



Daily Compliance Activity Report

Trade Date: 06/30/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABT	B	275	52.46	n/a	n/a	9.63	3.5
OZ MGMT	040	ALV	SS	14,179	79.00	n/a	27-Jun	425.37	3.0
PIONEER PATH	028	ANF	S	40,000	67.11	n/a	19-May	1,200.00	3.0
PIONEER PATH	028	ARO	SS	40,000	17.60	n/a	20-May	1,200.00	3.0
BASIX	033	AXE	S	5,000	65.17	n/a	22-Jun	150.00	3.0
CYRUS CAPITAL	025	AXL	B	43,000	11.62	n/a	25-May	1,290.00	3.0
TUDOR INVESTORS	028	CBE	B	5,000	59.08	n/a	26-Apr	150.00	3.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.26	n/a	n/a	400.00	4.0
DSG CAPITAL	012	DAN	B	20,000	18.59	n/a	25-May	600.00	3.0
MILLENNIUM-ICS BOBBY	044	DAN	B	10,000	18.35	n/a	25-May	300.00	3.0
PIONEER PATH	028	DBA	B	50,000	31.74	n/a	n/a	1,500.00	3.0
AMBER CAPITAL	046	DCOM	B	249	14.40	n/a	n/a	9.96	4.0
TUDOR INVESTORS	028	DE	B	3,000	81.00	n/a	19-May	90.00	3.0
SANDLER CAPITAL	028	DHR	C	90,000	53.37	n/a	n/a	4,500.00	5.0
BALYASNY ASSET MGMT	044	DSW	B	20,000	50.50	n/a	11-Feb	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	ETN	B	16,435	51.30	n/a	16-Jun	657.40	4.0
ROYCE TRADING	012	FINL	B	5,000	21.71	n/a	24-Jun	250.00	5.0
BNP PARIBAS SEC	040	FL	S	50,000	24.09	n/a	2-Jun	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	FL	S	25,000	24.00	n/a	2-Jun	750.00	3.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	73,200	24.07	n/a	2-Jun	2,196.00	3.0
BUTTE CAPITAL MGMT LLC	084	F	B	50,000	13.74	n/a	30-Jun	2,500.00	5.0
CIRCLE T/SES PART	033	F	B	25,000	13.50	n/a	30-Jun	1,000.00	4.0
FIRST NY SEC/CHRIS	041	F	B	20,000	13.76	n/a	30-Jun	1,000.00	5.0
OZ MGMT	040	F	B	400,000	13.63	n/a	30-Jun	12,000.00	3.0
OZ MGMT	040	F	C	159,442	13.49	n/a	30-Jun	4,783.26	3.0
OZ MGMT	040	F	S	100,000	13.82	n/a	30-Jun	3,000.00	3.0
ROSEDALE CAPITAL	046	F	B	30,000	13.40	n/a	30-Jun	1,200.00	4.0
ROSEDALE CAPITAL	046	F	S	30,000	13.93	n/a	30-Jun	1,200.00	4.0
SCHOTTENFELD ASSOC	041	F	S	25,000	13.62	n/a	30-Jun	750.00	3.0
TRELLUS PARTNERS LP	028	F	B	100,000	13.38	n/a	30-Jun	5,000.00	5.0
TUDOR INVESTORS	028	F	B	10,000	13.90	n/a	30-Jun	300.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	B	30,000	13.73	n/a	30-Jun	1,200.00	4.0
PLATTE RIVER CAPITAL	240	GES	B	15,320	42.73	n/a	26-May	612.80	4.0
M&I FUNDS	047	GE	S	44,887	18.83	n/a	n/a	1,795.48	4.0
KLEINHEINZ CAP PART	031	GIL	B	50,000	35.02	n/a	12-May	2,500.00	5.0
TUDOR INVESTORS	028	GMT	B	5,000	37.25	n/a	n/a	150.00	3.0
PIIONEER PATH	028	GPS	SS	25,000	18.10	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	KSS	C	25,000	50.10	n/a	30-Jun	1,250.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,600	37.16	n/a	16-Jun	530.00	5.0
CASTLEROCK	040	LOW	SS	148,371	23.33	n/a	13-Jun	5,934.84	4.0
CHESAPEAKE PARTNERS	028	LYV	S	50,000	11.40	n/a	n/a	1,500.00	3.0
BARROW HANLEY MEWHINNEY	031	MDT	B	88,000	38.65	n/a	n/a	3,080.00	3.5
CHESAPEAKE PARTNERS	028	MF	S	45,000	7.79	n/a	n/a	1,350.00	3.0
ROYCE TRADING	012	MLI	B	3,000	37.84	n/a	27-Apr	150.00	5.0
NICOLAS APPLGATE	084	MON	B	10,600	71.96	n/a	30-Jun	212.00	2.0
