MHP SS 18,720 40.89 n/a n/a 561.60 3.0  KLEINHEINZ CAP PART 031 MMM S 50,000 95.83 n/a 26-Apr 2,500.00 5.0  LEVIN CAPITAL STRATEGIES 012 M B 50,000 25.71 n/a 2-May 1,500.00 3.0  GRANAHAN INV 049 OII S 20,400 79.17 n/a n/a n/a 816.00 4.0  COLUMBIA PARTNERS 028 PAG SS 6,106 22.05 n/a 29-Apr 244.24 4.0  BARRON HANLEY MEWHINNEY 031 PDCO S 22,800 35.00 n/a n/a n/a 798.00 3.5  LISTED ERR 099 PDCO B 68 35.00 n/a n/a n/a 0.00 0.0  ENP FARIERS SEC 040 PKG B 10,000 28.21 n/a 19-Apr 500.00 5.0  ENO NESBITT BURNS 041 RUE B 2,000 30.11 n/a n/a n/a 100.00 5.0  EMO NESBITT BURNS 041 RUE B 2,000 30.11 n/a n/a n/a 100.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WEISS PECK	040	SDS	S	19,900	20.23	n/a	n/a	597.00	3.0
SAC CHICAGO ANDREW	031	SYY	В	21,600	28.81	n/a	n/a	756.00	3.5
DELTEC ASSET MGMT.	040	TEN	В	10,000	42.85	n/a	n/a	500.00	5.0
SAC CHICAGO ANDREW	031	TGT	S	100,000	50.62	n/a	5-May	3,500.00	3.5
NEUBERGER BERMAN	036	TISI	S	34,371	21.98	n/a	n/a	1,374.84	4.0
SCOPUS FUND	041	TRW	SS	25,100	55.39	n/a	n/a	1,004.00	4.0
BNP PARIBAS SEC	040	USG	В	30,000	15.02	n/a	20-Apr	1,500.00	5.0
BNP PARIBAS SEC	040	VFC	S	20,000	100.59	n/a	2-May	1,000.00	5.0
CYRUS CAPITAL	025	VRX	В	3,007	49.19	n/a	n/a	120.28	4.0
WEISS PECK	040	VXX	S	16,200	24.72	n/a	n/a	486.00	3.0
MATRIX ASSET ADV.	091	WAG	s	2,500	42.59	n/a	n/a	100.00	4.0
TRUSTCO/SUNTRUST	040	WEN	В	124,300	4.91	n/a	4-May	4,350.52	3.5
SCOPUS FUND	041	WRC	S	27,000	62.45	n/a	25-Apr	1,080.00	4.0
KLEINHEINZ CAP PART	031	XOM	В	50,000	83.15	n/a	n/a	2,500.00	5.0
BURL CAPITAL LLC	029	ZBRA	В	5,000	41.64	n/a	n/a	200.00	4.0

TOTAL (Trade Date): 150,943.60

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	;/Shr.
AO,	05/04	LISTED ERR (LISTED ERR)	097	BBT	S	10	26.75	n/a	n/a	0.00	0.0
AO,CXL	05/04	SCOPIA CAPITAL (SCOAGSBULK)	048	BBT	SS	10	26.75	n/a	n/a	0.40	4.0
AO,CXL	05/04	SCOPIA CAPITAL (SCOAGSBULK)	048	BBT	SS	57,846	26.75	n/a	n/a	2313.84	4.0
AO,	05/04	SCOPIA CAPITAL (SCOAGSBULK)	048	BBT	SS	57 <b>,</b> 846	26.75	n/a	n/a	2313.84	4.0
AO,CXL	05/04	ACK ASSET (ACKAMSPB)	028	CP	SS	7 <b>,</b> 279	65.37	n/a	n/a	218.37	3.0
AO,CRT	05/04	ACK ASSET (ACKAMSPB)	028	CP	SS	5,632	65.37	n/a	n/a	168.96	3.0
AO,CXL	05/04	ACK ASSET (ACKABEARPB)	028	CP	SS	10,721	65.37	n/a	n/a	321.63	3.0
AO,CRT	05/04	ACK ASSET (ACKABEARPB)	028	CP	SS	12,368	65.37	n/a	n/a	371.04	3.0
AO,CXL	05/02	STATE TEACHERS RET SYS (STRSMAIN)	047	OFC	S	25,000	34.91	n/a	n/a	750.00	3.0
AO, CRT	05/02	STATE TEACHERS RET SYS (STRSMAIN)	047	OFC	S	25,000	34.91	n/a	n/a	1250.00	5.0
TOTAL	(AO (	CXL, CRT):								499.60	

TOTAL (RUN DATE) / NFS:	151,443.20
TOTAL (AO, CXL, CRT):	499.60
TOTAL (Trade Date):	150,943.60

## 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