



# Daily Compliance Activity Report

Trade Date: 06/15/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	ABH	SS	10,000	22.27	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	ACN	S	2,600	55.57	n/a	n/a	104.00	4.0
PAW PARTNERS	025	ALTR	SS	3,000	43.12	n/a	n/a	150.00	5.0
LISTED ERR	099	ALTR	B	5,000	43.08	n/a	n/a	0.00	0.0
LISTED ERR	099	ALTR	SS	2,000	43.12	n/a	n/a	0.00	0.0
LISTED ERR	099	ALTR	S	3,000	43.07	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	ANR	S	30,000	45.12	n/a	n/a	1,500.00	5.0
NCM CAPITAL MGMT	035	ARE	B	19,325	76.12	n/a	n/a	773.00	4.0
SUN AMERICA ASSET MGMT	030	ARUN	B	800	26.34	n/a	n/a	32.00	4.0
PAW PARTNERS	025	ATML	SS	10,000	13.35	n/a	n/a	500.00	5.0
LISTED ERR	099	ATR	B	1,500	50.62	n/a	n/a	0.00	0.0
LISTED ERR	099	ATR	SS	1,500	50.65	n/a	n/a	0.00	0.0
PIONEER PATH	028	BAC	B	23,877	10.49	n/a	2-Jun	716.31	3.0
JP MORGAN VENTURES	046	BBBY	S	9,000	53.76	n/a	n/a	360.00	4.0
HAHN CAPITAL MANAGEMENT	084	BCO	S	3,870	27.40	n/a	n/a	193.50	5.0
PAW PARTNERS	025	BCSI	S	3,898	22.04	n/a	n/a	194.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	BGC	B	28,565	37.79	n/a	n/a	1,428.25	5.0
CAPITAL GROWTH MGMT.	241	BHI	S	6,500	69.91	n/a	n/a	325.00	5.0
SUN AMERICA ASSET MGMT	030	BIDU	B	400	120.18	n/a	n/a	16.00	4.0
DELTEC ASSET MGMT.	040	BONT	B	10,000	8.48	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	COL	S	150,000	59.10	n/a	3-Jun	4,500.00	3.0
SUN AMERICA ASSET MGMT	030	CTSH	B	900	67.99	n/a	n/a	36.00	4.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	36,628	13.91	n/a	n/a	1,831.40	5.0
SUN AMERICA ASSET MGMT	030	CY	B	1,700	20.40	n/a	n/a	68.00	4.0
IVORY CAPITAL	034	C	B	100,000	38.01	n/a	14-Jun	5,000.00	5.0
PIONEER PATH	028	C	B	19,894	37.79	n/a	14-Jun	596.82	3.0
SANDLER O'NEILL ASSET	031	C	B	5,000	38.68	n/a	14-Jun	100.00	2.0
AMBER CAPITAL	046	ENR	B	9,000	69.67	n/a	14-Jun	360.00	4.0
DAVIDSON KEMPNER ADVISOR	040	EP	B	50,000	19.38	n/a	n/a	2,500.00	5.0
RIDGECREST INV MGMT LLC	028	ERY	B	10,000	16.59	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	ETN	B	100,000	46.53	n/a	17-May	5,000.00	5.0
CAPITAL GROWTH MGMT.	241	FCX	S	6,000	48.38	n/a	n/a	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	FINL	B	2,500	21.91	n/a	10-May	125.00	5.0
NCM CAPITAL MGMT	035	FITB	S	42,375	12.29	n/a	n/a	1,695.00	4.0
MERRILL ASSET/BLACKROCK	297	FOR	B	40,300	15.98	n/a	5-May	1,612.00	4.0
NCM CAPITAL MGMT	035	FULT	S	51,550	10.43	n/a	n/a	2,062.00	4.0
OZ MGMT	040	F	C	70,865	13.12	n/a	2-Jun	2,125.95	3.0
PECONIC PARTNERS	036	F	C	100,000	13.30	n/a	2-Jun	5,000.00	5.0
MACQUARIE INVESTMENT MGMT.	040	GIS	B	10,000	38.12	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	GLBL	B	2,600	5.45	n/a	n/a	104.00	4.0
TUDOR INVESTORS	028	GM	B	10,000	28.95	n/a	2-Jun	300.00	3.0