GRANITE CAPITAL	028	MO	S	2,000	26.19	n/a	n/a	100.00	5.0
GRANITE CAPITAL	028	MSFT	S	800	25.79	n/a	n/a	40.00	5.0
MERRILL ASSET/BLACKROCK	297	MS	S	500,000	22.84	n/a	16-Jun	20,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	MTOR	B	10,000	16.20	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	NBR	B	40,000	24.60	n/a	n/a	2,000.00	5.0
LATEFF MGMT	035	NUE	B	1,000	40.87	n/a	n/a	150.00	15.0
NEWLAND CAPITAL MGT	025	PH	S	25,000	89.76	n/a	28-Apr	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	PLCE	B	3,000	44.77	n/a	8-Jun	150.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	3,000	65.55	n/a	2-Jun	90.00	3.0
BMO NESBITT BURNS	041	RKT	SS	3,000	65.99	n/a	n/a	150.00	5.0
COOKBIELER	028	RS	B	50,230	49.98	n/a	n/a	2,009.20	4.0
SONTERRA CAP	041	SLE	B	62,531	18.95	n/a	n/a	2,501.24	4.0
CASTLEROCK	040	SNI	SS	42,938	48.74	n/a	n/a	1,717.52	4.0
SONTERRA CAP	041	SUG	S	100,000	40.16	n/a	n/a	4,000.00	4.0
TUDOR INVESTORS	028	SWK	SS	3,000	71.97	n/a	n/a	90.00	3.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.35	n/a	n/a	800.00	4.0
BARROW HANLEY MEWHINNEY	031	TGT	B	276,500	46.75	n/a	2-Jun	9,677.50	3.5
COBALT	041	TIN	S	50,000	29.68	n/a	21-Jun	2,000.00	4.0
RBC CAPITAL MARKETS	040	TIN	B	50,000	29.73	n/a	21-Jun	2,000.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084		TIN	B	10,000	29.84		n/a 21-Jun	400.00	4.0
BALYASNY ASSET MGMT	044	URBN	SS	10,000	28.20	n/a	n/a	500.00	5.0
SAC CRIB	044	URI	S	50,000	25.43	n/a	n/a	1,750.00	3.5
SENATOR INVESTMENT GROUP	036	VAL	B	800	35.98	n/a	n/a	24.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARROW HANLEY MEWHINNEY	031	VOD	B	204,500	26.74	n/a	n/a	7,157.50	3.5
PEAK INV LLC	084	WFCWS	S	13,000	9.36	n/a	n/a	520.00	4.0
RK CAPTIAL MGMT	046	WTSLA	S	50,000	4.50	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date) :								133,253.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/29	BERMAN CAPITAL MGMT (BERMMS)	046	SPY	S	40,000	130.76	n/a	n/a	1200.00 3.0
AO,CRT	06/29	BERMAN CAPITAL MGMT (BERMMS)	046	SPY	S	40,000	130.76	n/a	n/a	2000.00 5.0
AO,	06/29	STRONG/WELLS CAP ANN F (SCHTST1219)	047	V	B	160	86.23	n/a	30-Jun	6.40 4.0
AO,	06/29	STRONG/WELLS CAP ANN F (SCHTST2050)	047	V	B	55,100	86.23	n/a	30-Jun	2204.00 4.0
AO,	06/29	STRONG/WELLS CAP ANN F (SCHTST9989)	047	V	B	6	86.23	n/a	30-Jun	0.24 4.0
AO,	06/29	STRONG/WELLS CAP ANN F (SCHTBO8316)	047	V	B	20,700	86.23	n/a	30-Jun	828.00 4.0
AO,	06/28	SOROS (SOROCITIB)	036	WDC	S	1,200	35.30	n/a	n/a	48.00 4.0
AO,CXL	06/28	SOROS (SOROCSPB)	036	WDC	S	51,000	35.30	n/a	n/a	2040.00 4.0
AO,	06/28	SOROS (SOROCSPB)	036	WDC	S	49,800	35.30	n/a	n/a	1992.00 4.0
AO,CXL	06/29	PERRY PARTNERS (PERRGOLDMA)	085	YHOO	B	50,000	14.84	n/a	n/a	2500.00 5.0
AO,CRT	06/29	PERRY PARTNERS (PERRGOLDMA)	085	YHOO	B	50,000	14.84	n/a	n/a	2000.00 4.0

TOTAL (AO, CXL, CRT) :**3,338.64**

TOTAL (Trade Date):

133,253.70

TOTAL (AO, CXL, CRT):

3,338.64

TOTAL (RUN DATE) / NFS:**136,592.34**

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