



## Daily Compliance Activity Report

Trade Date: 06/27/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	AIMC	S	800	23.61	n/a	n/a	32.00	4.0
IRIDIAN ASSET MGMT.	036	ALU	C	262,380	5.43	n/a	n/a	7,871.40	3.0
FIRST NY SEC/CHRIS	041	ALV	S	10,000	75.79	n/a	27-Jun	500.00	5.0
HUNTER GLOBAL INVESTOR	028	ALV	B	16,417	75.74	n/a	27-Jun	820.85	5.0
OZ MGMT	040	ALV	B	75,000	75.95	n/a	27-Jun	2,250.00	3.0
KLEINHEINZ CAP PART	031	AN	B	40,000	35.24	n/a	27-Apr	2,000.00	5.0
TUDOR INVESTORS	028	AWI	B	2,000	44.26	n/a	n/a	60.00	3.0
WHITE PINE CAPITAL	030	BHI	S	100	67.58	n/a	n/a	5.00	5.0
WHITE PINE CAPITAL	030	CHS	S	700	15.03	n/a	5-Feb	35.00	5.0
WHITE PINE CAPITAL	030	COST	S	400	79.85	n/a	n/a	20.00	5.0
ROTHSCHILD ASSET	040	CPX	S	16,020	29.82	n/a	n/a	640.80	4.0
RAIL-SPLITTER	031	EAT	SS	17,100	24.57	n/a	29-Apr	595.00	2.5
HARVEST MGMT	029	ERTS	SS	20,000	21.69	n/a	n/a	800.00	4.0
LAGRANGE CAP ADV	085	FII	B	10,000	23.80	n/a	2-Mar	500.00	5.0
ROYCE TRADING	012	FINL	B	12,000	21.41	n/a	24-Jun	600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	FL	S	25,000	24.04	n/a	2-Jun	1,250.00	5.0
HARVEST MGMT	029	FL	B	10,000	24.24	n/a	2-Jun	400.00	4.0
RAINIER INV MGMT	035	FMER	B	107,600	16.26	n/a	n/a	4,304.00	4.0
AMBER CAPITAL	046	GIS	S	300,000	37.20	n/a	n/a	12,000.00	4.0
HUNTER GLOBAL INVESTOR	028	GM	SS	100,000	29.99	n/a	2-Jun	5,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	GM	S	35,000	29.91	n/a	2-Jun	1,050.00	3.0
MERRILL ASSET/BLACKROCK	297	GR	S	34,100	92.54	n/a	21-Jun	1,364.00	4.0
WHITE PINE CAPITAL	030	HOTT	S	1,500	7.35	n/a	n/a	75.00	5.0
ROTHSCHILD ASSET	040	IWN	S	3,974	71.50	n/a	n/a	158.96	4.0
WHITE PINE CAPITAL	030	IWV	C	2,000	76.80	n/a	n/a	100.00	5.0
WHITE PINE CAPITAL	030	JPM	S	1,000	39.74	n/a	16-Jun	50.00	5.0
RAIL-SPLITTER	031	KNL	B	15,000	19.84	n/a	n/a	750.00	5.0
WHITE PINE CAPITAL	030	KSS	S	250	50.05	n/a	3-Jun	12.50	5.0
BALYASNY ASSET MGMT	044	LTD	SS	20,000	37.34	n/a	n/a	1,000.00	5.0
CHESAPEAKE PARTNERS	028	LYV	S	20,000	11.03	n/a	n/a	600.00	3.0
MERRILL ASSET/BLACKROCK	297	L	B	22,900	41.14	n/a	n/a	916.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	MGA	S	6,000	50.65	n/a	n/a	300.00	5.0
WHITE PINE CAPITAL	030	MRO	S	350	48.92	n/a	n/a	17.50	5.0
MAIRS AND POWER INV	030	NLC	B	10,000	26.58	n/a	n/a	500.00	5.0
TUDOR INVESTORS	028	OC	B	2,000	36.54	n/a	n/a	60.00	3.0
CATAPULT	040	OI	B	15,000	25.15	n/a	n/a	600.00	4.0
BASCOM HILL PARTNERS LLC	033	PAY	S	2,500	42.36	n/a	n/a	75.00	3.0
WHITE PINE CAPITAL	030	PBCT	S	1,600	12.88	n/a	19-May	80.00	5.0
BALYASNY ASSET MGMT	044	PCAR	SS	10,000	48.64	n/a	20-Apr	500.00	5.0