DAVIDSON KEMPNER ADVISOR	040	HII	C	14,700	36.20	n/a	n/a	735.00	5.0
ROTHSCHILD ASSET	040	HME	S	12,605	60.10	n/a	n/a	504.20	4.0
AMBER CAPITAL	046	HOG	B	49,000	35.86	n/a	n/a	1,960.00	4.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>HRS</b>	<b>B</b>	<b>2,000</b>	<b>45.20</b>	<b>n/a</b>	<b>4-May</b>	<b>80.00</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	IP	B	75,000	26.95	n/a	28-Apr	3,750.00	5.0
PIONEER PATH	028	IWB	SS	7,900	71.54	n/a	n/a	237.00	3.0
NCM CAPITAL MGMT	035	LNC	S	10,025	26.40	n/a	n/a	401.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	MAA	S	6,100	66.21	n/a	n/a	244.00	4.0
NCM CAPITAL MGMT	035	MAC	B	9,000	49.73	n/a	n/a	360.00	4.0
ROYCE TRADING	012	MLI	B	60,000	35.49	n/a	27-Apr	3,000.00	5.0
BRONSON POINT	036	MMM	B	5,000	91.92	n/a	17-May	150.00	3.0
SONTERRA CAP	041	MWV	S	24,024	32.08	n/a	27-Apr	960.96	4.0
SAC CHICAGO ANDREW	031	M	B	146,900	27.36	n/a	3-Jun	5,141.50	3.5
CATAPULT	040	NEU	SS	3,000	156.31	n/a	n/a	120.00	4.0
PAW PARTNERS	025	OTEX	SS	3,000	59.31	n/a	n/a	150.00	5.0
SUN AMERICA ASSET MGMT	030	REN	B	1,400	16.93	n/a	n/a	56.00	4.0
BRONSON POINT	036	RLD	SS	10,000	23.81	n/a	n/a	300.00	3.0
PAW PARTNERS	025	SAPE	S	10,000	14.42	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	SWFT	B	2,000	13.00	n/a	n/a	80.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	40,000	29.22	n/a	7-Jun	2,000.00	5.0
TRELLUS PARTNERS LP	028	TIN	B	30,000	28.66	n/a	7-Jun	1,500.00	5.0
SUN AMERICA ASSET MGMT	030	TPLM	B	3,500	6.50	n/a	n/a	140.00	4.0
CAPITAL GROWTH MGMT.	241	UNH	S	6,100	49.34	n/a	n/a	305.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	WRC	B	40,000	48.21	n/a	6-May	2,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	XLB	B	30,000	37.67	n/a	n/a	1,500.00	5.0
RIDGECREST INV MGMT LLC	028	XME	SS	15,000	64.55	n/a	n/a	750.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>67,933.79</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/14	ROSEDALE CAPITAL (&ROSEGS)	046	F	S	20,000	13.53	n/a	2-Jun	1000.00 5.0
AO,CRT	06/14	ROSEDALE CAPITAL (&ROSEGS)	046	F	S	20,000	13.53	n/a	2-Jun	800.00 4.0
AO,CXL	06/14	CHESAPEAKE PARTNERS (CHSAMSPB)	028	GRM	B	50,960	26.34	n/a	n/a	1528.80 3.0
AO,	06/14	CHESAPEAKE PARTNERS (CHSAMSPB)	028	GRM	S	50,960	26.34	n/a	n/a	1528.80 3.0

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**TOTAL (AO, CXL, CRT) :****-200.00**

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**TOTAL (Trade Date) :****67,933.79****TOTAL (AO, CXL, CRT) :****-200.00**

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**TOTAL (RUN DATE) / NFS:****67,733.79**

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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