



## Daily Compliance Activity Report

Trade Date: 05/12/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SMITH MGMT LLC	029	AA	B	608,350	17.20	n/a	n/a	18,250.50	3.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>ADI</b>	<b>S</b>	<b>2,000</b>	<b>41.22</b>	<b>n/a</b>	<b>n/a</b>	<b>80.00</b>	<b>4.0</b>
PZENA INV ADV	044	AET	S	125	42.55	n/a	n/a	4.38	3.5
CASTLEROCK	040	AMAT	B	50,000	15.04	n/a	n/a	2,000.00	4.0
ASCEND PARTNERS	033	ARCO	B	100,000	21.44	n/a	n/a	5,000.00	5.0
TALPION LLC	040	ARUN	B	10,000	31.63	n/a	n/a	400.00	4.0
PZENA INV ADV	044	BAC	B	44,175	12.17	n/a	15-Apr	1,546.13	3.5
SENATOR INVESTMENT GROUP	036	CCI	B	300,000	42.39	n/a	n/a	9,000.00	3.0
SOLARIS INV MGMT	029	CMI	S	10,000	113.02	n/a	27-Apr	500.00	5.0
SOLARIS INV MGMT	029	CNH	S	25,000	43.83	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	CROX	S	25,000	22.01	n/a	n/a	1,250.00	5.0
ELM RIDGE ADVISORS	044	CSCO	B	189,300	16.90	n/a	n/a	7,572.00	4.0
NOKOMIS PARTNERS	031	DBLE	B	25,000	8.41	n/a	n/a	750.00	3.0
PZENA INV ADV	044	DELL	S	225	16.44	n/a	n/a	7.88	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	DXD	S	53,601	16.85	n/a	n/a	2,144.04	4.0
PIONEER PATH	028	FCX	S	68,984	49.26	n/a	n/a	2,069.52	3.0
ROYCE TRADING	012	FINL	B	4,000	22.06	n/a	10-May	200.00	5.0
KLEINHEINZ CAP PART	031	GIL	B	25,000	37.16	n/a	12-May	1,250.00	5.0
ST OF MICHIAN	047	GS	B	20,000	143.91	n/a	19-Apr	600.00	3.0
ARMATURE CAPITAL	041	GT	S	25,000	18.06	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	HBI	B	25,000	32.05	n/a	21-Apr	1,250.00	5.0
KADE CAPITAL LLC	028	HBI	B	10,000	31.75	n/a	21-Apr	500.00	5.0
DECADE CAPITAL PARTNERS	040	HD	SS	17,500	36.99	n/a	11-May	700.00	4.0
KLEINHEINZ CAP PART	031	HTZ	S	100,000	16.45	n/a	n/a	5,000.00	5.0
MERRILL ASSET/BLACKROCK	297	IAU	B	16,200	14.55	n/a	n/a	324.00	2.0
SAC CRIB	044	JCI	B	25,000	39.37	n/a	26-Apr	875.00	3.5
PZENA INV ADV	044	JNJ	S	100	66.28	n/a	n/a	3.50	3.5
ASCEND PARTNERS	033	JNY	SS	16,456	13.27	n/a	28-Apr	822.80	5.0
MERRILL ASSET/BLACKROCK	297	LAZ	S	34,300	39.52	n/a	27-Apr	1,372.00	4.0
BUCK CAPITAL MGMT	001	LL	S	20,000	26.34	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DECADE CAPITAL PARTNERS	040	LOW	B	25,000	25.54	n/a	11-May	1,000.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	4,200	42.02	n/a	n/a	210.00	5.0
HOLLIS CAPITAL	033	LVS	B	3,000	43.31	n/a	10-May	150.00	5.0
DISCIPLINED GROWTH INV.	030	MIDD	S	1,000	87.98	n/a	3-Mar	50.00	5.0
ROSEDALE CAPITAL	046	MSFT	B	30,000	25.25	n/a	n/a	1,500.00	5.0
PZENA INV ADV	044	MS	B	5,825	24.48	n/a	10-May	203.88	3.5
YORK CAPITAL	036	MTW	B	200,000	18.97	n/a	3-May	8,000.00	4.0
BALYASNY ASSET MGMT	044	MW	S	20,000	33.59	n/a	n/a	1,000.00	5.0
SAC TRADING TOM LEDDY	035	M	S	40,000	28.68	n/a	12-May	1,400.00	3.5
DAVIDSON KEMPNER ADVISOR	040	OSK	S	10,000	30.00	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	PCP	B	30,000	155.84	n/a	5-May	900.00	3.0
DISCIPLINED GROWTH INV.	030	RCL	S	2,200	41.03	n/a	n/a	110.00	5.0
DAVIDSON KEMPNER ADVISOR	040	RDWR	S	5,000	35.41	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	ROL	B	8,200	20.31	n/a	n/a	328.00	4.0
BALYASNY ASSET MGMT	044	SCVL	SS	20,000	26.84	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MFP INVESTORS	085	SSCC	S	7,500	40.30	n/a	14-Apr	375.00	5.0
FINDLAY PARK PART	291	SWN	B	366,000	41.25	n/a	29-Apr	26,420.12	0.0
FIRST NEW YORK NICK	029	S	S	10,000	5.17	n/a	n/a	500.00	5.0
SAC TRADING TOM LEDDY	035	TFM	S	15,000	41.84	n/a	n/a	525.00	3.5
BALYASNY ASSET MGMT	044	TGT	C	25,000	51.30	n/a	11-May	1,250.00	5.0
CATAPULT	040	TIN	B	20,000	24.95	n/a	20-Apr	800.00	4.0
