



Daily Compliance Activity Report

Trade Date: 06/03/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|---------------------|------|--------|-----|--------|-------|-----|----------|--------------|
| TRELLUS PARTNERS LP | 028 | AXL | SS | 25,000 | 10.66 | n/a | 25-May | 1,250.00 5.0 |
| PATTEN & PATTEN | 025 | BAC | S | 3,750 | 11.40 | n/a | 2-Jun | 187.50 5.0 |
| PATTEN & PATTEN | 025 | BK | S | 400 | 26.98 | n/a | 2-Jun | 20.00 5.0 |
| MTB INV ADV | 034 | BODY | S | 4,200 | 22.01 | n/a | n/a | 210.00 5.0 |
| PZENA INV ADV | 044 | BP | B | 400 | 44.59 | n/a | n/a | 14.00 3.5 |
| COLUMBUS CIRCLE | 036 | CYBX | S | 2,526 | 28.44 | n/a | n/a | 101.04 4.0 |
| PATTEN & PATTEN | 025 | DVY | S | 1,000 | 52.45 | n/a | n/a | 50.00 5.0 |
| PATTEN & PATTEN | 025 | D | B | 150 | 47.17 | n/a | n/a | 7.50 5.0 |
| PATTEN & PATTEN | 025 | EPP | S | 100 | 47.69 | n/a | n/a | 5.00 5.0 |
| PATTEN & PATTEN | 025 | FCX | B | 100 | 50.21 | n/a | n/a | 5.00 5.0 |
| ROYCE TRADING | 012 | FINL | B | 4,995 | 21.66 | n/a | 10-May | 249.75 5.0 |
| PATTEN & PATTEN | 025 | F | S | 750 | 14.14 | n/a | 2-Jun | 37.50 5.0 |
| WALL STREET CAPITAL | 084 | F | S | 10,000 | 14.12 | n/a | 2-Jun | 450.00 4.5 |
| OZ MGMT | 040 | GM | C | 75,000 | 29.24 | n/a | 2-Jun | 2,250.00 3.0 |
| OZ MGMT | 040 | GM | SS | 75,000 | 29.11 | n/a | 2-Jun | 2,250.00 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| KLEINHEINZ CAP PART | 031 | HBI | S | 50,000 | 28.42 | n/a | 21-Apr | 2,500.00 | 5.0 |
| PATTEN & PATTEN | 025 | HDV | B | 1,000 | 52.21 | n/a | n/a | 50.00 | 5.0 |
| PATTEN & PATTEN | 025 | HON | B | 100 | 57.67 | n/a | 3-Jun | 5.00 | 5.0 |
| PATTEN & PATTEN | 025 | IBB | B | 50 | 107.79 | n/a | n/a | 2.50 | 5.0 |
| CATAPULT | 040 | IP | SS | 15,000 | 29.69 | n/a | 28-Apr | 600.00 | 4.0 |
| MTB INV ADV | 034 | JCI | S | 55,835 | 37.71 | n/a | 26-Apr | 2,791.75 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | JCP | SS | 25,000 | 32.47 | n/a | 3-Jun | 875.00 | 3.5 |
| PATTEN & PATTEN | 025 | JNJ | B | 500 | 65.95 | n/a | n/a | 25.00 | 5.0 |
| MTB INV ADV | 034 | LNCE | S | 46,875 | 20.79 | n/a | n/a | 2,343.75 | 5.0 |
| RWC PARTNERS LTD | 085 | LOW | S | 19,396 | 23.45 | n/a | 16-May | 581.88 | 3.0 |
| SCOPUS FUND | 041 | LOW | S | 20,000 | 23.41 | n/a | 16-May | 800.00 | 4.0 |
| TUDOR INVESTORS | 028 | MTW | B | 10,000 | 17.12 | n/a | 3-May | 300.00 | 3.0 |
| PATTEN & PATTEN | 025 | NLC | S | 225 | 27.54 | n/a | n/a | 11.25 | 5.0 |
| PATTEN & PATTEN | 025 | NUAN | B | 750 | 20.80 | n/a | n/a | 37.50 | 5.0 |
| TUDOR INVESTORS | 028 | NUE | SS | 5,000 | 40.73 | n/a | n/a | 150.00 | 3.0 |
| CASTLE ARK | 031 | PAY | B | 181,600 | 45.70 | n/a | n/a | 9,080.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| PATTEN & PATTEN | 025 | PCAR | B | 50 | 47.68 | n/a | 20-Apr | 2.50 | 5.0 |
| WEINTRAUB CAPITAL MGT. | 040 | PCH | B | 100,000 | 34.62 | n/a | 3-Jun | 4,000.00 | 4.0 |
| PATTEN & PATTEN | 025 | PEP | B | 200 | 68.90 | n/a | n/a | 10.00 | 5.0 |
| COOPER CREEK PART | 028 | PKG | SS | 10,000 | 27.38 | n/a | 19-Apr | 400.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | PRE | S | 24,600 | 73.72 | n/a | n/a | 984.00 | 4.0 |
