

Daily Compliance Activity Report Trade Date: 06/15/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
CATAPULT	040	АВН	SS	10,000	22.27	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	ACN	S	2,600	55.57	n/a	n/a	104.00	4.0
PAW PARTNERS	025	ALTR	SS	3,000	43.12	n/a	n/a	150.00	5.0
LISTED ERR	099	ALTR	В	5,000	43.08	n/a	n/a	0.00	0.0
LISTED ERR	099	ALTR	SS	2,000	43.12	n/a	n/a	0.00	0.0
LISTED ERR	099	ALTR	S	3,000	43.07	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	ANR	S	30,000	45.12	n/a	n/a	1,500.00	5.0
NCM CAPITAL MGMT	035	ARE	В	19,325	76.12	n/a	n/a	773.00	4.0
SUN AMERICA ASSET MGMT	030	ARUN	В	800	26.34	n/a	n/a	32.00	4.0
PAW PARTNERS	025	ATML	SS	10,000	13.35	n/a	n/a	500.00	5.0
LISTED ERR	099	ATR	В	1,500	50.62	n/a	n/a	0.00	0.0
LISTED ERR	099	ATR	SS	1,500	50.65	n/a	n/a	0.00	0.0
PIONEER PATH	028	BAC	В	23 , 877	10.49	n/a	2-Jun	716.31	3.0
JP MORGAN VENTURES	046	BBBY	S	9,000	53.76	n/a	n/a	360.00	4.0
HAHN CAPITAL MANAGEMENT	084	всо	S	3 , 870	27.40	n/a	n/a	193.50	5.0
PAW PARTNERS	025	BCSI	S	3,898	22.04	n/a	n/a	194.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
HAHN CAPITAL MANAGEMENT	084	BGC	В	28,565	37.79	n/a	n/a	1,428.25	5.0
CAPITAL GROWTH MGMT.	241	BHI	S	6 , 500	69.91	n/a	n/a	325.00	5.0
SUN AMERICA ASSET MGMT	030	BIDU	В	400	120.18	n/a	n/a	16.00	4.0
DELTEC ASSET MGMT.	040	BONT	В	10,000	8.48	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	COL	S	150,000	59.10	n/a	3-Jun	4,500.00	3.0
SUN AMERICA ASSET MGMT	030	CTSH	В	900	67.99	n/a	n/a	36.00	4.0
GOLD SACHS SPECIAL SIT	030	CVGI	В	36 , 628	13.91	n/a	n/a	1,831.40	5.0
SUN AMERICA ASSET MGMT	030	CY	В	1,700	20.40	n/a	n/a	68.00	4.0
IVORY CAPITAL	034	С	В	100,000	38.01	n/a	14-Jun	5,000.00	5.0
PIONEER PATH	028	С	В	19,894	37.79	n/a	14-Jun	596.82	3.0
SANDLER O'NEILL ASSET	031	С	В	5,000	38.68	n/a	14-Jun	100.00	2.0
AMBER CAPITAL	046	ENR	В	9,000	69.67	n/a	14-Jun	360.00	4.0
DAVIDSON KEMPNER ADVISOR	040	EP	В	50,000	19.38	n/a	n/a	2,500.00	5.0
RIDGECREST INV MGMT LLC	028	ERY	В	10,000	16.59	n/a	n/a	500.00	5.0
ASCEND PARTNERS	033	ETN	В	100,000	46.53	n/a	17-May	5,000.00	5.0
CAPITAL GROWTH MGMT.	241	FCX	S	6,000	48.38	n/a	n/a	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ROYCE TRADING	012	FINL	В	2,500	21.91	n/a	10-May	125.00	5.0
NCM CAPITAL MGMT	035	FITB	S	42 , 375	12.29	n/a	n/a	1,695.00	4.0
MERRILL ASSET/BLACKROCK	297	FOR	В	40,300	15.98	n/a	5-May	1,612.00	4.0
NCM CAPITAL MGMT	035	FULT	S	51,550	10.43	n/a	n/a	2,062.00	4.0
OZ MGMT	040	F	С	70 , 865	13.12	n/a	2-Jun	2,125.95	3.0
PECONIC PARTNERS	036	F	С	100,000	13.30	n/a	2-Jun	5,000.00	5.0
MACQUARIE INVESTMENT MGMT	. 040	GIS	В	10,000	38.12	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	GLBL	В	2 , 600	5.45	n/a	n/a	104.00	4.0
TUDOR INVESTORS	028	GM	В	10,000	28.95	n/a	2-Jun	300.00	3.0
DAVIDSON KEMPNER ADVISOR	040	HII	С	14,700	36.20	n/a	n/a	735.00	5.0
ROTHSCHILD ASSET	040	HME	S	12,605	60.10	n/a	n/a	504.20	4.0
AMBER CAPITAL	046	HOG	В	49,000	35.86	n/a	n/a	1,960.00	4.0
MATRIX ASSET ADV.	091	HRS	В	2,000	45.20	n/a	4-May	80.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	В	75 , 000	26.95	n/a	28-Apr	3,750.00	5.0
PIONEER PATH	028	IWB	SS	7,900	71.54	n/a	n/a	237.00	3.0
NCM CAPITAL MGMT	035	LNC	S	10,025	26.40	n/a	n/a	401.00	4.0
