



Daily Compliance Activity Report

Trade Date: 06/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	AGCO	B	10,000	41.37	n/a	13-Jun	400.00	4.0
FORTRESS INVESTMENT (US)	036	BA	B	45,000	71.07	n/a	20-Jun	900.00	2.0
NEWLAND CAPITAL MGT	025	BECN	SS	10,000	24.15	n/a	n/a	400.00	4.0
CHARTER OAK	033	BUD	S	25,678	72.40	n/a	4-Jun	1,283.90	5.0
CATAPULT CAP/DEFRANCO	040	BWA	SS	16,000	64.18	n/a	27-Apr	640.00	4.0
ROSEDALE CAPITAL	046	CMC	B	10,000	11.77	n/a	n/a	400.00	4.0
OHIO PERS	047	COG	B	68,500	36.94	n/a	22-Jun	2,055.00	3.0
FRED ALGER MGMT	035	C	S	26,850	26.81	n/a	20-Jun	966.60	3.6
MERRILL ASSET/BLACKROCK	297	DFT	B	16,700	27.46	n/a	n/a	668.00	4.0
WEINTRAUB CAPITAL MGT.	269	DG	S	50,000	54.26	n/a	5-Jun	2,000.00	4.0
OHIO PERS	047	DV	B	72,127	29.19	n/a	n/a	2,163.81	3.0
CATAPULT CAP/DEFRANCO	040	FAST	B	39,691	38.63	n/a	n/a	1,587.64	4.0
VISIUM/BALY BOBBY	044	FAST	SS	20,000	38.44	n/a	n/a	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	164,575	29.00	n/a	18-May	4,937.25	3.0
KLEINHEINZ CAP PART	031	GIL	S	50,000	26.39	n/a	12-Jun	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTIER	029	HMA	S	136,550	6.71	n/a	n/a	4,096.50	3.0
FORTRESS INVESTMENT (US)	036	HON	S	48,000	53.36	n/a	14-Jun	960.00	2.0
CRAMER ROSENTHAL	070	HOT	B	43,500	50.21	n/a	13-Jun	1,740.00	4.0
OHIO PERS	047	HUM	S	14,387	78.81	n/a	n/a	431.61	3.0
LATEEF MGMT	035	JPM	B	1,275	35.83	n/a	20-Jun	173.75	17.3
SANDLER O'NEILL ASSET	031	LAZ	SS	10,000	24.75	n/a	20-Jun	500.00	5.0
TUDOR INVESTORS	028	MHK	S	5,000	66.40	n/a	n/a	150.00	3.0
PARKWEST	084	MIC	B	10,000	32.18	n/a	n/a	300.00	3.0
DELTEC ASSET MGMT.	040	MTW	B	10,000	10.14	n/a	13-Jun	500.00	5.0
EMPYREAN CAPITAL	084	NAV	B	75,000	25.13	n/a	13-Jun	2,250.00	3.0
TUDOR INVESTORS	028	SWK	B	5,000	61.20	n/a	n/a	150.00	3.0
DELTEC ASSET MGMT.	040	TEX	B	10,000	16.27	n/a	13-Jun	500.00	5.0
VISIUM/BALY BOBBY	044	TEX	B	30,000	15.89	n/a	13-Jun	1,200.00	4.0
TOTAL (Trade Date) :								34,654.06	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									34,654.06
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									34,654.06

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