



Daily Compliance Activity Report

Trade Date: 05/02/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	ACXM	S	17,000	14.48	n/a	n/a	850.00	5.0
MERRILL ASSET/BLACKROCK	266	AFG	S	7,700	35.78	n/a	n/a	308.00	4.0
NEUBERGER BERMAN	036	AH	B	46,200	29.87	n/a	n/a	1,848.00	4.0
MERRILL ASSET/BLACKROCK	266	AJG	S	16,200	29.76	n/a	n/a	648.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	30,000	71.62	n/a	2-May	900.00	3.0
THOMAS WEISEL ASSET MGMT	035	BJRI	S	5,400	46.64	n/a	n/a	162.00	3.0
CYPRESS CAP MGMT LLC	040	BKS	S	37,000	10.62	n/a	n/a	1,480.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	BZ	B	10,000	9.30	n/a	n/a	500.00	5.0
THOMAS WEISEL ASSET MGMT	035	CAVM	S	7,919	47.20	n/a	n/a	237.57	3.0
MTB INV ADV	034	CNK	S	21,300	20.50	n/a	n/a	1,065.00	5.0
THOMAS WEISEL ASSET MGMT	035	CRR	S	2,734	154.68	n/a	11-Jan	82.02	3.0
THOMAS WEISEL ASSET MGMT	035	CRZO	S	3,620	39.39	n/a	n/a	108.60	3.0
BARROW HANLEY MEWHINNEY	031	DD	S	250,000	56.23	n/a	2-May	8,750.00	3.5
MTB INV ADV	034	DIN	S	6,225	49.22	n/a	n/a	311.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	EBAY	S	50,000	33.74	n/a	n/a	2,500.00	5.0
FARALLON CAP MGMT	040	FCX	SS	90,000	55.08	n/a	n/a	3,600.00	4.0
ROYCE TRADING	012	FINL	B	18,200	21.40	n/a	25-Mar	910.00	5.0
SONTERRA CAP	041	F	SS	50,000	15.63	n/a	2-May	2,000.00	4.0
SCOPUS FUND	041	GES	S	20,023	42.74	n/a	25-Apr	800.92	4.0
BRONSON POINT	036	GE	B	50,000	20.50	n/a	n/a	1,500.00	3.0
WEISS PECK	040	GIII	SS	3,200	42.86	n/a	n/a	160.00	5.0
WEISS PECK	040	GMO	C	16,300	4.75	n/a	n/a	652.00	4.0
IRIDIAN ASSET MGMT.	036	GM	S	3,470	32.28	n/a	2-May	173.50	5.0
CAMBIAR CAP	046	HBI	B	23,700	32.47	n/a	21-Apr	948.00	4.0
WEISS PECK	040	HIBB	SS	5,200	37.76	n/a	n/a	260.00	5.0
MTB INV ADV	034	ICON	S	12,500	24.05	n/a	n/a	625.00	5.0
MELLON/BANK OF NEW YORK	046	ICO	S	295,700	14.43	n/a	n/a	11,828.00	4.0
BRONSON POINT	036	JPM	B	50,000	45.24	n/a	13-Apr	1,500.00	3.0
RBC CAPITAL MARKETS	040	KBR	S	20,000	38.13	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	KSS	SS	10,000	53.21	n/a	2-May	400.00	4.0
CYRUS CAPITAL	025	LINE	B	25,000	39.99	n/a	n/a	1,000.00	4.0
MA CAPITAL MGMT/MELLON ADV041		MERC	B	10,000	12.35	n/a	n/a	500.00	5.0
MTB INV ADV	034	MOD	S	11,425	17.28	n/a	n/a	571.25	5.0
IRIDIAN ASSET MGMT.	036	MSFT	S	13,140	25.64	n/a	n/a	657.00	5.0
MELLON/BANK OF NEW YORK	046	MSFT	S	2,096,612	25.58	n/a	n/a	83,864.48	4.0
NEUBERGER BERMAN	036	NOV	B	39,310	74.94	n/a	n/a	1,572.40	4.0
STATE TEACHERS RET SYS	047	OFC	S	25,000	34.91	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	ORCL	S	3,100	36.34	n/a	n/a	155.00	5.0
COLUMBIA PARTNERS	028	PAG	SS	14,375	22.05	n/a	29-Apr	575.00	4.0
ROYCE TRADING	012	PLCE	B	47,500	52.52	n/a	9-Mar	2,375.00	5.0
