



Daily Compliance Activity Report

Trade Date: 06/09/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
MADISON ST PARTNERS LLC	046	AGCO	B	15,000	48.15	n/a	27-Apr	750.00 5.0
MACQUARIE INVESTMENT MGMT.	040	AGU	SS	7,500	84.97	n/a	n/a	0.00 0.0
PIONEER OAKRIDGE	031	AIMC	B	50,000	23.57	n/a	n/a	1,000.00 2.0
PERRY PARTNERS	085	AMT	S	50,000	49.86	n/a	n/a	2,500.00 5.0
PIONEER OAKRIDGE	031	ANSS	B	25,000	52.25	n/a	n/a	500.00 2.0
PIONEER OAKRIDGE	031	AOS	B	10,000	39.95	n/a	6-Jun	200.00 2.0
PIONEER OAKRIDGE	031	AREX	B	20,000	23.26	n/a	n/a	400.00 2.0
COBALT	041	BEAV	B	10,000	36.62	n/a	3-Jun	400.00 4.0
PZENA INV ADV	044	BEN	B	1,550	123.95	n/a	2-Mar	54.26 3.5
PIONEER OAKRIDGE	031	BKU	B	30,000	27.77	n/a	n/a	600.00 2.0
GLENHILL CAPITAL	036	BYI	B	39,750	36.21	n/a	11-May	1,987.50 5.0
BMO NESBITT BURNS	041	BZ	S	6,000	7.57	n/a	n/a	420.00 7.0
PIONEER OAKRIDGE	031	CHSI	B	25,000	53.77	n/a	n/a	500.00 2.0
EMERSON CAPITAL MGMT	048	COH	B	10,551	59.77	n/a	3-Jun	316.53 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	CPT	S	5,600	64.47	n/a	n/a	224.00	4.0
SUN AMERICA ASSET MGMT	030	CVX	B	63,000	101.43	n/a	n/a	2,520.00	4.0
CATAPULT	040	C	S	5,000	37.43	n/a	2-Jun	200.00	4.0
PIONEER OAKRIDGE	031	DECK	B	10,000	80.93	n/a	n/a	200.00	2.0
PIONEER OAKRIDGE	031	DHX	B	50,000	13.51	n/a	n/a	1,000.00	2.0
CATAPULT	040	ECL	SS	10,000	54.50	n/a	2-Jun	400.00	4.0
MAIRS AND POWER INV	030	ECL	S	10,000	54.67	n/a	2-Jun	500.00	5.0
PIONEER PATH	028	EFA	B	19,650	60.60	n/a	n/a	589.50	3.0
MERRILL ASSET/BLACKROCK	297	ESS	S	11,000	136.05	n/a	n/a	440.00	4.0
RWC PARTNERS LTD	085	ESV	B	17,328	54.57	n/a	n/a	519.84	3.0
SAC TRADING TOM LEDDY	035	EXPR	S	15,000	19.80	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	4,400	21.25	n/a	10-May	220.00	5.0
BMO NESBITT BURNS	041	FRED	SS	3,000	14.13	n/a	n/a	120.00	4.0
PIONEER OAKRIDGE	031	GPOR	B	25,000	27.04	n/a	n/a	500.00	2.0
PIONEER OAKRIDGE	031	HAE	B	20,000	65.75	n/a	n/a	400.00	2.0
PIONEER OAKRIDGE	031	HMSY	B	20,000	75.03	n/a	n/a	400.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	085	HTZ	S	75,000	14.45	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	ICON	B	70,000	22.13	n/a	n/a	1,400.00	2.0
PIONEER OAKRIDGE	031	IDXX	B	20,000	73.65	n/a	n/a	400.00	2.0
PIONEER OAKRIDGE	031	INFA	B	15,000	55.05	n/a	n/a	300.00	2.0
GLENHILL CAPITAL	036	JCI	B	136,012	36.39	n/a	26-Apr	6,800.60	5.0
PIONEER OAKRIDGE	031	KMT	B	40,000	38.57	n/a	29-Apr	800.00	2.0
SAC CHICAGO ANDREW	031	KR	SS	100,000	23.90	n/a	n/a	3,500.00	3.5
PIONEER OAKRIDGE	031	LKQX	B	50,000	24.86	n/a	n/a	1,000.00	2.0
CYRUS CAPITAL	025	LPX	B	95,000	7.43	n/a	19-May	2,850.00	3.0
PIONEER OAKRIDGE	031	MCRS	B	20,000	47.26	n/a	n/a	400.00	2.0
SONTERRA CAP	041	MMI	SS	50,000	23.41	n/a	n/a	2,000.00	4.0
RWC PARTNERS LTD	085	MOS	B	13,076	68.35	n/a	n/a	392.28	3.0
PIONEER OAKRIDGE	031	MWIV	B	15,000	81.79	n/a	n/a	300.00	2.0
BMO NESBITT BURNS	041	MWV	B	4,000	32.37	n/a	27-Apr	280.00	7.0
SMITH MGMT LLC	029	NDN	B	244,000	20.56	n/a	27-May	7,320.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOKBIELER	028	NX	B	100,000	18.01	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	OAS	B	30,000	27.66	n/a	n/a	600.00	2.0
BALYASNY ASSET MGMT	044	ORLY	SS	20,000	59.51	n/a	n/a	1,000.00	5.0