	ROYCE TRADING NCM CAPITAL MGMT MERRILL ASSET/BLACKROCK NCM CAPITAL MGMT OZ MGMT PECONIC PARTNERS MACQUARIE INVESTMENT MGMT SUN AMERICA ASSET MGMT TUDOR INVESTORS DAVIDSON KEMPNER ADVISOR ROTHSCHILD ASSET AMBER CAPITAL MATRIX ASSET ADV. CSFB GLOBAL PROPRIETARY PIONEER PATH	ROYCE TRADING 012 NCM CAPITAL MGMT 035 MERRILL ASSET/BLACKROCK 297 NCM CAPITAL MGMT 035 OZ MGMT 040 PECONIC PARTNERS 036 MACQUARIE INVESTMENT MGMT. 040 SUN AMERICA ASSET MGMT 030 TUDOR INVESTORS 028 DAVIDSON KEMPNER ADVISOR 040 ROTHSCHILD ASSET 040 AMBER CAPITAL 046 MATRIX ASSET ADV. 091 CSFB GLOBAL PROPRIETARY 041 PIONEER PATH 028	ROYCE TRADING 012 FINL NCM CAPITAL MGMT 035 FITB MERRILL ASSET/BLACKROCK 297 FOR NCM CAPITAL MGMT 035 FULT OZ MGMT 040 F PECONIC PARTNERS 036 F MACQUARIE INVESTMENT MGMT. 040 GIS SUN AMERICA ASSET MGMT 030 GLBL TUDOR INVESTORS 028 GM DAVIDSON KEMPNER ADVISOR 040 HII ROTHSCHILD ASSET 040 HME AMBER CAPITAL 046 HOG MATRIX ASSET ADV. 091 HRS CSFB GLOBAL PROPRIETARY 041 IP PIONEER PATH 028 IWB	ROYCE TRADING 012 FINL B NCM CAPITAL MGMT 035 FITB S MERRILL ASSET/BLACKROCK 297 FOR B NCM CAPITAL MGMT 035 FULT S OZ MGMT 040 F C PECONIC PARTNERS 036 F C MACQUARIE INVESTMENT MGMT. 040 GIS B SUN AMERICA ASSET MGMT 030 GLBL B TUDOR INVESTORS 028 GM B DAVIDSON KEMPNER ADVISOR 040 HII C ROTHSCHILD ASSET 040 HME S AMBER CAPITAL 046 HOG B MATRIX ASSET ADV. 091 HRS B CSFB GLOBAL PROPRIETARY 041 IP B	ROYCE TRADING 012 FINL B 2,500 NCM CAPITAL MGMT 035 FITB S 42,375 MERRILL ASSET/BLACKROCK 297 FOR B 40,300 NCM CAPITAL MGMT 035 FULT S 51,550 OZ MGMT 040 F C 70,865 PECONIC PARTNERS 036 F C 100,000 MACQUARIE INVESTMENT MGMT. 040 GIS B 10,000 SUN AMERICA ASSET MGMT 030 GLBL B 2,600 TUDOR INVESTORS 028 GM B 10,000 DAVIDSON KEMPNER ADVISOR 040 HII C 14,700 ROTHSCHILD ASSET 040 HME S 12,605 AMBER CAPITAL 046 HOG B 49,000 MATRIX ASSET ADV. 091 HRS B 2,000 CSFB GLOBAL PROPRIETARY 041 IP B 75,000 PIONEER PATH 028 IWB SS 7,900	ROYCE TRADING 012 FINL B 2,500 21.91 NCM CAPITAL MGMT 035 FITB S 42,375 12.29 MERRILL ASSET/BLACKROCK 297 FOR B 40,300 15.98 NCM CAPITAL MGMT 035 FULT S 51,550 10.43 OZ MGMT 040 F C 70,865 13.12 PECONIC PARTNERS 036 F C 100,000 13.30 MACQUARIE INVESTMENT MGMT. 040 GIS B 10,000 38.12 SUN AMERICA ASSET MGMT 030 GLBL B 2,600 5.45 TUDOR INVESTORS 028 GM B 10,000 28.95 DAVIDSON KEMPNER ADVISOR 040 HII C 14,700 36.20 ROTHSCHILD ASSET 040 HME S 12,605 60.10 AMBER CAPITAL 046 HOG B 49,000 35.86 MATRIX ASSET ADV. 091 HRS B 2,000 45.20 CSFB GLOBAL PROPRIETARY 041 IP B 75,000 26.95 PIONEER PATH 028 IWB SS 7,900 71.54	ROYCE TRADING 012 FINL B 2,500 21.91 n/a NCM CAPITAL MGMT 035 FITB S 42,375 12.29 n/a MERRILL ASSET/BLACKROCK 297 FOR B 40,300 15.98 n/a NCM CAPITAL MGMT 035 FULT S 51,550 10.43 n/a OZ MGMT 040 F C 70,865 13.12 n/a PECONIC PARTNERS 036 F C 100,000 13.30 n/a MACQUARIE INVESTMENT MGMT. 040 GIS B 10,000 38.12 n/a SUN AMERICA ASSET MGMT 030 GLBL B 2,600 5.45 n/a TUDOR INVESTORS 028 GM B 10,000 28.95 n/a DAVIDSON KEMPNER ADVISOR 040 HII C 14,700 36.20 n/a ROTHSCHILD ASSET 040 HME S 12,605 60.10 n/a AMBER CAPITAL 046 HOG B 49,000 35.86 n/a MATRIX ASSET ADV. 091 HRS B 2,000 45.20 n/a PIONEER PATH 028 IWB SS 7,900 71.54 n/a	ROYCE TRADING 012 FINL B 2,500 21.91	ROYCE TRADING 012 FINL B 2,500 21.91