ROBERTSON STEVENS BC	084	PSUN	S	1,715	3.11	n/a	n/a	34.30	2.0
ROXBURY CAPITAL MGMT	035	PSUN	S	198,285	3.11	n/a	n/a	3,965.70	2.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	70.17	n/a	25-Apr	600.00	3.0
KLEINHEINZ CAP PART	031	QCOM	B	50,000	57.75	n/a	n/a	2,500.00	5.0
RBC CAPITAL MARKETS	040	QLTY	B	10,000	11.82	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	RDN	S	32,800	5.98	n/a	n/a	1,312.00	4.0
Õ Nilsa Vazquez		REE	??	1000	14.3500	n/a	n/a	0.00	0.0
WEISS PECK	040	RGS	SS	11,600	16.83	n/a	n/a	580.00	5.0
WEISS PECK	040	RHB	S	5,100	37.97	n/a	n/a	255.00	5.0
1798 CAP/LOMBARD ASSET	040	ROST	S	10,000	73.32	n/a	n/a	500.00	5.0
COHE & STEERS	041	RYN	B	7,143	66.06	n/a	27-Apr	285.72	4.0
1798 CAP/LOMBARD ASSET	040	STRA	SS	5,000	122.36	n/a	n/a	250.00	5.0
CASTLEROCK	040	SYX	SS	119,350	29.05	n/a	n/a	4,774.00	4.0
NEUBERGER BERMAN	036	TISI	S	11,898	23.99	n/a	n/a	475.92	4.0
TROUBH PART	070	TWX	S	25,000	37.92	n/a	n/a	1,250.00	5.0
MTB INV ADV	034	ULTA	S	9,350	53.27	n/a	n/a	467.50	5.0
MTB INV ADV	034	VRA	S	10,400	48.38	n/a	n/a	520.00	5.0
1798 CAP/LOMBARD ASSET	040	WFMI	S	10,000	59.40	n/a	n/a	500.00	5.0
CAPITAL GROWTH MGMT.	241	WLL	S	150,000	66.73	n/a	n/a	7,500.00	5.0
CAPITAL GROWTH MGMT.	241	WLP	B	100,000	77.40	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAP/LOMBARD ASSET	040	WMT	SS	25,000	54.80	n/a	29-Apr	1,250.00	5.0
ADAGE CAPITAL MGMT	030	WRC	B	59,246	64.60	n/a	25-Apr	1,777.38	3.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	64.49	n/a	25-Apr	600.00	3.0
EPOCH INV MGMT	030	WRC	S	83,858	64.57	n/a	25-Apr	2,515.74	3.0
WEINTRAUB CAPITAL MGT.	040	WRC	S	25,000	62.77	n/a	25-Apr	1,000.00	4.0
GRYPHON CAPITAL MGMT	084	WY	B	100,000	22.59	n/a	29-Apr	3,000.00	3.0
TOTAL (Trade Date):							179,741.25		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/29	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	RAX	B	75,000	26.21	n/a	n/a	2625.00 3.5
AO,	04/29	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	RAX	B	75,000	46.21	n/a	n/a	2625.00 3.5
AO,	04/29	SCOPUS FUND (SCOPFIDO)	041	TGT	S	99,770	49.32	n/a	2-May	3990.80 4.0
AO,CXL	04/29	SCOPUS FUND (SCOPGS)	041	TGT	S	10,575	49.32	n/a	2-May	423.00 4.0
AO,CRT	04/29	SCOPUS FUND (SCOPGS)	041	TGT	S	15,862	49.32	n/a	2-May	634.48 4.0
AO,CXL	04/29	SCOPUS FUND (SCOPUBS)	041	TGT	S	106,925	49.32	n/a	2-May	4277.00 4.0
AO,CRT	04/29	SCOPUS FUND (SCOPUBS)	041	TGT	S	1,868	49.32	n/a	2-May	74.72 4.0
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (Trade Date) :										179,741.25
TOTAL (AO, CXL, CRT) :										0.00
TOTAL (RUN DATE) / NFS:										179,741.25

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