| PATTEN & PATTEN | 025 | PRU | B | 150 | 61.21 | n/a | n/a | 7.50 | 5.0 |
| PATTEN & PATTEN | 025 | PWR | S | 200 | 19.25 | n/a | n/a | 10.00 | 5.0 |
| BNP PARIBAS SEC | 040 | ROST | B | 10,000 | 79.22 | n/a | n/a | 500.00 | 5.0 |
| PATTEN & PATTEN | 025 | SWN | B | 100 | 42.45 | n/a | 29-Apr | 5.00 | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | TDS | B | 10,000 | 31.98 | n/a | n/a | 400.00 | 4.0 |
| PATTEN & PATTEN | 025 | TEVA | S | 510 | 50.65 | n/a | 3-Jun | 25.50 | 5.0 |
| TUDOR INVESTORS | 028 | TEX | SS | 5,000 | 27.24 | n/a | 25-Apr | 150.00 | 3.0 |
| MERRILL ASSET/BLACKROCK | 297 | TIBX | S | 27,300 | 26.72 | n/a | n/a | 1,092.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | TIN | B | 20,000 | 21.77 | n/a | 19-May | 1,000.00 | 5.0 |
| TUDOR INVESTORS | 028 | TKR | B | 5,000 | 50.02 | n/a | n/a | 150.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|----------|------------------|-----|
| TUDOR INVESTORS | 028 | TRN | B | 5,000 | 32.18 | n/a | n/a | 150.00 | 3.0 |
| PATTEN & PATTEN | 025 | TSCO | B | 50 | 60.91 | n/a | n/a | 2.50 | 5.0 |
| PATTEN & PATTEN | 025 | UTX | B | 50 | 83.29 | n/a | n/a | 2.50 | 5.0 |
| PATTEN & PATTEN | 025 | V | B | 25 | 79.68 | n/a | 11-May | 1.25 | 5.0 |
| PATTEN & PATTEN | 025 | WFR | S | 500 | 9.68 | n/a | n/a | 25.00 | 5.0 |
| SAC TRADING TOM LEDDY | 035 | WMT | SS | 25,000 | 53.57 | n/a | 18-May | 875.00 | 3.5 |
| TUDOR INVESTORS | 028 | WY | B | 10,000 | 20.88 | n/a | 3-Jun | 300.00 | 3.0 |
| WEINTRAUB CAPITAL MGT. | 040 | WY | B | 150,000 | 20.83 | n/a | 3-Jun | 6,000.00 | 4.0 |
| PATTEN & PATTEN | 025 | XBI | B | 100 | 73.63 | n/a | n/a | 5.00 | 5.0 |
| TUDOR INVESTORS | 028 | X | B | 5,000 | 43.66 | n/a | n/a | 150.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 43,488.67 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-------------------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CXL | 06/02 | IRIDIAN ASSET MGMT. (IRAM265) | 036 | DRC | S | 5,810 | 51.83 | n/a | n/a | 290.50 5.0 |
| AO, | 06/02 | IRIDIAN ASSET MGMT. (IRAM26) | 036 | DRC | S | 5,810 | 51.83 | n/a | n/a | 290.50 5.0 |
| AO,CXL | 06/02 | MTB INV ADV (MTBIMIDCAP) | 034 | HLF | S | 4,800 | 55.71 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 06/02 | MTB INV ADV (MTBIMIDCAP) | 034 | HLF | S | 4,800 | 55.71 | n/a | n/a | 240.00 5.0 |
| CRT | 06/03 | MTB INV ADV (MTBIMAIN O) | 034 | JCI | S | 15,835 | 37.71 | n/a | 26-Apr | 791.75 5.0 |
| AO, | 06/02 | NOMURA CAPITAL (NOMUSTRAT) | 029 | TXI | SS | 1,698 | 40.94 | n/a | n/a | 50.94 3.0 |
| AO, | 06/02 | NOMURA CAPITAL (NOMUBATT2) | 029 | TXI | SS | 658 | 40.94 | n/a | n/a | 19.74 3.0 |
| AO, | 06/02 | NOMURA CAPITAL (NOMUBSMAIN) | 029 | TXI | SS | 1,538 | 40.94 | n/a | n/a | 46.14 3.0 |
| AO,CXL | 06/02 | HARVEST MGMT (HARVGSCO) | 029 | XRT | B | 10,000 | 52.13 | n/a | n/a | 400.00 4.0 |
| AO,CRT | 06/02 | HARVEST MGMT (HARVGSCO) | 029 | XRT | B | 10,000 | 52.13 | n/a | n/a | 300.00 3.0 |

TOTAL (AO, CXL, CRT) :**1,048.57**

TOTAL (Trade Date) :

43,488.67

TOTAL (AO, CXL, CRT) :

1,048.57

TOTAL (RUN DATE) / NFS :**44,537.24**

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