



## Daily Compliance Activity Report

Trade Date: 06/13/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	ABG	B	5,000	23.57	n/a	27-Apr	250.00	5.0
<b>SPARTAN</b>	<b>093</b>	<b>AXL</b>	<b>B</b>	<b>15,000</b>	<b>9.28</b>	<b>n/a</b>	<b>7-Jun</b>	<b>450.00</b>	<b>3.0</b>
WOOSTER CAPITAL	035	AXL	B	50,000	9.24	n/a	7-Jun	2,500.00	5.0
MAIRS AND POWER INV	030	BAX	B	10,000	50.49	n/a	n/a	500.00	5.0
CORNERSTONE	030	BTI	B	40,778	98.40	n/a	n/a	1,223.34	3.0
PLATTE RIVER CAPITAL	240	BUD	S	40,500	70.13	n/a	4-Jun	1,620.00	4.0
CHART WELL ADV	028	CAKE	S	152,850	30.84	n/a	26-Apr	6,114.00	4.0
SIMMONS VENTURES	041	CHS	B	5,000	13.72	n/a	5-Feb	200.00	4.0
LONG OAR GLOBAL INV	040	CLD	SS	86,876	14.59	n/a	n/a	3,475.04	4.0
T. ROWE PRICE	033	DLTR	B	24,500	106.45	n/a	18-May	980.00	4.0
CATAPULT	040	DPS	B	39,096	43.07	n/a	n/a	1,563.84	4.0
BAIRD INVESTMENT	047	ETN	B	7,115	39.89	n/a	22-May	355.75	5.0
CAERUS GLOBAL	041	GIL	S	10,000	27.10	n/a	12-Jun	400.00	4.0
SCOPUS FUND	041	GPS	SS	50,000	25.59	n/a	n/a	2,000.00	4.0
CHART WELL ADV	028	KITD	S	15,000	3.74	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	031	KSS	S	26,500	43.33	n/a	1-Jun	1,060.00	4.0
WOOSTER CAPITAL	035	LEA	B	10,000	37.70	n/a	4-May	500.00	5.0
CYRUS CAPITAL	025	LPX	SS	70,000	9.38	n/a	7-May	2,100.00	3.0
TOURMALINE PARTNERS LLC	063	LVLTT	S	17,500	20.77	n/a	n/a	525.00	3.0
BAIRD INVESTMENT	047	MA	B	690	414.82	n/a	6-Jun	34.50	5.0
EATON VANCE MGMT	029	MET	S	100,000	29.47	n/a	n/a	3,000.00	3.0
BRONSON POINT	036	MGA	SS	25,000	39.05	n/a	n/a	750.00	3.0
KLEINHEINZ CAP PART	031	M	B	75,000	35.77	n/a	1-Jun	3,750.00	5.0
EMPYREAN CAPITAL	084	NAV	B	190,000	27.69	n/a	13-Jun	9,500.00	5.0
CAPITAL WORLD	084	PEP	B	200,000	68.73	n/a	n/a	7,000.00	3.5
SUFFOLK CAPITAL MGMT	040	PEP	B	25,000	68.51	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	PLCE	C	10,000	43.73	n/a	5-Jun	300.00	3.0
EATON VANCE MGMT	029	PRU	S	85,000	47.53	n/a	n/a	2,550.00	3.0
ACK ASSET	028	PVH	SS	15,000	76.84	n/a	25-May	450.00	3.0
BALYASNY ASSET MGMT	044	RL	C	10,100	141.01	n/a	23-May	505.00	5.0
LONG OAR GLOBAL INV	040	ROC	S	7,254	46.26	n/a	n/a	290.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	SPY	B	10,000	132.35	n/a	n/a	400.00	4.0
HOTCHKIS & WILEY	035	SYA	S	24,200	11.79	n/a	n/a	1,210.00	5.0
NEWLAND CAPITAL MGT	025	TEL	S	10,000	32.34	n/a	n/a	400.00	4.0
SCOPUS FUND	041	USG	SS	50,000	15.68	n/a	17-Apr	2,000.00	4.0
EATON VANCE MGMT	029	XOM	B	88,636	81.18	n/a	n/a	2,659.08	3.0
<b>TOTAL (Trade Date):</b>								<b>62,065.71</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/13	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	50,000	9.24	n/a	7-Jun	2500.00 5.0
AO,CXL	06/12	IRIDIAN ASSET MGMT. (IRAM28)	036	LSI	B	3,300	6.50	n/a	n/a	165.00 5.0
AO,CXL	06/12	IRIDIAN ASSET MGMT. (IRAM158)	036	LSI	B	52,400	6.50	n/a	n/a	2620.00 5.0
AO,CXL	06/12	IRIDIAN ASSET MGMT. (IRAM26)	036	LSI	B	16,860	6.50	n/a	n/a	843.00 5.0
AO,CXL	06/12	IRIDIAN ASSET MGMT. (IRAM192)	036	LSI	B	27,450	6.50	n/a	n/a	1372.50 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,500.50</b>

TOTAL (Trade Date) :	62,065.71
TOTAL (AO, CXL, CRT) :	-2,500.50

<b>TOTAL (RUN DATE) / NFS :</b>	<b>59,565.21</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