



Daily Compliance Activity Report

Trade Date: 06/22/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	200	577.78	n/a	n/a	6.00	3.0
CHARTER OAK	033	ABG	B	1,900	23.51	n/a	27-Apr	95.00	5.0
FRONTIER	029	AKAM	B	93,710	30.73	n/a	n/a	3,748.40	4.0
FRONTIER	029	AME	S	15,300	50.27	n/a	n/a	612.00	4.0
PALESTRA	040	BECN	SS	10,000	24.97	n/a	n/a	300.00	3.0
CRAMER ROSENTHAL	070	CI	B	17,300	44.25	n/a	n/a	692.00	4.0
ESTABROOK	085	CL	S	1,000	99.94	n/a	18-Jun	40.00	4.0
LIONEYE CAPITAL	040	CSC	S	5,000	23.90	n/a	n/a	250.00	5.0
KENNEDY CAPITAL	046	CVGI	S	100,000	8.28	n/a	n/a	3,000.00	3.0
TROUBH PART	070	C	B	15,000	28.17	n/a	20-Jun	750.00	5.0
FIRST NY SEC/CHRIS	041	DLPH	B	25,000	27.11	n/a	n/a	1,250.00	5.0
ESTABROOK	085	FCX	B	2,000	32.72	n/a	n/a	80.00	4.0
LEVIN CAPITAL STRATEGIES	041	F	C	15,000	10.38	n/a	4-Jun	450.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	C	10,000	20.87	n/a	7-Jun	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LIONEYE CAPITAL	040	ILMN	S	4,485	40.43	n/a	n/a	224.25	5.0
BALYASNY ASSET MGMT	044	JWN	SS	10,000	48.31	n/a	8-Jun	500.00	5.0
Õ Doug Rogers		LGND	S	295	15.9770	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	085	MDSO	S	6,850	30.12	n/a	n/a	342.50	5.0
ARSENAL ASSET MANAGEMENT	028	MLI	B	5,000	40.90	n/a	14-Jun	200.00	4.0
ESTABROOK	085	M	B	5,000	33.99	n/a	1-Jun	200.00	4.0
METROPOLITAN CAPITAL	044	M	S	5,900	34.35	n/a	1-Jun	295.00	5.0
PIONEER OAKRIDGE	031	OXY	S	22,745	79.47	n/a	n/a	682.35	3.0
DEVENNY CAP LLC/MILLENIUM	044	PAG	B	25,000	22.71	n/a	26-Apr	750.00	3.0
METROPOLITAN CAPITAL	044	PLCE	S	5,900	44.43	n/a	5-Jun	295.00	5.0
BASIX	033	PVH	B	4,800	79.87	n/a	25-May	144.00	3.0
SENATOR INVESTMENT GROUP	036	SCHW	SS	214,400	12.37	n/a	n/a	6,432.00	3.0
ESTABROOK	085	SJT	B	10,000	14.19	n/a	n/a	400.00	4.0
SENATOR INVESTMENT GROUP	036	TIF	S	100,000	52.01	n/a	n/a	3,000.00	3.0
LATEEF MGMT	035	UAL	S	600	24.51	n/a	n/a	72.00	12.0
SENATOR INVESTMENT GROUP	036	XLV	B	50,000	37.27	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Doug Rogers		XPO	S	400	17.3610	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								26,610.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/21	CHANNING CAPITAL (CHANCALGCP)	031	FBHS	B	8,100	20.91	n/a	n/a	324.00 4.0
AO,CXL	06/21	CHANNING CAPITAL (&CHANCALSL)	031	FBHS	B	8,100	20.91	n/a	n/a	324.00 4.0
AO,CXL	06/21	FIRST NEW YORK LEDDY (FNYS)	035	NOK	S	20,000	2.42	n/a	n/a	1200.00 6.0
AO,CRT	06/21	FIRST NEW YORK LEDDY (FNYS)	035	NOK	S	20,000	2.42	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										-400.00

TOTAL (Trade Date) :	26,610.50
TOTAL (AO, CXL, CRT) :	-400.00

TOTAL (RUN DATE) / NFS :	26,210.50
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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