



Daily Compliance Activity Report

Trade Date: 07/03/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	S	2,400	20.19	n/a	2-Dec	120.00	5.0
SIMMONS VENTURES	041	ANN	B	5,000	25.43	n/a	n/a	200.00	4.0
THE JAY GOLDMAN	028	AXL	B	20,000	10.69	n/a	7-Jun	800.00	4.0
THE JAY GOLDMAN	028	AXL	SS	20,000	10.84	n/a	7-Jun	800.00	4.0
WOOSTER CAPITAL	035	AXL	S	100,000	10.72	n/a	7-Jun	4,000.00	4.0
THE JAY GOLDMAN	028	BWA	B	15,000	66.15	n/a	27-Apr	600.00	4.0
Õ Nilsa Vazquez		BZH	S	1000	3.3915	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	CONN	S	5,263	16.24	n/a	n/a	263.15	5.0
SIMMONS VENTURES	041	CROX	B	5,000	15.56	n/a	n/a	200.00	4.0
NEWLAND CAPITAL MGT	025	DCI	B	25,000	33.40	n/a	n/a	1,000.00	4.0
PROSPECTOR PARTNERS LLC	036	FBHS	S	5,000	23.32	n/a	n/a	200.00	4.0
PHILADELPHIA FINANCIAL	033	F	SS	250,000	9.66	n/a	2-Jul	10,000.00	4.0
RIDGECREST INV MGMT LLC	028	F	S	20,000	9.69	n/a	2-Jul	800.00	4.0
SCOPUS FUND	041	GGC	S	10,000	25.60	n/a	n/a	400.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	C	20,000	20.33	n/a	2-Jul	600.00	3.0
THE JAY GOLDMAN	028	GM	B	25,000	20.05	n/a	2-Jul	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	GRC	B	3,100	30.91	n/a	n/a	124.00	4.0
DELTEC ASSET MGMT.	040	HAL	B	20,000	29.79	n/a	n/a	1,000.00	5.0
WEISS PECK - ROBECO INV		040	HMA	S	12,500	7.66	n/a	n/a	500.00 4.0
CONIFER	025	IVV	B	4,000	137.82	n/a	n/a	160.00	4.0
WEISS PECK - ROBECO INV		040	IWM	SS	17,300	81.53	n/a	n/a	519.00 3.0
PROSPECTOR PARTNERS LLC	036	JNJ	S	5,000	67.96	n/a	n/a	200.00	4.0
WOOSTER CAPITAL	035	LEA	S	25,000	38.04	n/a	4-May	1,250.00	5.0
ROYCE TRADING	031	MLI	S	16,043	43.67	n/a	14-Jun	802.15	5.0
SCOPUS FUND	041	M	B	14,100	33.68	n/a	28-Jun	564.00	4.0
EMPYREAN CAPITAL	084	NAV	S	22,600	28.90	n/a	13-Jun	678.00	3.0
PHILADELPHIA FINANCIAL	033	PAG	B	24,000	22.51	n/a	26-Apr	960.00	4.0
ROSEDALE CAPITAL	046	SWN	S	10,000	32.39	n/a	2-Jul	500.00	5.0
SCOPUS FUND	041	WPP	S	21,832	9.77	n/a	n/a	873.28	4.0
TOTAL (Trade Date):								29,113.58	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/29	ACK ASSET (ACKAMS)	028	LULU	S	10,045	59.31	n/a	7-Jun	301.35 3.0
AO,CXL	06/29	ACK ASSET (ACKABEARPB)	028	LULU	SS	26,000	59.31	n/a	7-Jun	780.00 3.0
AO,CRT	06/29	ACK ASSET (ACKABEARPB)	028	LULU	SS	15,955	59.31	n/a	7-Jun	478.65 3.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	29,113.58
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	29,113.58
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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