ROSEDALE CAPITAL	046	OSK	B	10,000	26.57	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	PBCT	B	25,000	12.63	n/a	19-May	1,250.00	5.0
WOOSTER CAPITAL	035	PCAR	B	25,000	47.16	n/a	20-Apr	1,250.00	5.0
CATAPULT	040	PCH	B	15,000	35.26	n/a	3-Jun	600.00	4.0
LONG OAR GLOBAL INV	040	PKG	SS	69,000	28.93	n/a	19-Apr	2,760.00	4.0
PIONEER OAKRIDGE	031	PLCE	B	15,000	45.30	n/a	8-Jun	300.00	2.0
PIONEER OAKRIDGE	031	PRAA	B	15,000	80.20	n/a	n/a	300.00	2.0
CATAPULT	040	PX	SS	10,000	101.54	n/a	9-Jun	400.00	4.0
PIONEER OAKRIDGE	031	QCOR	B	35,000	21.76	n/a	n/a	700.00	2.0
PIONEER OAKRIDGE	031	QGEN	B	25,000	19.28	n/a	n/a	500.00	2.0
PIONEER OAKRIDGE	031	RBN	B	25,000	42.84	n/a	n/a	500.00	2.0
PAULSON & CO INC	041	RIG	S	250,000	65.09	n/a	n/a	7,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYPRESS CAP MGMT LLC	040	ROST	SS	11,700	77.79	n/a	n/a	468.00	4.0
PIONEER OAKRIDGE	031	SF	B	50,000	37.25	n/a	n/a	1,000.00	2.0
PIONEER OAKRIDGE	031	SIRO	B	30,000	51.58	n/a	n/a	600.00	2.0
MERRILL ASSET/BLACKROCK	297	SLGN	B	33,900	44.38	n/a	n/a	1,356.00	4.0
PIONEER OAKRIDGE	031	SLH	B	15,000	57.08	n/a	n/a	300.00	2.0
LATEFF MGMT	035	SPLS	B	400	15.23	n/a	n/a	52.00	13.0
BMO NESBITT BURNS	041	SVU	S	6,000	8.73	n/a	n/a	240.00	4.0
SONTERRA CAP	041	SWY	SS	20,000	22.65	n/a	n/a	800.00	4.0
AMBER CAPITAL	046	S	B	500,000	5.44	n/a	n/a	15,000.00	3.0
EMERSON CAPITAL MGMT	048	TIF	B	2,000	73.18	n/a	n/a	60.00	3.0
BNP PARIBAS SEC	040	TIN	B	25,000	30.07	n/a	7-Jun	1,250.00	5.0
BUTTE CAPITAL MGMT LLC	084	TIN	B	5,000	29.95	n/a	7-Jun	250.00	5.0
SCOPUS FUND	041	TIN	B	50,000	30.06	n/a	7-Jun	2,000.00	4.0
SURVEYOR CAPITAL	041	UA	SS	100,000	64.09	n/a	27-Apr	3,000.00	3.0
MASTERS CAPITAL MANAGE	091	VLO	B	100,000	25.65	n/a	n/a	4,000.00	4.0
MATRIX ASSET ADV.	091	VOD	B	5,000	26.57	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	WCN	B	50,000	30.84	n/a	n/a	1,000.00	2.0
MERRILL ASSET/BLACKROCK	297	WLL	B	11,700	60.55	n/a	n/a	468.00	4.0
BRANDWINE	028	WMT	B	32,000	53.91	n/a	18-May	1,280.00	4.0
PIONEER OAKRIDGE	031	WWW	B	15,000	36.65	n/a	n/a	300.00	2.0
PIONEER OAKRIDGE	031	WXS	B	35,000	49.89	n/a	n/a	700.00	2.0
TOTAL (Trade Date):								105,838.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/07	BALLAST CAP (BALLJPMPB)	040	CAKE	B	13,000	30.08	n/a	21-Apr	390.00 3.0
AO,CRT	06/07	BALLAST CAP (BALLJPMPB)	040	CAKE	B	13,000	30.08	n/a	21-Apr	650.00 5.0
AO,CXL	06/08	BROADARCH CAP/OLD NEWC (BROAJPM)	070	DO	B	2,920	68.90	n/a	n/a	116.80 4.0
AO,CRT	06/08	BROADARCH CAP/OLD NEWC (BROAJPM)	070	DO	B	1,080	68.90	n/a	n/a	43.20 4.0
AO,CXL	06/08	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	DO	B	1,080	68.90	n/a	n/a	43.20 4.0
AO,CRT	06/08	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	DO	B	2,920	68.90	n/a	n/a	116.80 4.0
AO,CXL	06/07	BALLAST CAP (BALLJPMPB)	040	ITT	B	10,500	55.80	n/a	4-May	315.00 3.0
AO,CRT	06/07	BALLAST CAP (BALLJPMPB)	040	ITT	B	10,500	55.80	n/a	4-May	525.00 5.0
AO,CXL	06/08	LISTED ERR (LISTED ERR)	041	URI	S	38	22.40	n/a	n/a	0.00 0.0
AO,CXL	06/08	MOORE CAPITAL (MOORMS)	041	URI	S	15,100	22.40	n/a	n/a	604.00 4.0
AO,	06/08	MOORE CAPITAL (MOORMS)	041	URI	S	15,138	22.40	n/a	n/a	605.52 4.0

TOTAL (AO, CXL, CRT) :**471.52**

TOTAL (Trade Date):

105,838.51

TOTAL (AO, CXL, CRT):

471.52

TOTAL (RUN DATE) / NFS:**106,310.03**

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