



Daily Compliance Activity Report

Trade Date: 06/14/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	AGP	S	11,076	67.54	n/a	n/a	443.04	4.0
TALPION LLC	040	ANF	C	6,000	67.36	n/a	19-May	240.00	4.0
RIDGECREST INV MGMT LLC	028	AOS	B	10,000	40.37	n/a	6-Jun	500.00	5.0
SANDLER O'NEILL ASSET	031	AXP	B	25,000	48.82	n/a	14-Jun	1,250.00	5.0
TALPION LLC	040	BBBY	C	10,000	54.48	n/a	n/a	400.00	4.0
M&I FUNDS	047	CBE	S	7,244	61.04	n/a	26-Apr	289.76	4.0
KLEINHEINZ CAP PART	031	CCJ	S	50,000	24.91	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	CHS	S	10,000	14.25	n/a	5-Feb	300.00	3.0
ROTHSCHILD ASSET	040	CPX	S	37,231	31.71	n/a	n/a	1,489.24	4.0
BMO NESBITT BURNS	041	DAN	S	3,000	16.90	n/a	25-May	300.00	10.0
SAC TRADING TOM LEDDY	035	DLTR	SS	15,000	62.90	n/a	20-May	525.00	3.5
MACQUARIE INVESTMENT MGMT.	040	EVR	B	2,500	33.60	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	F	S	20,000	13.53	n/a	2-Jun	1,000.00	5.0
TRUSTCO/SUNTRUST	040	GDX	S	69,144	53.44	n/a	n/a	2,420.05	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHESAPEAKE PARTNERS	028	GRM	B	50,960	26.34	n/a	n/a	1,528.80	3.0
JP MORGAN VENTURES	046	HD	SS	15,000	34.66	n/a	18-May	600.00	4.0
MACQUARIE INVESTMENT MGMT.	040	HD	B	5,000	34.10	n/a	18-May	0.00	0.0
AMBER CAPITAL	046	HOG	B	24,700	35.80	n/a	n/a	988.00	4.0
PARAMETER CAPITAL MGMT LLC	044	HON	B	15,000	56.49	n/a	3-Jun	600.00	4.0
MACQUARIE INVESTMENT MGMT.	040	IART	B	5,000	46.78	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	INTC	B	65,011	21.78	n/a	n/a	2,600.44	4.0
TRUSTCO/SUNTRUST	040	INTC	B	61,360	21.86	n/a	n/a	2,147.60	3.5
TRUSTCO/SUNTRUST	040	IVV	B	28,608	129.75	n/a	n/a	1,001.29	3.5
SAC TRADING TOM LEDDY	035	JNY	S	30,000	10.52	n/a	28-Apr	1,050.00	3.5
SAC CHICAGO ANDREW	031	JWN	B	3,100	43.39	n/a	3-Jun	108.50	3.5
PARAMETER CAPITAL MGMT LLC	044	KMT	S	10,000	38.70	n/a	29-Apr	400.00	4.0
PARAMETER CAPITAL MGMT LLC	044	KRO	SS	50,000	27.36	n/a	n/a	2,000.00	4.0
THE JAY GOLDMAN	028	KSS	B	20,000	50.30	n/a	3-Jun	800.00	4.0
MACQUARIE INVESTMENT MGMT.	040	K	B	5,000	54.55	n/a	n/a	0.00	0.0
CATAPULT	040	LPX	B	25,000	7.57	n/a	19-May	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	LPX	S	39,810	7.58	n/a	19-May	1,990.50	5.0
APEX CAPITAL MGMT.	261	LTD	B	95,000	36.99	n/a	n/a	3,800.00	4.0
BURL CAPITAL LLC	029	MDT	B	30,000	38.39	n/a	n/a	1,200.00	4.0
ROTHSCHILD ASSET	040	MGI	B	91,482	3.45	n/a	n/a	3,659.28	4.0
EATON VANCE MGMT	029	MSFT	B	2,361,431	24.29	n/a	n/a	70,842.93	3.0
MA CAPITAL MGMT/MELLON ADV041		MWV	S	4,000	32.52	n/a	27-Apr	200.00	5.0