ROTHSCHILD ASSET	040	PII	S	6,961	107.29	n/a	n/a	278.44	4.0
ROTHSCHILD ASSET	040	POR	B	22,646	25.16	n/a	n/a	905.84	4.0
ROTHSCHILD ASSET	040	PRE	S	14,120	67.61	n/a	n/a	564.80	4.0
DELTEC ASSET MGMT.	040	RRR	B	21,000	10.90	n/a	26-Apr	1,050.00	5.0
RAIL-SPLITTER	031	SCS	B	25,000	11.39	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	SKT	S	6,836	26.66	n/a	n/a	273.44	4.0
BMO NESBITT BURNS	041	SKX	S	5,000	13.54	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	029	SPY	SS	5,000	127.72	n/a	n/a	150.00	3.0
FIRST NEW YORK NICK	029	S	B	20,000	5.15	n/a	n/a	1,000.00	5.0
PZENA INV ADV	044	TAP	B	2,400	44.35	n/a	n/a	84.01	3.5
FORTRESS INVESTMENT (US)	036	TD	SS	35,000	80.53	n/a	n/a	1,400.00	4.0
BNP PARIBAS SEC	040	TIN	S	25,000	29.61	n/a	21-Jun	1,250.00	5.0
FORTRESS INVESTMENT (US)	036	TMK	SS	50,000	62.91	n/a	n/a	2,000.00	4.0
ENTRUST CAPITAL	040	URBN	B	66,100	28.49	n/a	n/a	3,305.00	5.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>VOD</b>	<b>B</b>	<b>3,000</b>	<b>26.32</b>	<b>n/a</b>	<b>n/a</b>	<b>120.00</b>	<b>4.0</b>
PEAK INV LLC	084	WFCWS	S	4,700	9.27	n/a	n/a	188.00	4.0
BNP PARIBAS SEC	040	XIDE	B	70,000	7.30	n/a	n/a	3,500.00	5.0
SENATOR INVESTMENT GROUP	036	XLB	SS	100,000	37.56	n/a	n/a	3,000.00	3.0
PERRY PARTNERS	085	YPF	S	18,000	41.50	n/a	n/a	900.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>69,312.54</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/24	BARROW HANLEY MEWHINNEY (BARR1832)	031	C	B	1,900	39.07	n/a	23-Jun	66.50 3.5
AO,CXL	06/24	BARROW HANLEY MEWHINNEY (BARR1830F)	031	C	B	5,100	39.07	n/a	23-Jun	178.50 3.5
AO,	06/24	BARROW HANLEY MEWHINNEY (BARR1830F)	031	C	B	1,900	39.07	n/a	23-Jun	66.50 3.5
AO,	06/24	BARROW HANLEY MEWHINNEY (BARR1830E)	031	C	B	5,100	39.07	n/a	23-Jun	178.50 3.5
AO,	06/24	COLUMBUS CIRCLE (COLC3050)	036	GPRO	B	1,268	69.78	n/a	n/a	50.72 4.0
AO,	06/24	NOMURA CAPITAL (NOMUGMCA)	029	VC	S	350	66.74	n/a	n/a	10.50 3.0
AO,	06/24	NOMURA CAPITAL (NOMU7N1Q)	029	VC	S	425	66.74	n/a	n/a	12.75 3.0
AO,	06/24	NOMURA CAPITAL (NOMU7N1R)	029	VC	S	250	66.74	n/a	n/a	7.50 3.0
AO,	06/24	NOMURA CAPITAL (NOMULASERS)	029	VC	S	200	66.74	n/a	n/a	6.00 3.0
AO,	06/24	NOMURA CAPITAL (NOMUAYCB)	029	VC	S	400	66.74	n/a	n/a	12.00 3.0
AO,	06/24	NOMURA CAPITAL (NOMUSPH)	029	VC	S	75	66.74	n/a	n/a	2.25 3.0
CRT	06/27	BNP PARIBAS SEC (BNPPMAIN)	040	XIDE	B	70,000	7.30	n/a	n/a	3500.00 5.0

**TOTAL (AO, CXL, CRT) :****3,601.72**

TOTAL (Trade Date) :

69,312.54

TOTAL (AO, CXL, CRT) :

3,601.72

**TOTAL (RUN DATE) / NFS:****72,914.26**

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