



Daily Compliance Activity Report

Trade Date: 05/31/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	ALL	B	5,000	31.43	n/a	n/a	500.00	10.0
BMO NESBITT BURNS	041	BIG	B	3,000	33.70	n/a	27-May	120.00	4.0
CSFB GLOBAL PROPRIETARY	041	CAT	B	20,000	104.88	n/a	2-May	1,000.00	5.0
ARCHON CAPITAL	035	CCSC	B	32,500	10.49	n/a	n/a	975.00	3.0
LEVIN CAPITAL STRATEGIES	012	CHK	S	15,000	31.10	n/a	n/a	450.00	3.0
PIONEER PATH	028	DHI	B	25,000	12.06	n/a	n/a	750.00	3.0
NEWLAND CAPITAL MGT	025	END	S	25,000	14.16	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	FRED	SS	4,000	14.47	n/a	n/a	160.00	4.0
AVESTA CAP	229	F	B	400,000	14.83	n/a	31-May	12,000.00	3.0
OZ MGMT	040	GM	SS	58,081	31.27	n/a	31-May	1,742.43	3.0
CRAMER ROSENTHAL/SCOTT	012	HAS	B	213,900	45.73	n/a	n/a	8,556.00	4.0
COLUMBUS CIRCLE	036	IO	B	17,404	10.10	n/a	n/a	696.16	4.0
SENATOR INVESTMENT GROUP	036	IWM	B	20,000	84.72	n/a	n/a	600.00	3.0
BNP PARIBAS SEC	040	JCI	S	30,000	39.45	n/a	26-Apr	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EMERSON CAPITAL MGMT	048	JNY	S	19,640	12.23	n/a	28-Apr	589.20	3.0
METROPOLITAN CAPITAL	044	LEA	S	9,600	50.95	n/a	2-May	480.00	5.0
EMERSON CAPITAL MGMT	048	MAT	S	10,000	26.25	n/a	n/a	300.00	3.0
CYRUS CAPITAL	025	MPG	B	25,000	2.75	n/a	n/a	750.00	3.0
TALPION LLC	040	NKE	S	10,000	84.36	n/a	n/a	400.00	4.0
LATEFF MGMT	035	NOK	S	14,350	7.06	n/a	n/a	810.00	8.8
SENATOR INVESTMENT GROUP	036	NWSA	B	100,000	18.27	n/a	n/a	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	PCG	S	15,000	43.21	n/a	n/a	450.00	3.0
ROYCE TRADING	012	PLCE	B	14,000	50.28	n/a	20-May	700.00	5.0
SANDLER CAPITAL	028	POT	B	140,000	57.37	n/a	n/a	7,000.00	5.0
VINIK ASSET MGMT.	030	POT	S	100,000	57.36	n/a	n/a	3,000.00	3.0
PECONIC PARTNERS	036	QQQ	C	235,400	58.00	n/a	n/a	7,062.00	3.0
CASTLEROCK	040	RL	SS	26,553	127.38	n/a	26-May	1,062.12	4.0
ARCHON CAPITAL	035	SMT	B	20,000	7.18	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	012	SPY	B	52,000	134.34	n/a	n/a	1,560.00	3.0
PZENA INV ADV	044	SRE	S	1,275	54.96	n/a	n/a	44.63	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	STT	S	1,250	45.56	n/a	17-May	43.75	3.5
BMO NESBITT BURNS	041	SVU	S	6,000	10.22	n/a	n/a	240.00	4.0
PZENA INV ADV	044	TEL	S	3,200	36.64	n/a	n/a	112.00	3.5
Õ Nilsa Vazquez		TSM	S	500	13.6610	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	XLU	S	50,000	33.72	n/a	n/a	1,500.00	3.0
PZENA INV ADV	044	XOM	S	1,525	83.06	n/a	n/a	53.38	3.5
TOTAL (Trade Date) :								59,806.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									59,806.67
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									59,806.67
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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