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	
ROTHSCHILD ASSET	040	MAA	S	6,100	66.21	n/a	n/a	244.00	4.0	
NCM CAPITAL MGMT	035	MAC	В	9,000	49.73	n/a	n/a	360.00	4.0	
ROYCE TRADING	012	MLI	В	60,000	35.49	n/a	27-Apr	3,000.00	5.0	
BRONSON POINT	036	MMM	В	5,000	91.92	n/a	17-May	150.00	3.0	
SONTERRA CAP	041	MWV	S	24,024	32.08	n/a	27-Apr	960.96	4.0	
SAC CHICAGO ANDREW	031	М	В	146,900	27.36	n/a	3-Jun	5,141.50	3.5	
CATAPULT	040	NEU	SS	3,000	156.31	n/a	n/a	120.00	4.0	
PAW PARTNERS	025	OTEX	SS	3,000	59.31	n/a	n/a	150.00	5.0	
SUN AMERICA ASSET MGMT	030	REN	В	1,400	16.93	n/a	n/a	56.00	4.0	
BRONSON POINT	036	RLD	SS	10,000	23.81	n/a	n/a	300.00	3.0	
PAW PARTNERS	025	SAPE	S	10,000	14.42	n/a	n/a	500.00	5.0	
SUN AMERICA ASSET MGMT	030	SWFT	В	2,000	13.00	n/a	n/a	80.00	4.0	
CSFB GLOBAL PROPRIETARY	041	TIN	S	40,000	29.22	n/a	7-Jun	2,000.00	5.0	
TRELLUS PARTNERS LP	028	TIN	В	30,000	28.66	n/a	7-Jun	1,500.00	5.0	
SUN AMERICA ASSET MGMT	030	TPLM	В	3,500	6.50	n/a	n/a	140.00	4.0	
CAPITAL GROWTH MGMT.	241	UNH	S	6,100	49.34	n/a	n/a	305.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BNP PARIBAS SEC	040	WRC	В	40,000	48.21	n/a	6-Мау	2,000.00 5.0
CSFB GLOBAL PROPRIETARY	041	XLB	В	30,000	37.67	n/a	n/a	1,500.00 5.0
RIDGECREST INV MGMT LLC	028	XME	SS	15,000	64.55	n/a	n/a	750.00 5.0

TOTAL (Trade Date): 67,933.79

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	06/14	ROSEDALE CAPITAL (&ROSEGS)	046	F	S	20,000	13.53	n/a	2-Jun	1000.00	5.0
AO, CRT	06/14	ROSEDALE CAPITAL (&ROSEGS)	046	F	S	20,000	13.53	n/a	2-Jun	800.00	4.0
AO,CXL	06/14	CHESAPEAKE PARTNERS (CHSAMSPB)	028	GRM	В	50,960	26.34	n/a	n/a	1528.80	3.0
AO,	06/14	CHESAPEAKE PARTNERS (CHSAMSPB)	028	GRM	S	50,960	26.34	n/a	n/a	1528.80	3.0

TOTAL (RUN DATE) / NFS:	67,733.79
TOTAL (AO, CXL, CRT):	-200.00
TOTAL (Trade Date):	67,933.79

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