



Daily Compliance Activity Report

Trade Date: 06/19/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ACCO	S	10,000	10.55	n/a	n/a	500.00	5.0
LATEEF MGMT	035	ATI	S	100	29.91	n/a	6-Jun	30.00	30.0
FRED ALGER MGMT	035	CAT	B	19,500	88.39	n/a	13-Jun	702.00	3.6
HARVEST MGMT (JMP)	029	CCE	B	20,000	27.18	n/a	n/a	800.00	4.0
MILLENNIUM-ANDEW	031	CVX	S	6,200	104.04	n/a	n/a	372.00	6.0
STANDARD PACIFIC CAPITAL	084	ETFC	S	100,000	8.03	n/a	n/a	4,000.00	4.0
ROYCE TRADING	031	FINL	B	1,000	19.30	n/a	31-May	50.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	60,625	29.71	n/a	18-May	1,818.75	3.0
HG VORA CAP MGMT LLC	025	FOR	S	16,600	13.50	n/a	11-May	498.00	3.0
SCOPUS FUND	041	HON	B	50,000	56.59	n/a	14-Jun	2,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	HUBB	S	20,000	78.33	n/a	n/a	800.00	4.0
LATEEF MGMT	035	INTC	S	125	27.51	n/a	n/a	31.25	25.0
KLEINHEINZ CAP PART	031	JCP	S	100,000	21.98	n/a	16-May	5,000.00	5.0
MILLENNIUM-ANDEW	031	JOY	B	10,000	57.98	n/a	13-Jun	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	035	JPM	B	45,995	35.35	n/a	15-Jun	1,655.82	3.6
THE JAY GOLDMAN	028	KSS	B	10,000	43.53	n/a	1-Jun	400.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	SS	30,000	25.70	n/a	19-Jun	1,500.00	5.0
HOPLITE MGMT	025	LPX	S	24,523	10.51	n/a	7-May	980.92	4.0
DSG CAPITAL	030	MWW	B	10,600	8.85	n/a	n/a	318.00	3.0
HARVEST MGMT (JMP)	029	M	SS	20,000	36.55	n/a	1-Jun	800.00	4.0
CATAPULT	040	NDSN	B	17,612	53.64	n/a	n/a	704.48	4.0
WEINTRAUB CAPITAL MGT.	269	ONE	B	10,000	11.01	n/a	n/a	400.00	4.0
NORTHWESTERN MUTUAL LIFE	047	PAG	B	33,100	24.01	n/a	26-Apr	1,324.00	4.0
SUTTON BROOK	086	PEB	S	45,000	22.39	n/a	n/a	1,800.00	4.0
LATEEF MGMT	035	PFE	S	250	22.69	n/a	n/a	37.50	15.0
FIRST NY SEC/CHRIS	041	P	B	15,000	11.10	n/a	n/a	450.00	3.0
MERRILL ASSET/BLACKROCK	297	RGA	S	39,600	52.00	n/a	n/a	1,584.00	4.0
COHE & STEERS	041	RYN	B	150,000	44.20	n/a	3-May	6,000.00	4.0
UNITED STATES PENSION	085	SPY	B	36,020	135.79	n/a	n/a	1,080.60	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	035	SWKS	S	72,260	28.34	n/a	n/a	2,601.36	3.6
LATEEF MGMT	035	SYU	S	1,400	29.51	n/a	n/a	140.00	10.0
FRED ALGER MGMT	035	TCO	B	15,430	75.95	n/a	n/a	555.48	3.6
MTB INV ADV	034	TEN	B	22,025	27.66	n/a	n/a	715.81	3.3
FRED ALGER MGMT	035	TGI	B	14,430	57.60	n/a	n/a	519.48	3.6
WEINTRAUB CAPITAL MGT.	269	TGT	B	25,000	58.41	n/a	31-May	1,000.00	4.0
HARVEST MGMT (JMP)	029	TUP	B	5,000	53.69	n/a	n/a	200.00	4.0
DELTEC ASSET MGMT.	040	URI	B	5,200	36.10	n/a	17-Apr	260.00	5.0
WADDELL AND REED	047	VIV	S	77,420	24.51	n/a	n/a	3,096.80	4.0
WATERFRONT CAP	028	WY	S	118,552	21.33	n/a	4-May	4,742.08	4.0
SENATOR INVESTMENT GROUP	036	XLV	B	100,000	37.67	n/a	n/a	3,000.00	3.0
TOTAL (Trade Date) :								53,068.33	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/18	ROYCE TRADING (ROYC67)	031	FINL	B	5,800	19.02	n/a	31-May	290.00 5.0
AO,	06/18	ROYCE TRADING (ROYC67)	031	FINL	B	5,900	19.02	n/a	31-May	295.00 5.0
AO,CXL	06/18	ROYCE TRADING (ROYC66)	031	FINL	B	200	19.02	n/a	31-May	10.00 5.0
AO,	06/18	ROYCE TRADING (ROYC66)	031	FINL	B	100	19.02	n/a	31-May	5.00 5.0
AO,	06/14	STELLIAM INV ADV (STLLCSFB)	034	PFE	S	800	22.48	n/a	n/a	40.00 5.0
AO,CXL	06/14	STELLIAM INV ADV (STLLGSBULK)	034	PFE	S	25,000	22.48	n/a	n/a	1250.00 5.0
AO,CRT	06/14	STELLIAM INV ADV (STLLMSEXEC)	034	PFE	S	24,200	22.48	n/a	n/a	1210.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	53,068.33
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	53,068.33
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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