



## 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	B	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	B	25,000	72.02	n/a	2-May	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>73.33</b>	<b>n/a</b>	<b>2-May</b>	<b>600.00</b>	<b>3.0</b>
ADAGE CAPITAL MGMT	030	AOS	S	70,000	42.06	n/a	19-Apr	2,100.00	3.0
TRUSTCO/SUNTRUST	040	AOS	B	21,500	41.97	n/a	19-Apr	752.50	3.5
MA CAPITAL MGMT/MELLON ADV041		ARCO	B	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	B	200,000	11.79	n/a	2-May	8,000.00	4.0
GREEN ARROW DOUG	040	BAC	B	25,000	12.26	n/a	15-Apr	1,250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>BBT</b>	<b>B</b>	<b>10</b>	<b>26.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC CHICAGO ANDREW	031	BBY	B	15,000	30.87	n/a	n/a	525.00	3.5
IRIDIAN ASSET MGMT.	036	BSX	SS	98,270	7.70	n/a	n/a	2,948.10	3.0
COOPER CREEK PART	028	BZ	B	3,524	8.28	n/a	n/a	140.96	4.0
MA CAPITAL MGMT/MELLON ADV041		BZ	B	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 ADV041		BZ	S	5,000	8.37	n/a	n/a	150.00	3.0
BURL CAPITAL LLC	029	COL	SS	10,000	62.80	n/a	5-May	400.00	4.0
GRANAHAN INV	029	CRR	S	27,800	150.43	n/a	11-Jan	1,112.00	4.0
KLEINHEINZ CAP PART	031	CTXS	B	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
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>S</b>	<b>10,000</b>	<b>48.37</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
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	B	18,000	21.42	n/a	25-Mar	900.00	5.0
MERRILL ASSET/BLACKROCK	266	FOR	B	76,600	18.49	n/a	5-May	3,064.00	4.0
GREEN ARROW DOUG	040	F	S	35,000	15.07	n/a	4-May	1,750.00	5.0
OZ MGMT	040	F	SS	100,000	14.94	n/a	4-May	3,000.00	3.0
BNP PARIBAS SEC	040	GLW	B	30,000	20.37	n/a	27-Apr	1,500.00	5.0
CYRUS CAPITAL	025	GM	B	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 EQTY LLC084		GM	SS	15,000	32.00		n/a 4-May	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BERMAN CAPITAL MGMT	046	GPS	B	10,000	23.08	n/a	n/a	300.00	3.0
ARMATURE CAPITAL	041	GT	B	75,000	17.61	n/a	n/a	3,000.00	4.0
BMO NESBITT BURNS	041	HOTT	S	7,000	7.07	n/a	n/a	350.00	5.0
CASTLE ARK	031	INTC	B	775,250	23.55	n/a	n/a	38,762.50	5.0
RBC CAPITAL MARKETS	040	IPI	B	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	152,733	37.90	n/a	2-May	6,109.32	4.0
SAC TRADING TOM LEDDY	035	JNY	B	50,000	13.24	n/a	28-Apr	1,750.00	3.5
SONICA CAPITAL LLC	025	JNY	B	56,100	13.29	n/a	28-Apr	1,683.00	3.0
WINSLOW CAPITAL	030	JPM	B	52,300	45.50	n/a	13-Apr	1,569.00	3.0
RBC CAPITAL MARKETS	040	KEX	B	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	B	108,400	52.88	n/a	2-May	4,336.00	4.0
OSKIE CAPITAL MGMT	224	LEA	B	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

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 ADV	041	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
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	M	B	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
<b>LISTED ERR</b>	<b>099</b>	<b>PDCO</b>	<b>B</b>	<b>68</b>	<b>35.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	PKG	B	10,000	28.21	n/a	19-Apr	500.00	5.0
ROYCE TRADING	012	PLCE	B	15,000	52.03	n/a	9-Mar	750.00	5.0
BMO NESBITT BURNS	041	RUE	B	2,000	30.11	n/a	n/a	100.00	5.0
COHE & STEERS	041	RYN	B	182,407	65.13	n/a	27-Apr	7,296.28	4.0
BMO NESBITT BURNS	041	SCVL	B	3,000	26.24	n/a	n/a	150.00	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	SYX	B	21,600	28.81	n/a	n/a	756.00	3.5
DELTEC ASSET MGMT.	040	TEN	B	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	B	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	B	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
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>WAG</b>	<b>S</b>	<b>2,500</b>	<b>42.59</b>	<b>n/a</b>	<b>n/a</b>	<b>100.00</b>	<b>4.0</b>
TRUSTCO/SUNTRUST	040	WEN	B	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	B	50,000	83.15	n/a	n/a	2,500.00	5.0
BURL CAPITAL LLC	029	ZBRA	B	5,000	41.64	n/a	n/a	200.00	4.0

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**TOTAL (Trade Date):**

**150,943.60**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	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	57,846	26.75	n/a	n/a	2313.84	4.0
AO,CXL	05/04	ACK ASSET (ACKAMSPB)	028	CP	SS	7,279	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 (STRSMAN)	047	OFC	S	25,000	34.91	n/a	n/a	750.00	3.0
AO,CRT	05/02	STATE TEACHERS RET SYS (STRSMAN)	047	OFC	S	25,000	34.91	n/a	n/a	1250.00	5.0

**TOTAL (AO, CXL, CRT) :****499.60**

TOTAL (Trade Date) :

150,943.60

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499.60

**TOTAL (RUN DATE) / NFS :****151,443.20**

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