



## Daily Compliance Activity Report

Trade Date: 06/21/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAIL-SPLITTER	031	AN	SS	48,300	34.36	n/a	27-Apr	2,415.00	5.0
BALYASNY ASSET MGMT	044	ARO	S	25,000	18.22	n/a	20-May	1,250.00	5.0
TUDOR INVESTORS	028	BA	S	5,000	73.99	n/a	21-Jun	150.00	3.0
OZ MGMT	040	BHP	SS	5,135	90.56	n/a	n/a	154.05	3.0
OZ MGMT	040	CAT	SS	2,388	101.40	n/a	2-May	71.64	3.0
TUDOR INVESTORS	028	CAT	SS	5,000	100.27	n/a	2-May	150.00	3.0
CATAPULT	040	CCK	SS	15,000	37.32	n/a	n/a	600.00	4.0
TUDOR INVESTORS	028	CMI	B	7,000	95.37	n/a	27-Apr	210.00	3.0
OZ MGMT	040	DOW	SS	7,274	36.06	n/a	6-May	218.22	3.0
ROYCE TRADING	012	FINL	B	5,000	23.32	n/a	21-Jun	250.00	5.0
MA CAPITAL MGMT/MELLON ADV041		FL	B	6,000	23.64	n/a	2-Jun	300.00	5.0
TUDOR INVESTORS	028	GM	S	10,000	29.92	n/a	2-Jun	300.00	3.0
TUDOR INVESTORS	028	GR	B	3,000	93.20	n/a	21-Jun	90.00	3.0
BALYASNY ASSET MGMT	044	JCP	SS	5,000	35.89	n/a	3-Jun	250.00	5.0
TRAFELET & COMP.	028	KMX	C	100,000	30.21	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	LOW	SS	20,000	23.31	n/a	13-Jun	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	65,000	7.99	n/a	19-May	3,250.00	5.0
RIDGECREST INV MGMT LLC	028	LTD	B	10,000	36.53	n/a	n/a	500.00	5.0
WEISS PECK	040	MBND	S	19,800	3.35	n/a	n/a	594.00	3.0
CIRCLE T/SES PART	033	MGM	B	15,000	12.18	n/a	13-Jun	600.00	4.0
ROYCE TRADING	012	MLI	B	14,500	36.45	n/a	27-Apr	725.00	5.0
PZENA INV ADV	044	MS	B	8,800	22.70	n/a	16-Jun	308.00	3.5
SIGMA CAPITAL ASSOCIATES	041	M	B	50,000	28.12	n/a	3-Jun	1,750.00	3.5
THIRD COAST CAPITAL	035	NKE	B	5,000	84.16	n/a	21-Jun	250.00	5.0
PARAMETER CAPITAL MGMT LLC	044	NUE	B	10,000	40.02	n/a	n/a	400.00	4.0
MACQUARIE INVESTMENT MGMT.	040	NWY	B	2,500	4.37	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	PH	B	5,000	85.62	n/a	28-Apr	150.00	3.0
BMO NESBITT BURNS	041	PKG	B	4,000	27.31	n/a	21-Jun	200.00	5.0
SENATOR INVESTMENT GROUP	036	PKG	S	305,449	27.16	n/a	21-Jun	9,163.47	3.0
PLATTE RIVER CAPITAL	240	SMG	B	5,400	50.62	n/a	20-Jun	216.00	4.0
GRANITE CAPITAL	028	SPRD	B	15,000	13.12	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	SSS	B	15,625	39.91	n/a	n/a	625.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.29	n/a	n/a	800.00	4.0
BRONSON POINT	036	TCK	S	7,500	45.90	n/a	n/a	225.00	3.0
TALPION LLC	040	UAL	B	20,000	24.55	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	USG	SS	7,000	14.83	n/a	20-Apr	350.00	5.0
TUDOR INVESTORS	028	UTX	SS	5,000	85.74	n/a	n/a	150.00	3.0
PEAK INV LLC	084	WFCWS	S	100	9.25	n/a	n/a	4.00	4.0
SAC TRADING TOM LEDDY	035	WMT	SS	25,000	52.98	n/a	18-May	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	52.78	n/a	18-May	875.00	3.5
CAERUS GLOBAL	041	WRC	S	35,000	51.36	n/a	6-May	1,400.00	4.0
OZ MGMT	040	XLB	SS	69,687	37.89	n/a	n/a	2,090.61	3.0
TUDOR INVESTORS	028	X	B	5,000	42.21	n/a	n/a	150.00	3.0
PROSPECTOR PARTNERS LLC	036	YUM	S	6,700	55.49	n/a	25-Apr	268.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>37,677.99</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	06/21	RAIL-SPLITTER (RAILGSBULK)	031	AN	SS	48,300	34.36	n/a	27-Apr	2415.00 5.0
AO,CXL	06/20	SAC TRADING TOM LEDDY (SACHMLLEDY)	035	KFT	SS	30,000	34.70	n/a	n/a	0.00 0.0
AO,CRT	06/20	SAC TRADING TOM LEDDY (SACHMLLEDY)	035	KFT	SS	30,000	34.70	n/a	n/a	1050.00 3.5
AO,CRT	06/20	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	LOW	B	100,000	23.16	n/a	13-Jun	3500.00 3.5
AO,CXL	06/20	SIGMA CAPITAL ASSOCIATES (SIGMGSUSE)	041	LOW	B	100,000	23.16	n/a	13-Jun	3500.00 3.5
AO,CRT	06/20	SIGMA CAPITAL ASSOCIATES (SIGMMERR)	041	WMT	SS	25,000	53.00	n/a	18-May	875.00 3.5
AO,CXL	06/20	SIGMA CAPITAL ASSOCIATES (SIGMGSUSE)	041	WMT	SS	25,000	53.00	n/a	18-May	875.00 3.5

**TOTAL (AO, CXL, CRT) :****3,465.00**

TOTAL (Trade Date) :

37,677.99

TOTAL (AO, CXL, CRT) :

3,465.00

**TOTAL (RUN DATE) / NFS:****41,142.99**

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