



Daily Compliance Activity Report

Trade Date: 05/30/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	BG	B	68,879	60.06	n/a	n/a	2,755.16	4.0
MACELLUM CAPITAL	086	BKE	SS	10,000	42.59	n/a	n/a	300.00	3.0
NEUBERGER BERMAN	036	CCE	S	9,795	27.76	n/a	n/a	391.80	4.0
TUDOR INVESTORS	028	CF	SS	2,000	172.08	n/a	n/a	60.00	3.0
NCM CAPITAL MGMT	035	CLX	B	7,475	69.02	n/a	23-May	299.00	4.0
NUVEEN - US BANCORP		030	CVLT	B	26,967	47.35	n/a	n/a	1,213.53 4.5
FORTRESS INVESTMENT (US)	036	DAL	B	90,000	11.92	n/a	n/a	2,700.00	3.0
T. ROWE PRICE	033	DLTR	B	26,300	102.70	n/a	18-May	1,052.00	4.0
NCM CAPITAL MGMT	035	DPS	B	17,717	41.00	n/a	n/a	708.68	4.0
NEWLAND CAPITAL MGT	025	FCEL	S	25,000	1.21	n/a	n/a	750.00	3.0
NEUBERGER BERMAN	036	FEIC	B	17,000	45.76	n/a	n/a	680.00	4.0
ROYCE TRADING	031	FINL	B	26,000	21.30	n/a	2-Apr	1,300.00	5.0
SURVEYOR CAPITAL	251	FINL	B	208,579	21.40	n/a	2-Apr	6,257.37	3.0
SANDLER CAPITAL	028	GDI	SS	130,000	55.66	n/a	n/a	6,500.00	5.0
PARKWEST	084	GME	S	60,000	20.77	n/a	n/a	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	GPI	B	16,000	51.58	n/a	27-Apr	480.00	3.0
SURVEYOR CAPITAL	251	GPS	B	31,989	26.96	n/a	n/a	959.67	3.0
CONIFER/ISF	025	INTC	B	13,000	26.13	n/a	n/a	520.00	4.0
SIMMONS VENTURES	041	JNY	B	10,000	9.70	n/a	26-Apr	300.00	3.0
NEUBERGER BERMAN	036	KFT	B	7,500	38.44	n/a	n/a	300.00	4.0
HARVEST MGMT (JMP)	029	KMX	SS	10,000	27.79	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	KSS	B	35,000	48.86	n/a	25-May	1,750.00	5.0
ROSEDALE CAPITAL	046	KSS	B	10,000	48.48	n/a	25-May	500.00	5.0
SUN AMERICA ASSET MGMT	030	KSS	S	141,386	49.03	n/a	25-May	5,655.44	4.0
MACELLUM CAPITAL	086	LAD	S	17,000	23.98	n/a	n/a	510.00	3.0
NCM CAPITAL MGMT	035	MNST	B	26,541	73.22	n/a	n/a	1,061.64	4.0
ROYCE TRADING	031	MOV	S	8,200	28.54	n/a	n/a	410.00	5.0
MACELLUM CAPITAL	086	M	B	13,000	38.37	n/a	25-May	390.00	3.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	2.75	n/a	n/a	800.00	4.0
LISTED ERR	099	NUC	B	500	16.48	n/a	n/a	0.00	0.0
LISTED ERR	099	NUC	S	500	16.48	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	NUS	B	13,488	43.42	n/a	n/a	539.52	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT CAP/DEFRANCO	040	PFE	B	80,800	22.08	n/a	n/a	3,232.00	4.0
NCM CAPITAL MGMT	035	PG	B	14,000	62.44	n/a	29-May	560.00	4.0
LEVIN CAPITAL STRATEGIES	041	PVH	S	10,100	83.11	n/a	25-May	303.00	3.0
SCOPUS FUND	041	PVH	S	25,000	83.04	n/a	25-May	1,000.00	4.0
NCM CAPITAL MGMT	035	RAH	B	13,200	64.93	n/a	n/a	528.00	4.0
RAINIER INV MGMT	035	RJF	B	7,000	33.96	n/a	n/a	280.00	4.0
ACK ASSET	028	UPS	SS	42,000	74.67	n/a	n/a	1,260.00	3.0
THE JAY GOLDMAN	028	WEN	B	25,000	4.52	n/a	9-May	1,000.00	4.0
HARVEST MGMT (JMP)	029	WMT	B	10,000	65.54	n/a	18-May	400.00	4.0
TUDOR INVESTORS	028	ZUMZ	B	25,000	34.83	n/a	n/a	750.00	3.0
TOTAL (Trade Date):								51,256.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									51,256.81
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									51,256.81

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