



## Daily Compliance Activity Report

Trade Date: 07/05/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	200	603.73	n/a	n/a	6.00	3.0
ROYCE TRADING	031	AEO	S	65,000	20.49	n/a	2-Dec	3,250.00	5.0
TRELLUS PARTNERS LP	028	ALV	B	10,000	56.29	n/a	20-Jun	300.00	3.0
<b>SPARTAN</b>	<b>093</b>	<b>AXL</b>	<b>S</b>	<b>20,000</b>	<b>10.72</b>	<b>n/a</b>	<b>7-Jun</b>	<b>600.00</b>	<b>3.0</b>
WOOSTER CAPITAL	035	AXL	S	100,000	10.99	n/a	7-Jun	4,000.00	4.0
ROTHSCHILD ASSET	040	BIG	S	21,599	40.67	n/a	23-May	863.96	4.0
WEINTRAUB CAPITAL MGT.	269	COF	S	50,000	54.69	n/a	28-Jun	2,000.00	4.0
EDGEWOOD	085	COH	B	28,010	59.88	n/a	9-May	1,400.50	5.0
BRONSON POINT	036	CPB	B	75,000	33.22	n/a	n/a	2,250.00	3.0
OHIO PERS	047	CSL	S	33,599	54.85	n/a	n/a	1,007.97	3.0
WEINTRAUB CAPITAL MGT.	269	DG	S	50,000	54.06	n/a	27-Jun	2,000.00	4.0
HIGHBRIDGE CAP	041	FCX	B	3,000	35.28	n/a	n/a	90.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	15,000	9.54	n/a	5-Jul	450.00	3.0
OZ MGMT	040	F	C	100,000	9.72	n/a	5-Jul	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	20.68	n/a	5-Jul	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	GRC	B	4,000	30.87	n/a	n/a	160.00	4.0
SIMMONS VENTURES	041	JNY	SS	10,000	10.66	n/a	26-Apr	400.00	4.0
CORVEX CAPITAL	041	JPM	B	100,000	34.49	n/a	2-Jul	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	JWN	S	20,000	50.96	n/a	28-Jun	600.00	3.0
CHARTER OAK	033	KRO	B	14,585	16.00	n/a	n/a	729.25	5.0
SCOPUS FUND	041	KSS	B	50,000	47.07	n/a	28-Jun	2,000.00	4.0
ROTHSCHILD ASSET	040	LCC	S	45,621	13.50	n/a	n/a	1,824.84	4.0
SANDLER CAPITAL	028	LNN	B	40,000	69.82	n/a	n/a	2,000.00	5.0
ROTHSCHILD ASSET	040	LYB	S	21,864	42.30	n/a	n/a	874.56	4.0
PROSPECTOR PARTNERS LLC	036	L	S	4,000	41.01	n/a	n/a	160.00	4.0
ROYCE TRADING	031	MLI	S	659	43.78	n/a	14-Jun	32.95	5.0
ROTHSCHILD ASSET	040	MOV	S	23,717	25.32	n/a	n/a	948.68	4.0
PROSPECTOR PARTNERS LLC	036	MRO	S	10,000	25.57	n/a	n/a	400.00	4.0
SCOPUS FUND	041	M	B	50,000	33.57	n/a	28-Jun	2,000.00	4.0
EMPYREAN CAPITAL	084	NAV	B	50,000	29.36	n/a	13-Jun	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	NWBI	B	63,711	11.90	n/a	n/a	2,548.44	4.0
HIGHBRIDGE CAP	041	OII	B	2,025	49.46	n/a	n/a	60.75	3.0
NEWLAND CAPITAL MGT	025	OI	S	10,000	19.83	n/a	n/a	400.00	4.0
PHILADELPHIA FINANCIAL	033	PAG	B	200	22.85	n/a	26-Apr	8.00	4.0
PHILADELPHIA FINANCIAL	033	PAG	S	24,933	23.44	n/a	26-Apr	997.32	4.0
HIGHBRIDGE CAP	041	POT	B	3,000	45.41	n/a	n/a	90.00	3.0
CAPITAL RESEARCH GROUP		296	QCOM	S	394,300	56.57	n/a	n/a	13,800.50 3.5
ROTHSCHILD ASSET	040	RNR	B	11,398	75.55	n/a	n/a	455.92	4.0
DAVIDSON INV ADV	035	SLB	B	32,595	66.17	n/a	n/a	1,303.80	4.0
HIGHBRIDGE CAP	041	TS	SS	3,000	35.42	n/a	n/a	90.00	3.0
CASTLEROCK	040	URI	S	68,541	35.89	n/a	17-Apr	2,741.64	4.0
FRIESS MGMT	033	VFC	S	130,650	133.17	n/a	27-Apr	5,226.00	4.0
EDGEWOOD	085	V	B	19,312	127.10	n/a	30-May	965.60	5.0
<b>TOTAL (Trade Date) :</b>								<b>67,836.68</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/03	GALT INVESTMENT (GALTFIDO)	041	CONN	S	2,631	16.24	n/a	n/a	131.55 5.0
AO,CRT	07/03	GALT INVESTMENT (GALTFIDO)	041	CONN	S	2,631	16.24	n/a	n/a	105.24 4.0
AO,CXL	07/03	GALT INVESTMENT (GALTGS)	041	CONN	S	2,632	16.24	n/a	n/a	131.60 5.0
AO,CRT	07/03	GALT INVESTMENT (GALTGS)	041	CONN	S	2,632	16.24	n/a	n/a	105.28 4.0
AO,CXL	07/02	PERRY PARTNERS (PERRGOLDMA)	085	IPG	SS	20,000	10.93	n/a	n/a	1000.00 5.0
AO,CRT	07/02	PERRY PARTNERS (PERRGOLDMA)	085	IPG	SS	20,000	10.93	n/a	n/a	800.00 4.0
AO,CRT	07/03	CONIFER (CONIISFJPM)	025	IVV	B	4,000	137.82	n/a	n/a	160.00 4.0
AO,CXL	07/03	CONIFER (CONIISFRIP)	025	IVV	B	4,000	137.82	n/a	n/a	160.00 4.0
AO,CXL	06/29	ACK ASSET (ACKAMS)	028	LULU	S	10,045	59.31	n/a	7-Jun	301.35 3.0
AO,	06/29	ACK ASSET (ACKAMS)	028	LULU	SS	10,045	59.31	n/a	7-Jun	301.35 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-252.63</b>
TOTAL (Trade Date) :										67,836.68
TOTAL (AO, CXL, CRT) :										-252.63
<b>TOTAL (RUN DATE) / NFS:</b>										<b>67,584.05</b>

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