



Daily Compliance Activity Report

Trade Date: 06/20/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ADP	B	6,500	52.59	n/a	n/a	260.00	4.0
ROTHSCHILD ASSET	040	AGP	S	9,944	64.25	n/a	n/a	397.76	4.0
CAERUS GLOBAL	041	ANN	B	50,000	26.29	n/a	n/a	2,000.00	4.0
SUN AMERICA ASSET MGMT	030	BECN	B	400	21.61	n/a	n/a	16.00	4.0
PROSPECTOR PARTNERS LLC	036	BRKB	B	2,000	76.12	n/a	n/a	80.00	4.0
SUN AMERICA ASSET MGMT	030	CPX	B	300	30.12	n/a	n/a	12.00	4.0
CAERUS GLOBAL	041	CSTR	B	17,100	48.56	n/a	n/a	684.00	4.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	31.79	n/a	n/a	400.00	4.0
MAIRS AND POWER INV	030	ECL	S	20,000	53.84	n/a	2-Jun	1,000.00	5.0
RBC CAPITAL MARKETS	040	EMN	B	400	94.63	n/a	n/a	16.00	4.0
SUN AMERICA ASSET MGMT	030	ENTG	B	2,200	9.20	n/a	n/a	88.00	4.0
CAMBIAR CAP	046	ETN	B	100,000	47.26	n/a	16-Jun	4,000.00	4.0
ROYCE TRADING	012	FINL	B	4,000	22.90	n/a	10-May	200.00	5.0
MACQUARIE INVESTMENT MGMT.	040	FL	B	10,000	23.17	n/a	2-Jun	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	FL	B	19,900	23.28	n/a	2-Jun	796.00	4.0
OZ MGMT	040	F	C	94,946	12.98	n/a	2-Jun	2,848.38	3.0
SURVEYOR CAPITAL	041	GILD	S	44,990	39.64	n/a	n/a	1,349.70	3.0
SUN AMERICA ASSET MGMT	030	GLNG	B	2,000	30.80	n/a	n/a	80.00	4.0
SAXON WOODS ADVISORS	091	HSIC	B	10,000	70.96	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	IP	B	20,000	27.16	n/a	28-Apr	1,000.00	5.0
TUDOR INVESTORS	028	IP	SS	5,000	27.36	n/a	28-Apr	150.00	3.0
SUN AMERICA ASSET MGMT	030	JNY	B	1,200	10.50	n/a	28-Apr	48.00	4.0
MACQUARIE INVESTMENT MGMT.	040	KEG	B	5,000	16.31	n/a	16-Jun	0.00	0.0
SAC TRADING TOM LEDDY	035	KFT	SS	30,000	34.70	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	LOW	B	100,000	23.16	n/a	13-Jun	3,500.00	3.5
PROSPECTOR PARTNERS LLC	036	L	B	5,000	40.85	n/a	n/a	200.00	4.0
WEISS PECK	040	MBND	S	51,700	3.36	n/a	n/a	1,551.00	3.0
ROYCE TRADING	012	MLI	B	3,600	36.01	n/a	27-Apr	180.00	5.0
SUN AMERICA ASSET MGMT	030	MTZ	B	1,400	17.88	n/a	n/a	56.00	4.0
SONTERRA CAP	041	MWV	S	50,000	31.12	n/a	27-Apr	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	NUE	SS	4,000	39.68	n/a	n/a	120.00	3.0
NEWLAND CAPITAL MGT	025	OI	B	20,000	25.05	n/a	n/a	800.00	4.0
LATEFF MGMT	035	PKG	B	1,350	26.55	n/a	19-Apr	202.50	15.0
FORTRESS INVESTMENT (US)	036	PNC	SS	100,000	56.60	n/a	n/a	4,000.00	4.0
CATAPULT	040	PPG	SS	5,000	84.81	n/a	19-May	200.00	4.0
MERRILL ASSET/BLACKROCK	297	PRE	S	16,800	67.90	n/a	n/a	672.00	4.0
CATAPULT	040	PX	SS	5,000	101.06	n/a	16-Jun	200.00	4.0
BNP PARIBAS SEC	040	TIN	B	25,000	28.34	n/a	7-Jun	1,250.00	5.0
SUN AMERICA ASSET MGMT	030	URZ	B	2,700	2.78	n/a	n/a	81.00	3.0
FORTRESS INVESTMENT (US)	036	WFC	B	200,000	27.18	n/a	16-Jun	8,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	53.09	n/a	18-May	1,750.00	3.5
CAERUS GLOBAL	041	WRC	S	10,000	51.63	n/a	6-May	400.00	4.0
TUDOR INVESTORS	028	X	B	5,000	41.50	n/a	n/a	150.00	3.0
TOTAL (Trade Date):								41,038.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/15	SANDLER O'NEILL ASSET (SANOMSIL)	031	C	B	5,000	38.68	n/a	16-Jun	100.00 2.0
AO,CXL	06/15	SANDLER O'NEILL ASSET (SANO)	031	C	B	5,000	38.68	n/a	16-Jun	100.00 2.0
