



## Daily Compliance Activity Report

Trade Date: 06/07/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
EPOCH INV MGMT	030	ARCO	B	143,331	14.13	n/a	6-Jun	4,299.93	3.0	
SURVEYOR CAPITAL	251	ASNA	B	28,725	18.78	n/a	n/a	861.75	3.0	
BUTTE CAPITAL MGMT LLC	084	AXL	B	20,000	9.60	n/a	7-Jun	1,000.00	5.0	
TUDOR INVESTORS	028	AXL	B	60,000	9.39	n/a	7-Jun	1,800.00	3.0	
SURVEYOR CAPITAL	251	BBY	B	32,150	18.69	n/a	n/a	964.50	3.0	
AMBER CAPITAL	046	BKU	S	61,385	22.82	n/a	n/a	2,455.40	4.0	
ARSENAL ASSET MANAGEMENT	028	BLL	SS	25,000	40.93	n/a	n/a	1,000.00	4.0	
PIONEER OAKRIDGE	031	CHD	B	16,700	53.71	n/a	8-May	501.00	3.0	
SURVEYOR CAPITAL	251	CHS	B	49,500	14.36	n/a	5-Feb	1,485.00	3.0	
UBS OCONNOR	031	CNH	SS	25,000	39.76	n/a	n/a	750.00	3.0	
TUDOR INVESTORS	028	DAN	SS	25,000	12.97	n/a	26-Apr	750.00	3.0	
ARSENAL ASSET MANAGEMENT	028	DHR	B	10,000	51.48	n/a	n/a	400.00	4.0	
RBC CAPITAL MARKETS	040	DNKN	B	5,000	32.61	n/a	n/a	200.00	4.0	
RBC CAPITAL MARKETS	040	DRI	SS	12,000	49.42	n/a	13-Apr	480.00	4.0	
WEISS PECK - ROBECO INV		040	ERT	S	393,640	7.91	n/a	n/a	15,745.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	ETN	B	10,740	41.68	n/a	22-May	537.00	5.0
ROYCE TRADING	031	FINL	B	2,000	19.86	n/a	31-May	100.00	5.0
COHE & STEERS	041	GGP	B	37,200	17.04	n/a	n/a	1,116.00	3.0
KLEINHEINZ CAP PART	031	GIL	B	50,000	25.09	n/a	4-May	2,500.00	5.0
SURVEYOR CAPITAL	251	GME	SS	43,000	18.92	n/a	n/a	1,290.00	3.0
RBC CAPITAL MARKETS	040	GNC	B	5,000	37.09	n/a	n/a	200.00	4.0
NWQ INVESTMENT MGMT CO	084	GOLF	S	174,100	6.04	n/a	n/a	5,223.00	3.0
LONG OAR GLOBAL INV	040	HTZ	S	125,442	12.54	n/a	n/a	5,017.68	4.0
JENNISON	070	JNPR	S	204,422	16.81	n/a	n/a	7,563.63	3.7
MACELLUM CAPITAL	086	JWN	B	35,000	47.97	n/a	1-Jun	1,050.00	3.0
MERCHANTS GATE CAP LP	036	JWN	C	50,000	47.80	n/a	1-Jun	2,000.00	4.0
<b>Õ Jill Rosenberg</b>		<b>KORS</b>	<b>B</b>	<b>300</b>	<b>36.7400</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALLAST CAP	040	LGF	B	15,500	12.78	n/a	n/a	465.00	3.0
COPIA CAPITAL	031	LUV	S	100,641	8.91	n/a	n/a	3,522.45	3.5
CAERUS GLOBAL	041	LVS	S	5,000	47.77	n/a	13-Jun	200.00	4.0
FEDERATED INV/KAUFMAN	029	LYB	B	81,700	39.08	n/a	n/a	4,085.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	MGA	B	20,000	40.02	n/a	n/a	800.00	4.0
ROYCE TRADING	031	MLI	S	1,000	43.33	n/a	24-Apr	50.00	5.0
ROYCE TRADING	031	MOV	S	1,300	27.01	n/a	n/a	65.00	5.0
ST OF MICHIAN	047	MSFT	S	85,000	29.30	n/a	n/a	2,550.00	3.0
RBC CAPITAL MARKETS	040	MTN	SS	5,000	47.17	n/a	n/a	200.00	4.0
SCOPUS FUND	041	M	SS	45,000	36.89	n/a	1-Jun	1,800.00	4.0
UBS OCONNOR	031	NAV	B	50,000	21.07	n/a	18-Apr	1,500.00	3.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	2.85	n/a	n/a	800.00	4.0
MTB INV ADV	034	NOR	B	52,250	8.37	n/a	n/a	1,698.13	3.3
SCOPUS FUND	041	NWY	S	50,000	3.54	n/a	n/a	2,000.00	4.0
COOPER CREEK PART	028	PAG	SS	10,000	23.70	n/a	26-Apr	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	PHG	SS	50,000	18.23	n/a	n/a	2,000.00	4.0
ROYCE TRADING	031	PLCE	B	1,500	45.89	n/a	5-Jun	75.00	5.0
ACK ASSET	028	PVH	SS	20,000	78.69	n/a	25-May	600.00	3.0
ROYCE TRADING	031	SCHL	B	3,000	26.66	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACELLUM CAPITAL	086	SKX	B	15,000	18.65	n/a	n/a	450.00	3.0
NWQ INVESTMENT MGMT CO	084	SMSC	S	49,300	36.63	n/a	n/a	1,479.00	3.0
ARSENAL ASSET MANAGEMENT	028	SPW	B	5,000	70.67	n/a	n/a	200.00	4.0
JANA CAPITAL	044	SPY	C	75,000	133.32	n/a	n/a	3,000.00	4.0
HOLLIS CAPITAL	033	STZ	B	5,000	19.54	n/a	n/a	250.00	5.0
OHIO PERS	047	TKR	S	30,400	48.06	n/a	n/a	912.00	3.0
NEWLAND CAPITAL MGT	025	TRW	B	10,000	39.47	n/a	n/a	400.00	4.0
CAPITAL RESEARCH GROUP		296	TWC	S	57,086	76.12	n/a	n/a	1,998.01 3.5
OHIO PERS	047	UAL	B	81,600	23.46	n/a	n/a	2,448.00	3.0
WEINTRAUB CAPITAL MGT.	269	UA	B	5,000	99.75	n/a	29-May	200.00	4.0
ARSENAL ASSET MANAGEMENT	028	WCC	S	15,000	57.89	n/a	n/a	600.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>94,188.08</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/06	GLG PARTNERS (GLGPNAOPF)	034	AAP	S	13,287	73.28	n/a	n/a	398.61 3.0
AO,CRT	06/06	GLG PARTNERS (GLGPNAOPF)	034	AAP	S	10,000	73.28	n/a	n/a	300.00 3.0
AO,	06/06	GLG PARTNERS (GLGPNAOMAC)	034	AAP	S	2,059	73.28	n/a	n/a	61.77 3.0
AO,	06/06	GLG PARTNERS (GLGPNAOPMS)	034	AAP	S	1,228	73.28	n/a	n/a	36.84 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-0.00</b>
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TOTAL (Trade Date) :	94,188.08
TOTAL (AO, CXL, CRT) :	-0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>94,188.08</b>
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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