



## Daily Compliance Activity Report

Trade Date: 06/24/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABT	S	125	51.60	n/a	n/a	4.38	3.5
MA CAPITAL MGMT/MELLON ADV041		ALV	B	1,500	75.34	n/a	21-Apr	75.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>10,000</b>	<b>65.46</b>	<b>n/a</b>	<b>19-May</b>	<b>300.00</b>	<b>3.0</b>
KACELA CAPITAL	034	ANF	SS	31,000	64.58	n/a	19-May	1,240.00	4.0
BALYASNY ASSET MGMT	044	ANN	C	25,000	26.04	n/a	n/a	1,250.00	5.0
SANDLER CAPITAL	028	ARW	SS	80,000	36.71	n/a	n/a	4,000.00	5.0
PZENA INV ADV	044	CA	S	400	22.08	n/a	n/a	14.00	3.5
AMBER CAPITAL	046	CIT	S	16,000	42.41	n/a	17-May	640.00	4.0
BARROW HANLEY MEWHINNEY	031	C	B	163,000	39.07	n/a	23-Jun	5,705.00	3.5
AMBER CAPITAL	046	DCOM	B	50,000	14.34	n/a	n/a	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>S</b>	<b>20,000</b>	<b>51.70</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
CATAPULT	040	DD	SS	25,000	50.97	n/a	15-Jun	1,000.00	4.0
TRUST CO OF THE WEST/NY	040	DELL	S	41,400	16.00	n/a	n/a	1,656.00	4.0
RAIL-SPLITTER	031	EAT	SS	4,800	24.86	n/a	29-Apr	240.00	5.0
CAMBIAR CAP	046	ETN	B	226,015	48.53	n/a	16-Jun	9,040.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	FDO	SS	30,000	52.64	n/a	23-Jun	1,500.00	5.0
ROYCE TRADING	012	FINL	B	40,372	21.53	n/a	24-Jun	2,018.60	5.0
GREEN ARROW DOUG	040	FL	SS	25,000	24.67	n/a	2-Jun	1,250.00	5.0
HARVEST MGMT	029	FL	B	10,000	24.30	n/a	2-Jun	400.00	4.0
MACQUARIE INVESTMENT MGMT.	040	FL	S	5,000	24.75	n/a	2-Jun	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	FL	B	50,000	23.71	n/a	2-Jun	2,000.00	4.0
RAINIER INV MGMT	035	FMER	B	99,730	16.03	n/a	n/a	3,989.20	4.0
MA CAPITAL MGMT/MELLON ADV	041	F	B	10,000	13.28	n/a	2-Jun	500.00	5.0
OZ MGMT	040	F	B	116,163	13.26	n/a	2-Jun	3,484.89	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>10,000</b>	<b>32.99</b>	<b>n/a</b>	<b>12-May</b>	<b>300.00</b>	<b>3.0</b>
CIRCLE T/SES PART	033	GM	SS	20,000	29.85	n/a	2-Jun	800.00	4.0
HUNTER GLOBAL INVESTOR	028	GM	SS	200,000	30.01	n/a	2-Jun	10,000.00	5.0
BALYASNY ASSET MGMT	044	GPS	SS	50,000	17.73	n/a	n/a	2,500.00	5.0
BALYASNY ASSET MGMT	044	JCP	C	15,000	34.93	n/a	3-Jun	750.00	5.0
BALYASNY ASSET MGMT	044	JCP	SS	25,000	34.58	n/a	3-Jun	1,250.00	5.0
HUNTER GLOBAL INVESTOR	028	JPM	B	100,000	39.62	n/a	16-Jun	5,000.00	5.0
AMBER CAPITAL	046	KFT	B	62,738	34.48	n/a	n/a	2,509.52	4.0
HOPLITE MGMT	025	KMX	SS	50,000	32.24	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADALY INV MGMT	031	KSS	B	10,000	50.03	n/a	3-Jun	500.00	5.0
KACELA CAPITAL	034	KSS	SS	41,000	49.47	n/a	3-Jun	1,640.00	4.0
MACQUARIE INVESTMENT MGMT.	040	KSS	B	5,000	49.49	n/a	3-Jun	0.00	0.0
BASIX	033	LEA	B	30,000	50.81	n/a	2-May	900.00	3.0
DELTEC ASSET MGMT.	040	MGA	S	18,000	50.23	n/a	n/a	900.00	5.0
SURVEYOR CAPITAL	041	MGM	B	77,793	12.58	n/a	13-Jun	2,333.79	3.0
ROYCE TRADING	012	MLI	B	5,300	36.26	n/a	27-Apr	265.00	5.0
PIONEER PATH	028	MU	B	164,708	7.30	n/a	n/a	4,941.24	3.0
ADALY INV MGMT	031	QUAD	B	10,000	38.33	n/a	n/a	500.00	5.0
CYRUS CAPITAL	025	SLGN	S	17,000	40.11	n/a	n/a	680.00	4.0
SENATOR INVESTMENT GROUP	036	SLGN	S	92,800	40.06	n/a	n/a	2,784.00	3.0
FORTRESS INVESTMENT (US)	036	SPW	B	6,000	79.39	n/a	n/a	240.00	4.0
TUDOR INVESTORS	028	SWK	SS	2,000	70.83	n/a	n/a	60.00	3.0
DSG CAPITAL	012	TEX	B	10,000	26.41	n/a	25-Apr	300.00	3.0
JP MORGAN VENTURES	046	TIF	SS	10,000	75.56	n/a	n/a	400.00	4.0
SONTERRA CAP	041	TIN	B	150,000	29.92	n/a	21-Jun	6,000.00	4.0
BARROW HANLEY MEWHINNEY	031	UNH	S	800	50.36	n/a	n/a	28.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	VAL	B	25,000	35.73	n/a	n/a	750.00	3.0
PIONEER PATH	028	VLO	B	26,008	23.08	n/a	n/a	780.24	3.0
PERRY PARTNERS	085	WMB	S	50,000	29.05	n/a	n/a	2,500.00	5.0
BNP PARIBAS SEC	040	ZUMZ	SS	18,900	24.64	n/a	n/a	945.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>95,464.46</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									95,464.46
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									95,464.46

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