



Daily Compliance Activity Report

Trade Date: 06/28/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ROTHSCHILD ASSET	040	AIMC	S	22,144	23.63	n/a	n/a	885.76 4.0
BALYASNY ASSET MGMT	044	ALV	B	22,607	76.96	n/a	27-Jun	1,130.35 5.0
BALYASNY ASSET MGMT	044	ALV	C	10,000	76.65	n/a	27-Jun	500.00 5.0
CASTLEROCK	040	ALV	B	124,826	77.25	n/a	27-Jun	4,993.04 4.0
OZ MGMT	040	ALV	B	28,000	76.98	n/a	27-Jun	840.00 3.0
OZ MGMT	040	ALV	C	56,045	76.75	n/a	27-Jun	1,681.35 3.0
BALYASNY ASSET MGMT	044	AN	SS	20,000	36.43	n/a	27-Apr	1,000.00 5.0
NEWLAND CAPITAL MGT	025	AXL	B	50,000	11.02	n/a	25-May	2,000.00 4.0
LATEFF MGMT	035	BA	B	500	72.20	n/a	24-Jun	125.00 25.0
OZ MGMT	040	BWA	C	69,974	78.37	n/a	29-Apr	2,099.22 3.0
TUDOR INVESTORS	028	CAT	SS	3,000	103.19	n/a	2-May	90.00 3.0
AMBER CAPITAL	046	CIT	S	2,700	43.24	n/a	17-May	108.00 4.0
TUDOR INVESTORS	028	CMI	B	2,000	99.39	n/a	27-Apr	60.00 3.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	31.64	n/a	n/a	400.00 4.0
OZ MGMT	040	DAN	C	89,425	17.92	n/a	25-May	2,682.75 3.0
AMBER CAPITAL	046	DCOM	B	7,900	14.34	n/a	n/a	316.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	DKS	B	5,000	38.39	n/a	18-May	250.00	5.0
SCOPUS FUND	041	DKS	S	25,000	38.36	n/a	18-May	1,000.00	4.0
TUDOR INVESTORS	028	ETN	B	3,000	48.76	n/a	16-Jun	90.00	3.0
ROYCE TRADING	012	FINL	B	9,000	21.71	n/a	24-Jun	450.00	5.0
BALYASNY ASSET MGMT	044	FL	B	30,000	24.42	n/a	2-Jun	1,500.00	5.0
BNP PARIBAS SEC	040	FL	S	25,000	24.36	n/a	2-Jun	1,250.00	5.0
SAC TRADING TOM LEDDY	035	FL	S	8,811	24.65	n/a	2-Jun	308.39	3.5
RAINIER INV MGMT	035	FMER	B	114,300	16.25	n/a	n/a	4,572.00	4.0
PIONEER PATH	028	F	B	74,599	13.41	n/a	2-Jun	2,237.97	3.0
BNP PARIBAS SEC	040	GM	SS	30,000	30.29	n/a	2-Jun	1,500.00	5.0
CIRCLE T/SES PART	033	GM	SS	10,000	30.22	n/a	2-Jun	400.00	4.0
MAPLE LEAF PARTNERS	031	GM	SS	50,000	30.44	n/a	2-Jun	2,500.00	5.0
MERRILL ASSET/BLACKROCK	297	GM	B	136,800	30.73	n/a	2-Jun	5,472.00	4.0
PROSPECTOR PARTNERS LLC	036	HES	B	10,000	71.32	n/a	n/a	400.00	4.0
PARAMETER CAPITAL MGMT LLC	044	HOT	B	17,500	54.80	n/a	13-Jun	700.00	4.0
WEISS PECK	040	JNY	B	15,300	10.63	n/a	28-Apr	765.00	5.0
BALYASNY ASSET MGMT	044	KSS	SS	25,000	50.61	n/a	3-Jun	1,250.00	5.0
BASIX	033	LEA	B	10,000	51.42	n/a	2-May	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	LEA	B	12,800	51.30	n/a	2-May	512.00	4.0
OZ MGMT	040	LEA	C	65,162	51.26	n/a	2-May	1,954.86	3.0
CHESAPEAKE PARTNERS	028	LYV	S	40,000	11.18	n/a	n/a	1,200.00	3.0
ROYCE TRADING	012	MLI	B	6,000	36.91	n/a	27-Apr	300.00	5.0
PAW PARTNERS	025	MRVL	B	12,500	14.20	n/a	n/a	625.00	5.0
BMO NESBITT BURNS	041	NKE	S	700	87.62	n/a	21-Jun	70.00	10.0
WEISS PECK	040	PAG	B	12,100	22.14	n/a	29-Apr	605.00	5.0
BMO NESBITT BURNS	041	SKX	B	4,500	14.18	n/a	n/a	450.00	10.0
SCOPUS FUND	041	SPLS	S	50,000	15.41	n/a	n/a	2,000.00	4.0
NOMURA CAPITAL	029	SPY	SS	5,000	129.32	n/a	n/a	150.00	3.0
SOROS	036	STX	S	150,000	15.27	n/a	n/a	6,000.00	4.0
OZ MGMT	040	TRW	C	61,569	58.75	n/a	n/a	1,847.07	3.0
ELM RIDGE ADVISORS	044	USG	SS	24,800	14.21	n/a	20-Apr	992.00	4.0
MATRIX ASSET ADV.	091	VOD	B	2,000	26.17	n/a	n/a	80.00	4.0
SOROS	036	WDC	S	51,000	35.30	n/a	n/a	2,040.00	4.0
TUDOR INVESTORS	028	XLB	SS	5,000	38.17	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	XLI	SS	5,000	36.42	n/a	n/a	150.00	3.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	55.03	n/a	25-Apr	2,500.00	5.0
TOTAL (Trade Date):								65,482.76	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/27	RAIL-SPLITTER (RAILUBSSEC)	031	EAT	SS	5,200	24.57	n/a	29-Apr	0.00 0.0
AO,CRT	06/27	RAIL-SPLITTER (RAILUBSSEC)	031	EAT	SS	5,200	24.57	n/a	29-Apr	260.00 5.0
CRT	06/28	MILLRACE FUND LP (MILRGS)	028	LEA	B	12,800	51.30	n/a	2-May	512.00 4.0
AO,	06/27	ROYCE TRADING (ROYC66)	012	MLI	B	200	36.38	n/a	27-Apr	10.00 5.0
AO,	06/27	ROYCE TRADING (ROYC64)	012	MLI	B	100	36.38	n/a	27-Apr	5.00 5.0
AO,	06/27	ROYCE TRADING (ROYC180)	012	MLI	B	100	36.38	n/a	27-Apr	5.00 5.0
AO,	06/27	ROYCE TRADING (ROYC169)	012	MLI	B	2,000	36.44	n/a	27-Apr	100.00 5.0
AO,	06/27	ROYCE TRADING (ROYC76)	012	MLI	B	200	36.54	n/a	27-Apr	10.00 5.0
AO,	06/27	ROYCE TRADING (ROYC67)	012	MLI	B	2,995	36.38	n/a	27-Apr	149.75 5.0
TOTAL (AO, CXL, CRT) :										1,051.75

TOTAL (Trade Date):	65,482.76
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TOTAL (RUN DATE) / NFS:	66,534.51
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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