



Daily Compliance Activity Report

Trade Date: 07/01/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SEVEN LOCKS CAPITAL	025	AOS	B	500	42.49	n/a	6-Jun	15.00	3.0
SAXON WOODS ADVISORS	091	APD	S	4,000	96.38	n/a	20-Jun	120.00	3.0
WAGONHOUND/NICOLAS	033	AXE	B	6,924	65.90	n/a	22-Jun	276.96	4.0
PLATTE RIVER CAPITAL	240	BUD	S	12,300	58.05	n/a	29-Jun	492.00	4.0
SAXON WOODS ADVISORS	091	BWA	B	7,000	80.90	n/a	29-Apr	210.00	3.0
BUCK CAPITAL MGMT	001	COH	S	30,000	63.98	n/a	3-Jun	900.00	3.0
SEVEN LOCKS CAPITAL	025	DAN	B	900	18.27	n/a	25-May	27.00	3.0
CIRCLE T/SES PART	033	F	S	25,000	14.00	n/a	30-Jun	1,000.00	4.0
MILLENNIUM-ICS BOBBY	044	F	S	10,000	13.98	n/a	30-Jun	300.00	3.0
OZ MGMT	040	F	B	51,665	13.92	n/a	30-Jun	1,549.95	3.0
OZ MGMT	040	F	SS	250,000	14.00	n/a	30-Jun	7,500.00	3.0
OZ MGMT	040	F	S	300,000	14.03	n/a	30-Jun	9,000.00	3.0
TRELLUS PARTNERS LP	028	F	S	100,000	14.04	n/a	30-Jun	5,000.00	5.0
WAGONHOUND/NICOLAS	033	F	S	50,683	14.03	n/a	30-Jun	2,027.32	4.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	30.37	n/a	30-Jun	2,500.00	5.0
MILLENNIUM-ICS BOBBY	044	GM	S	10,000	30.38	n/a	30-Jun	300.00	3.0
ARMATURE CAPITAL	041	GT	B	50,000	17.23	n/a	n/a	2,000.00	4.0
RIDGECREST INV MGMT LLC	028	HOG	B	5,000	41.75	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	HOT	B	5,000	57.76	n/a	13-Jun	250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	JCP	SS	5,000	35.04	n/a	30-Jun	0.00	0.0
NUVEEN - US BANCORP		030	JOYG	B	40,592	95.94	n/a	3-Jun	1,826.66 4.5
CHESAPEAKE PARTNERS	028	LYV	S	50,000	11.68	n/a	n/a	1,500.00	3.0
CHESAPEAKE PARTNERS	028	MF	S	48,000	7.85	n/a	n/a	1,440.00	3.0
ROYCE TRADING	012	MLI	B	3,000	38.17	n/a	27-Apr	150.00	5.0
SONTERRA CAP	041	MMI	SS	50,000	22.70	n/a	n/a	2,000.00	4.0
SANDLER O'NEILL ASSET	031	MS	S	50,000	23.68	n/a	1-Jul	2,500.00	5.0
CHESAPEAKE PARTNERS	028	NDAQ	S	20,000	25.76	n/a	n/a	600.00	3.0
SONTERRA CAP	041	OSK	B	400,000	32.94	n/a	n/a	16,000.00	4.0
ROYCE TRADING	012	PLCE	B	25,500	44.99	n/a	8-Jun	1,275.00	5.0
SMITH MGMT LLC	029	PSS	B	300,000	15.06	n/a	n/a	9,000.00	3.0
SCOPUS FUND	041	RKT	SS	5,000	66.49	n/a	n/a	200.00	4.0
COHE & STEERS	041	RYN	B	54,432	66.45	n/a	3-Jun	2,177.28	4.0
CHESAPEAKE PARTNERS	028	SKS	S	20,000	11.33	n/a	n/a	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	TRN	SS	25,000	35.70	n/a	n/a	1,000.00	4.0
HARVEST MGMT	029	URI	B	23,500	26.59	n/a	n/a	940.00	4.0
BNP PARIBAS SEC	040	USG	B	20,000	14.57	n/a	20-Apr	0.00	0.0
ELM RIDGE ADVISORS	044	USG	SS	136,800	14.57	n/a	20-Apr	5,472.00	4.0
CYPRESS CAP MGMT LLC	040	WRC	B	9,200	52.77	n/a	6-May	368.00	4.0
SAC CRIB	044	XLI	B	25,000	37.90	n/a	n/a	875.00	3.5
TOTAL (Trade Date):								81,642.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/01	SCOPUS FUND (SCOPGS)	041	RKT	SS	500	66.49	n/a	n/a	20.00 4.0
CRT	07/01	SCOPUS FUND (SCOPUBS)	041	RKT	SS	4,500	66.49	n/a	n/a	180.00 4.0
AO,CXL	06/29	STRONG/WELLS CAP ANN F (SCHTST2280)	047	V	B	6,638	86.23	n/a	30-Jun	265.52 4.0
AO,CXL	06/29	STRONG/WELLS CAP ANN F (SCHTST2050)	047	V	B	28,022	86.23	n/a	30-Jun	1120.88 4.0
AO,CXL	06/29	STRONG/WELLS CAP ANN F (SCHTST9915)	047	V	B	91	86.23	n/a	30-Jun	3.64 4.0
TOTAL (AO, CXL, CRT) :										-1,190.04

TOTAL (Trade Date) :	81,642.17
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TOTAL (RUN DATE) / NFS:	80,452.13
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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