



Daily Compliance Activity Report

Trade Date: 05/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALPION LLC	040	AAP	SS	5,000	63.32	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	ALV	B	10,000	75.88	n/a	21-Apr	500.00	5.0
COUGAR TRADING	044	ANN	B	5,000	28.99	n/a	n/a	250.00	5.0
TALPION LLC	040	ARCO	B	5,000	21.98	n/a	n/a	200.00	4.0
WHITE PINE CAPITAL	030	BEBE	S	10,000	6.62	n/a	n/a	500.00	5.0
MA CAPITAL MGMT/MELLON ADV041		BIG	B	4,000	34.01	n/a	19-May	200.00	5.0
CHART WELL ADV	028	CAKE	B	26,625	31.34	n/a	21-Apr	1,065.00	4.0
RAINIER INV MGMT	035	CF	S	58,220	141.83	n/a	n/a	2,328.80	4.0
IVORY CAPITAL	034	CMCSK	B	100,000	23.70	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	59.52	n/a	27-Apr	300.00	3.0
HALCYON LLC	041	CVC	B	25,000	34.00	n/a	n/a	750.00	3.0
YORK CAPITAL	036	C	S	250,000	41.23	n/a	17-May	10,000.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	20,000	52.36	n/a	n/a	600.00	3.0
BMO NESBITT BURNS	041	DKS	B	3,000	38.60	n/a	18-May	210.00	7.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	DKS	SS	15,000	39.20	n/a	18-May	600.00	4.0
ROYCE TRADING	012	FINL	B	24,500	22.51	n/a	10-May	1,225.00	5.0
BNP PARIBAS SEC	040	FL	S	25,000	25.00	n/a	19-May	1,250.00	5.0
KENNEDY CAPITAL	046	FL	S	125,930	25.01	n/a	19-May	5,037.20	4.0
ENTRUST CAPITAL	040	FO	B	21,300	64.19	n/a	n/a	1,065.00	5.0
BUCK CAPITAL MGMT	001	GES	B	30,000	41.56	n/a	25-Apr	900.00	3.0
OZ MGMT	040	GM	SS	65,000	31.17	n/a	6-May	1,950.00	3.0
COUGAR TRADING	044	HIBB	B	5,000	39.81	n/a	n/a	250.00	5.0
THOMAS WEISEL ASSET MGMT	035	IMMR	B	54,150	8.27	n/a	n/a	1,624.50	3.0
SURVEYOR CAPITAL	041	JNJ	B	25,000	65.65	n/a	n/a	750.00	3.0
COLUMBUS CIRCLE	036	KNXA	B	14,000	30.80	n/a	n/a	560.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	15,000	38.50	n/a	17-May	750.00	5.0
TALPION LLC	040	LOW	B	5,000	24.61	n/a	16-May	200.00	4.0
PAULSON & CO INC	041	MDT	S	300,000	42.23	n/a	n/a	12,000.00	4.0
CYRUS CAPITAL	025	NCMI	B	18,000	17.34	n/a	n/a	720.00	4.0
ROTHSCHILD ASSET	040	OMG	B	6,682	36.17	n/a	n/a	267.28	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	OMX	S	5,000	8.05	n/a	n/a	150.00	3.0
STANDARD PACIFIC CAPITAL	040	PCX	B	80,000	22.50	n/a	n/a	4,000.00	5.0
GREEN ARROW DOUG	040	PG	SS	15,000	67.48	n/a	13-May	750.00	5.0
ROTHSCHILD ASSET	040	PH	S	14,324	86.80	n/a	28-Apr	572.96	4.0
METROPOLITAN CAPITAL	044	PLCE	B	9,600	51.28	n/a	20-May	480.00	5.0
ROYCE TRADING	012	PLCE	B	101,000	51.34	n/a	20-May	5,050.00	5.0
APEX CAPITAL MGMT.	261	PVH	B	125,000	65.81	n/a	25-Apr	5,000.00	4.0
COHE & STEERS	041	RYN	B	25,000	66.95	n/a	27-Apr	1,000.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	SDS	B	2,400	20.46	n/a	n/a	120.00	5.0
CATAPULT	040	SOA	B	15,000	23.89	n/a	n/a	600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TLB	SS	50,000	4.70	n/a	n/a	1,750.00	3.5
BMO NESBITT BURNS	041	UA	B	2,000	65.30	n/a	27-Apr	140.00	7.0
ENTRUST CAPITAL	040	URBN	SS	56,000	31.23	n/a	n/a	2,800.00	5.0
SENATOR INVESTMENT GROUP	036	WRC	B	21,800	54.75	n/a	6-May	654.00	3.0
BMO NESBITT BURNS	041	XLY	S	4,000	40.20	n/a	n/a	280.00	7.0

TOTAL (Trade Date):

74,599.74

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									74,599.74
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									74,599.74

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