AO,CXL	06/16	SANDLER O'NEILL ASSET (SANOMSIL)	031	COF	SS	18,460	49.09	n/a	17-Jun	923.00 5.0
AO,CRT	06/16	SANDLER O'NEILL ASSET (SANOMSIL)	031	COF	SS	4,600	49.09	n/a	17-Jun	230.00 5.0
AO,CXL	06/16	SANDLER O'NEILL ASSET (SANO)	031	COF	SS	1,540	49.09	n/a	17-Jun	77.00 5.0
AO,CRT	06/16	SANDLER O'NEILL ASSET (SANO)	031	COF	SS	15,400	49.09	n/a	17-Jun	770.00 5.0
AO,	06/17	CAMBIAR CAP (CAMB883)	046	ETN	B	1,190	47.18	n/a	16-Jun	47.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB1182)	046	ETN	B	15	47.18	n/a	16-Jun	0.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB810)	046	ETN	B	30	47.18	n/a	16-Jun	1.20 4.0
AO,	06/17	CAMBIAR CAP (CAMB1181)	046	ETN	B	15	47.18	n/a	16-Jun	0.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB831)	046	ETN	B	250	47.18	n/a	16-Jun	10.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1176)	046	ETN	B	5	47.18	n/a	16-Jun	0.20 4.0
AO,	06/17	CAMBIAR CAP (CAMB832)	046	ETN	B	160	47.18	n/a	16-Jun	6.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB1161)	046	ETN	B	77,000	47.18	n/a	16-Jun	3080.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB767)	046	ETN	B	20	47.18	n/a	16-Jun	0.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB1174)	046	ETN	B	415	47.18	n/a	16-Jun	16.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB)	046	ETN	B	20	47.18	n/a	16-Jun	0.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB1153)	046	ETN	B	25	47.18	n/a	16-Jun	1.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB804)	046	ETN	B	415	47.18	n/a	16-Jun	16.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB1121)	046	ETN	B	10	47.18	n/a	16-Jun	0.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB748)	046	ETN	B	21,600	47.18	n/a	16-Jun	864.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1142)	046	ETN	B	2,200	47.18	n/a	16-Jun	88.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB682)	046	ETN	B	435	47.18	n/a	16-Jun	17.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB1141)	046	ETN	B	280	47.18	n/a	16-Jun	11.20 4.0
AO,	06/17	CAMBIAR CAP (CAMB710)	046	ETN	B	85	47.18	n/a	16-Jun	3.40 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/17	CAMBIAR CAP (CAMB1125)	046	ETN	B	30	47.18	n/a	16-Jun	1.20 4.0
AO,	06/17	CAMBIAR CAP (CAMB714)	046	ETN	B	700	47.18	n/a	16-Jun	28.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1127)	046	ETN	B	340	47.18	n/a	16-Jun	13.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB535)	046	ETN	B	1,000	47.18	n/a	16-Jun	40.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1128)	046	ETN	B	140	47.18	n/a	16-Jun	5.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB18)	046	ETN	B	150	47.18	n/a	16-Jun	6.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1131)	046	ETN	B	170	47.18	n/a	16-Jun	6.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB527)	046	ETN	B	10	47.18	n/a	16-Jun	0.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB1113)	046	ETN	B	60	47.18	n/a	16-Jun	2.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB520)	046	ETN	B	540	47.18	n/a	16-Jun	21.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB1107)	046	ETN	B	10	47.18	n/a	16-Jun	0.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB525)	046	ETN	B	755	47.18	n/a	16-Jun	30.20 4.0
