



Daily Compliance Activity Report

Trade Date: 06/11/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOOSTER CAPITAL	035	AXL	B	100,000	9.39	n/a	7-Jun	3,000.00	3.0
TROUBH PART	070	AXP	SS	10,000	55.11	n/a	11-Jun	500.00	5.0
LATEFF MGMT	035	BBT	B	500	28.69	n/a	n/a	50.00	10.0
CRAMER ROSENTHAL	070	CAKE	SS	10,975	30.87	n/a	26-Apr	439.00	4.0
COLUMBUS CIRCLE	036	COO	S	4,399	78.70	n/a	n/a	175.96	4.0
KINGDON ASSET MGMT	041	DAL	S	290,000	10.29	n/a	n/a	5,800.00	2.0
MERCHANTS GATE CAP LP	036	DDS	C	30,000	67.25	n/a	n/a	1,200.00	4.0
LATEFF MGMT	035	DD	B	1,000	49.15	n/a	31-May	100.00	10.0
PNC CAPITAL ADV	028	DOV	B	2,836	56.85	n/a	n/a	113.44	4.0
BALLAST CAP	040	DRI	SS	7,700	50.02	n/a	13-Apr	385.00	5.0
BALLAST CAP	040	GES	SS	14,300	27.16	n/a	23-May	715.00	5.0
DAVIDSON KEMPNER ADVISOR	040	HAS	SS	58,700	34.06	n/a	n/a	2,935.00	5.0
LISTED ERR	099	HAS	B	300	34.11	n/a	n/a	0.00	0.0
LISTED ERR	099	HAS	SS	117,700	34.06	n/a	n/a	0.00	0.0
TROUBH PART	070	HD	SS	10,000	51.32	n/a	7-Jun	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	HST	S	50,000	15.25	n/a	13-Jun	1,500.00	3.0
WOODWAY FINANCIAL	031	IMPUY	S	200	15.91	n/a	n/a	12.00	6.0
LATEFF MGMT	035	JCI	B	1,000	28.51	n/a	27-Apr	100.00	10.0
SIMMONS VENTURES	041	JNY	B	5,000	9.68	n/a	26-Apr	250.00	5.0
BASSWOOD PARTNERS	267	JPM	C	34,930	33.55	n/a	5-Jun	1,397.20	4.0
PNC CAPITAL ADV	028	KBR	S	4,447	26.18	n/a	n/a	177.88	4.0
WOOSTER CAPITAL	035	LEA	B	50,000	38.36	n/a	4-May	2,500.00	5.0
LISTED ERR	099	LPX	B	27	9.77	n/a	7-May	0.00	0.0
SANDLER CAPITAL	028	MAKO	C	177,300	26.47	n/a	n/a	7,092.00	4.0
SCOPUS FUND	041	M	SS	50,000	36.80	n/a	1-Jun	2,000.00	4.0
SCOPUS FUND	041	OI	S	100,000	18.75	n/a	n/a	4,000.00	4.0
LATEFF MGMT	035	PCH	B	1,000	29.11	n/a	24-Apr	100.00	10.0
CAERUS GLOBAL	041	PENN	S	1,500	43.04	n/a	n/a	60.00	4.0
ROTHSCHILD ASSET	040	RDEN	S	19,537	35.55	n/a	14-May	781.48	4.0
TUDOR INVESTORS	028	RFP	SS	10,000	11.52	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ISF MANAGEMENT	025	STX	S	5,000	22.82	n/a	n/a	200.00	4.0
HOTCHKIS & WILEY	035	SYA	S	5,700	11.48	n/a	n/a	285.00	5.0
IVORY CAPITAL	034	S	S	701,086	2.87	n/a	n/a	3,505.43	0.5
ISF MANAGEMENT	025	TUP	B	3,500	53.80	n/a	n/a	140.00	4.0
KINGDON ASSET MGMT	041	UAL	B	129,000	23.12	n/a	n/a	5,160.00	4.0
TUDOR INVESTORS	028	URI	B	5,000	30.91	n/a	17-Apr	150.00	3.0
BASSWOOD PARTNERS	267	VMC	B	17,800	34.07	n/a	n/a	712.00	4.0
MATRIX ASSET ADV.	091	WU	S	3,700	16.28	n/a	n/a	111.00	3.0
LATEFF MGMT	035	XOM	B	500	81.15	n/a	n/a	60.00	12.0
TOTAL (Trade Date) :								46,507.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									46,507.39
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									46,507.39
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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