



Daily Compliance Activity Report

Trade Date: 06/06/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLG PARTNERS	034	AAP	S	13,287	73.28	n/a	n/a	398.61	3.0
NEWLAND CAPITAL MGT	025	ACCO	S	1,685	9.55	n/a	n/a	50.55	3.0
ROTHSCHILD ASSET	040	ACC	S	15,573	43.79	n/a	n/a	622.92	4.0
OMEGA ADVISORS	041	AIG	B	40,000	29.14	n/a	n/a	1,600.00	4.0
EPOCH INV MGMT	030	ARCO	B	81,750	13.78	n/a	6-Jun	2,452.50	3.0
CAPITAL GROWTH MGMT.	241	BAC	B	1,000,000	7.61	n/a	5-Jun	20,000.00	2.0
SANDLER O'NEILL ASSET	031	BAC	SS	100,000	7.65	n/a	5-Jun	3,000.00	3.0
MERRILL ASSET/BLACKROCK	297	BBCN	S	60,746	10.16	n/a	n/a	2,429.84	4.0
HIGHBRIDGE CAP	041	CF	B	589	169.86	n/a	n/a	17.67	3.0
CAPITAL GROWTH MGMT.	241	CLR	B	30,000	72.22	n/a	n/a	1,500.00	5.0
MERRILL ASSET/BLACKROCK	297	COLB	S	30,400	17.87	n/a	n/a	1,216.00	4.0
BALLAST CAP	040	CONN	S	19,300	15.13	n/a	n/a	965.00	5.0
RBC CAPITAL MARKETS	040	COST	SS	12,000	87.70	n/a	n/a	480.00	4.0
CATAPULT CAP/DEFRANCO	040	DLTR	B	9,560	103.96	n/a	18-May	382.40	4.0
TROUBH PART	070	DTV	B	15,000	44.40	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	EOG	B	2,131	94.03	n/a	n/a	63.93	3.0
T. ROWE PRICE	033	FDX	S	419,580	86.25	n/a	n/a	12,587.40	3.0
ARCHON CAPITAL	035	FRAN	B	50,000	23.70	n/a	n/a	1,500.00	3.0
NWQ INVESTMENT MGMT CO	084	GOLF	S	82,283	6.04	n/a	n/a	2,468.49	3.0
SIMMONS VENTURES	041	JNY	B	10,000	9.90	n/a	26-Apr	400.00	4.0
SANDLER O'NEILL ASSET	031	JPM	SS	35,000	32.69	n/a	5-Jun	1,750.00	5.0
BALLAST CAP	040	KBR	B	8,400	25.28	n/a	n/a	420.00	5.0
WATERFRONT CAP	028	KR	SS	117,600	21.91	n/a	n/a	4,704.00	4.0
AVENUE CAPITAL MGMT	070	LEA	S	92,020	38.57	n/a	4-May	3,680.80	4.0
ELM RIDGE ADVISORS	044	MBI	S	120,000	9.33	n/a	n/a	4,800.00	4.0
SEVEN LOCKS CAPITAL	025	MWV	S	87,650	27.15	n/a	25-Apr	2,629.50	3.0
CATAPULT CAP/DEFRANCO	040	M	S	8,314	37.32	n/a	1-Jun	332.56	4.0
SCOPUS FUND	041	M	SS	57,491	37.27	n/a	1-Jun	2,299.64	4.0
COPIA CAPITAL	031	PCAR	SS	30,700	37.65	n/a	25-Apr	1,074.51	3.5
HIGHBRIDGE CAP	041	PXD	B	1,001	93.22	n/a	9-May	30.03	3.0
COHE & STEERS	041	RSE	SS	25,623	12.83	n/a	n/a	768.69	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	SMSC	S	3,523	36.62	n/a	n/a	105.69	3.0
CATAPULT CAP/DEFRANCO	040	TGT	B	11,121	57.48	n/a	31-May	444.84	4.0
THE JAY GOLDMAN	028	TGT	B	10,000	57.60	n/a	31-May	400.00	4.0
COPIA CAPITAL	031	TRW	B	31,242	38.68	n/a	n/a	1,093.47	3.5
LATEFF MGMT	035	T	S	1,250	34.35	n/a	n/a	137.50	11.3
CAPITAL RESEARCH GROUP		296	XEC	S	66,790	52.08	n/a	n/a	2,337.65 3.5
KAM ADVISORS LLC	041	XLE	C	113,552	64.20	n/a	n/a	3,406.56	3.0
SENATOR INVESTMENT GROUP	036	XLI	B	32,000	34.01	n/a	n/a	960.00	3.0
TOTAL (Trade Date):								84,260.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/05	CHARTER OAK (CHARFUND3)	033	ATI	B	1,883	30.21	n/a	6-Jun	94.15 5.0
AO,	06/05	CHARTER OAK (CHARFUND 2)	033	ATI	B	2,779	30.21	n/a	6-Jun	138.95 5.0
AO,	06/05	CHARTER OAK (CHARMAIN A)	033	ATI	B	20,338	30.21	n/a	6-Jun	1016.90 5.0
AO,	06/05	CATAPULT (CATADEUTCH)	040	DRQ	B	13,080	59.63	n/a	n/a	523.20 4.0
CRT	06/06	SIMMONS VENTURES (SIMMJPM)	041	JNY	B	10,000	9.90	n/a	26-Apr	400.00 4.0
AO,CXL	06/05	WINSLOW CAPITAL (WINS51)	030	PRGO	S	100	104.04	n/a	4-Jun	3.00 3.0
AO,CRT	06/05	WINSLOW CAPITAL (WINS51)	030	PRGO	S	100	104.40	n/a	4-Jun	3.00 3.0
AO,CXL	06/05	FARALLON CAP MGMT (FARABULK F)	040	SWY	B	98,200	18.58	n/a	n/a	3928.00 4.0
AO,CRT	06/05	FARALLON CAP MGMT (FARABULK F)	040	SWY	B	98,200	18.58	n/a	n/a	2946.00 3.0
TOTAL (AO, CXL, CRT) :										1,191.20

TOTAL (Trade Date) :	84,260.75
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TOTAL (RUN DATE) / NFS :	85,451.95
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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