AO,	06/17	CAMBIAR CAP (CAMB1111)	046	ETN	B	15	47.18	n/a	16-Jun	0.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB502)	046	ETN	B	340	47.18	n/a	16-Jun	13.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB1122)	046	ETN	B	205	47.18	n/a	16-Jun	8.20 4.0
AO,	06/17	CAMBIAR CAP (CAMB526)	046	ETN	B	830	47.18	n/a	16-Jun	33.20 4.0
AO,	06/17	CAMBIAR CAP (CAMB1112)	046	ETN	B	45	47.18	n/a	16-Jun	1.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB26)	046	ETN	B	340	47.18	n/a	16-Jun	13.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB1100)	046	ETN	B	70	47.18	n/a	16-Jun	2.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB25)	046	ETN	B	565	47.18	n/a	16-Jun	22.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB1099)	046	ETN	B	150	47.18	n/a	16-Jun	6.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB24)	046	ETN	B	170	47.18	n/a	16-Jun	6.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB1098)	046	ETN	B	170	47.18	n/a	16-Jun	6.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB21)	046	ETN	B	4,700	47.18	n/a	16-Jun	188.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1097)	046	ETN	B	170	47.18	n/a	16-Jun	6.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB20)	046	ETN	B	7,900	47.18	n/a	16-Jun	316.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1090)	046	ETN	B	20	47.18	n/a	16-Jun	0.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB10)	046	ETN	B	5,435	47.18	n/a	16-Jun	217.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB1085)	046	ETN	B	125	47.18	n/a	16-Jun	5.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB400)	046	ETN	B	200	47.18	n/a	16-Jun	8.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/17	CAMBIAR CAP (CAMB1087)	046	ETN	B	320	47.18	n/a	16-Jun	12.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB65)	046	ETN	B	6,100	47.18	n/a	16-Jun	244.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1025)	046	ETN	B	3,700	47.18	n/a	16-Jun	148.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB43)	046	ETN	B	5,600	47.18	n/a	16-Jun	224.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1020)	046	ETN	B	20	47.18	n/a	16-Jun	0.80 4.0
AO,	06/17	CAMBIAR CAP (CAMB540)	046	ETN	B	3,900	47.18	n/a	16-Jun	156.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB969)	046	ETN	B	60	47.18	n/a	16-Jun	2.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB972)	046	ETN	B	340	47.18	n/a	16-Jun	13.60 4.0
AO,	06/17	CAMBIAR CAP (CAMB1193)	046	ETN	B	10	47.18	n/a	16-Jun	0.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB970)	046	ETN	B	85	47.18	n/a	16-Jun	3.40 4.0
AO,	06/17	CAMBIAR CAP (CAMB1189)	046	ETN	B	25	47.18	n/a	16-Jun	1.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB879)	046	ETN	B	300	47.18	n/a	16-Jun	12.00 4.0
AO,	06/17	CAMBIAR CAP (CAMB1185)	046	ETN	B	15	47.18	n/a	16-Jun	0.60 4.0

TOTAL (AO, CXL, CRT) : **6,000.00**

TOTAL (Trade Date): 41,038.34

TOTAL (AO, CXL, CRT): 6,000.00

TOTAL (RUN DATE) / NFS: **47,038.34**

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