TROUBH PART	070	M	B	12,500	27.94	n/a	3-Jun	625.00	5.0
SANDLER O'NEILL ASSET	031	PBCT	B	50,000	12.92	n/a	19-May	2,500.00	5.0
STANDARD PACIFIC CAPITAL	040	PCX	S	100,000	21.02	n/a	n/a	5,000.00	5.0
MERRILL ASSET/BLACKROCK	297	PJC	S	21,200	29.44	n/a	n/a	848.00	4.0
GREEN ARROW DOUG	040	PPC	B	50,000	4.41	n/a	n/a	2,500.00	5.0
SENATOR INVESTMENT GROUP	036	PWE	SS	100,000	23.43	n/a	n/a	3,000.00	3.0
MA CAPITAL MGMT/MELLON ADV041		RYN	B	2,000	62.97	n/a	3-Jun	100.00	5.0
MACQUARIE INVESTMENT MGMT.	040	SBUX	B	10,000	35.37	n/a	28-Apr	0.00	0.0
PZENA INV ADV	044	SHW	S	6,325	82.69	n/a	27-May	221.38	3.5
FIRST NEW YORK LEDDY	035	S	B	20,000	5.34	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALPION LLC	040	TIF	B	10,000	74.46	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	VALE	S	25,000	30.71	n/a	n/a	1,250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	VRTX	S	5,000	46.86	n/a	n/a	0.00	0.0
PEAK INV LLC	084	WFCWS	S	44,900	9.18	n/a	n/a	1,796.00	4.0
SENATOR INVESTMENT GROUP	036	WMT	SS	196,100	52.98	n/a	18-May	5,883.00	3.0
GREEN ARROW DOUG	040	WRC	B	15,000	49.66	n/a	6-May	750.00	5.0
JP MORGAN VENTURES	046	WRC	B	11,000	49.61	n/a	6-May	440.00	4.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	50,000	49.67	n/a	6-May	1,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	WX	SS	10,000	16.26	n/a	n/a	0.00	0.0
S.A.C. CAP/ORENSTEIN	044	XLE	SS	50,000	73.84	n/a	n/a	1,750.00	3.5
SENATOR INVESTMENT GROUP	036	XOP	B	10,000	56.36	n/a	n/a	300.00	3.0
SAC CAPITAL/M GRONET	030	YUM	B	25,000	53.92	n/a	25-Apr	875.00	3.5
TOTAL (Trade Date) :								138,712.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/14	SAC TRADING TOM LEDDY (SACHMLLEDY)	035	DLTR	SS	15,000	62.90	n/a	20-May	525.00 3.5
AO,CXL	06/10	ROYCE TRADING (ROYC67)	012	FINL	B	34,428	21.08	n/a	10-May	1721.40 5.0
AO,	06/10	ROYCE TRADING (ROYC67)	012	FINL	B	34,528	21.08	n/a	10-May	1726.40 5.0
AO,CXL	06/10	ROYCE TRADING (ROYC66)	012	FINL	B	1,800	21.08	n/a	10-May	90.00 5.0
AO,	06/10	ROYCE TRADING (ROYC66)	012	FINL	B	1,700	21.08	n/a	10-May	85.00 5.0
CRT	06/14	SAC TRADING TOM LEDDY (SACHMLLEDY)	035	JNY	S	30,000	10.52	n/a	28-Apr	1050.00 3.5
AO,	06/13	MA CAPITAL MGMT/MELLON ADV (MACAPERFD1)041		MWV	B	4,000	32.29	n/a	27-Apr	200.00 5.0
TOTAL (AO, CXL, CRT) :										1,775.00

TOTAL (Trade Date):	138,712.81
TOTAL (AO, CXL, CRT):	1,775.00

TOTAL (RUN DATE) / NFS:	140,487.81
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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