DISIPLINED GROWTH INV.	030	TJX	S	3,100	54.31	n/a	6-May	155.00	5.0
SAXON WOODS ADVISORS	048	TUP	S	122,344	65.38	n/a	n/a	3,670.32	3.0
PIIONEER PATH	028	UAL	SS	39,139	25.46	n/a	n/a	1,174.17	3.0
BALYASNY ASSET MGMT	044	UA	S	15,000	68.01	n/a	27-Apr	750.00	5.0
COBALT	041	UTX	B	100,000	89.34	n/a	n/a	4,000.00	4.0
PZENA INV ADV	044	VCI	B	7,799	28.00	n/a	n/a	272.98	3.5
PZENA INV ADV	044	VVI	S	4,668	23.80	n/a	n/a	163.43	3.5
PIIONEER PATH	028	WLT	B	23,912	123.92	n/a	n/a	717.36	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>57.79</b>	<b>n/a</b>	<b>6-May</b>	<b>600.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	XOP	SS	333,646	57.50	n/a	n/a	10,009.38	3.0
TROUBH PART	070	YHOO	S	25,000	17.52	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>135,556.39</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	05/11	LATEFF MGMT (LATE536)	035	CVS	S	325	37.52	n/a	n/a	65.00	20.0
AO,CXL	05/11	LATEFF MGMT (LATE558)	035	CVS	S	325	37.52	n/a	n/a	65.00	20.0
AO,CRT	05/11	LATEFF MGMT (LATE558)	035	CVS	S	400	37.52	n/a	n/a	80.00	20.0
AO,CXL	05/11	LATEFF MGMT (LATE536)	035	CVS	S	400	37.52	n/a	n/a	80.00	20.0
AO,	05/11	BRANDWINE (BWAM4881)	028	GM	B	100	31.63	n/a	6-May	4.00	4.0
AO,	05/11	BRANDWINE (BWAM4880)	028	GM	B	200	31.63	n/a	6-May	8.00	4.0
AO,	05/11	BRANDWINE (BWAM4877)	028	GM	B	300	31.63	n/a	6-May	12.00	4.0
AO,	05/11	BRANDWINE (BWAM4875)	028	GM	B	4,200	31.63	n/a	6-May	168.00	4.0
AO,	05/11	BRANDWINE (BWAM4876)	028	GM	B	200	31.63	n/a	6-May	8.00	4.0
AO,	05/11	BRANDWINE (BWAM4019)	028	GM	B	1,100	31.63	n/a	6-May	44.00	4.0
AO,	05/11	BRANDWINE (BWAM4023)	028	GM	B	500	31.63	n/a	6-May	20.00	4.0
AO,	05/11	BRANDWINE (BWAM4863)	028	GM	B	21,900	31.63	n/a	6-May	876.00	4.0
AO,	05/11	BRANDWINE (BWAM4862)	028	GM	B	100	31.63	n/a	6-May	4.00	4.0
AO,	05/11	BRANDWINE (BWAM4832)	028	GM	B	800	31.63	n/a	6-May	32.00	4.0
AO,	05/11	BRANDWINE (BWAM4851)	028	GM	B	800	31.63	n/a	6-May	32.00	4.0
AO,	05/11	BRANDWINE (BWAM4856)	028	GM	B	1,800	31.63	n/a	6-May	72.00	4.0
AO,	05/11	BRANDWINE (BWAM4811)	028	GM	B	3,100	31.63	n/a	6-May	124.00	4.0
AO,	05/11	BRANDWINE (BWAM4853)	028	GM	B	4,600	31.63	n/a	6-May	184.00	4.0
AO,	05/11	BRANDWINE (BWAM4808)	028	GM	B	600	31.63	n/a	6-May	24.00	4.0
AO,	05/11	BRANDWINE (BWAM4828)	028	GM	B	3,000	31.63	n/a	6-May	120.00	4.0
AO,	05/11	BRANDWINE (BWAM4821)	028	GM	B	1,300	31.63	n/a	6-May	52.00	4.0
AO,	05/11	BRANDWINE (BWAM4804)	028	GM	B	2,800	31.63	n/a	6-May	112.00	4.0
AO,	05/11	BRANDWINE (BWAM4814)	028	GM	B	6,900	31.63	n/a	6-May	276.00	4.0
AO,	05/11	BRANDWINE (BWAM4813)	028	GM	B	500	31.63	n/a	6-May	20.00	4.0
AO,	05/11	BRANDWINE (BWAM4818)	028	GM	B	1,300	31.63	n/a	6-May	52.00	4.0
AO,	05/11	BRANDWINE (BWAM4825)	028	GM	B	2,000	31.63	n/a	6-May	80.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/11	BRANDWINE (BWAM4819)	028	GM	B	900	31.63	n/a	6-May	36.00 4.0
AO,	05/11	BRANDWINE (BWAM4802)	028	GM	B	310,700	31.63	n/a	6-May	12428.00 4.0
AO,	05/11	BRANDWINE (BWAM4801)	028	GM	B	22,000	31.63	n/a	6-May	880.00 4.0
AO,CXL	05/11	EVERCORE WEALTH MGMT (EVERMAIN)	012	JEC	B	14,650	47.88	n/a	n/a	586.00 4.0
AO,CRT	05/11	EVERCORE WEALTH MGMT (EVERMAIN)	012	JEC	B	14,650	47.88	n/a	n/a	732.50 5.0
CRT	05/12	ROSEDALE CAPITAL (ROSEGS)	046	MSFT	B	30,000	25.25	n/a	n/a	1500.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>17,314.50</b>
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TOTAL (Trade Date) :	135,556.39
TOTAL (AO, CXL, CRT) :	17,314.50

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>152,870.89</b>
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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