



Daily Compliance Activity Report

Trade Date: 06/13/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABT	B	1,875	51.45	n/a	n/a	65.63	3.5
MACQUARIE INVESTMENT MGMT.	040	ANN	S	5,000	26.23	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARCO	S	5,000	21.25	n/a	n/a	250.00	5.0
ROSEDALE CAPITAL	046	CHK	B	10,000	29.31	n/a	n/a	500.00	5.0
BALLAST CAP	040	CHS	B	9,000	13.90	n/a	5-Feb	450.00	5.0
SCOPUS FUND	041	DAN	S	4,600	16.40	n/a	25-May	184.00	4.0
MTB INV ADV	034	DNDN	B	4,175	39.86	n/a	n/a	208.75	5.0
COBALT	041	DNR	S	100,000	19.05	n/a	n/a	4,000.00	4.0
SCOPUS FUND	041	EAT	B	50,000	23.47	n/a	29-Apr	2,000.00	4.0
ROYCE TRADING	012	FINL	B	5,000	21.50	n/a	10-May	250.00	5.0
OZ MGMT	040	F	C	100,000	13.20	n/a	2-Jun	3,000.00	3.0
SANDLER CAPITAL	028	GD	SS	105,000	69.47	n/a	2-May	5,250.00	5.0
BNP PARIBAS SEC	040	HD	S	35,000	33.62	n/a	18-May	1,750.00	5.0
MTB INV ADV	034	HGSI	B	7,300	25.82	n/a	n/a	365.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALPION LLC	040	HTZ	B	25,000	14.07	n/a	n/a	1,000.00	4.0
BALLAST CAP	040	IP	S	15,100	27.89	n/a	28-Apr	755.00	5.0
MACQUARIE INVESTMENT MGMT.	040	KBR	S	30,000	35.38	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	LOW	S	60,000	22.29	n/a	13-Jun	3,000.00	5.0
CASTLEROCK	040	LTD	B	83,513	36.10	n/a	n/a	3,340.52	4.0
MACQUARIE INVESTMENT MGMT.	040	NUE	B	10,000	39.52	n/a	n/a	0.00	0.0
MTB INV ADV	034	ONXX	S	9,375	35.98	n/a	n/a	468.75	5.0
MERRILL ASSET/BLACKROCK	297	PJC	S	20,000	29.17	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	297	PRE	S	7,800	69.71	n/a	n/a	312.00	4.0
SIGMA CAPITAL ASSOCIATES	041	PSS	SS	25,000	13.98	n/a	n/a	875.00	3.5
HAHN CAPITAL MANAGEMENT	084	RS	B	1,611	47.28	n/a	n/a	80.55	5.0
MTB INV ADV	034	SNHY	B	2,100	42.14	n/a	n/a	105.00	5.0
THOMAS WEISEL ASSET MGMT	035	SONS	B	65,845	3.00	n/a	n/a	1,975.35	3.0
BALLAST CAP	040	SSS	S	6,800	38.71	n/a	n/a	340.00	5.0
FIRST NEW YORK NICK	029	S	S	10,000	5.26	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	TIN	S	325,000	29.43	n/a	7-Jun	16,250.00	5.0
LIONEYE CAPITAL	040	TIN	B	18,500	29.54	n/a	7-Jun	925.00	5.0
MOORE CAPITAL	041	TIN	B	35,200	29.25	n/a	7-Jun	1,408.00	4.0
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	28.98	n/a	n/a	875.00	3.5
MACQUARIE INVESTMENT MGMT.	040	VRTX	S	5,000	47.47	n/a	n/a	0.00	0.0
SACC-SCHWARTZ	044	XLI	SS	100,000	35.28	n/a	n/a	3,500.00	3.5
BALLAST CAP	040	YSI	S	26,000	9.96	n/a	n/a	780.00	3.0
TOTAL (Trade Date):								55,563.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/10	NOMURA CAPITAL (NOMUSTRAT)	029	RKT	S	2,380	68.02	n/a	n/a	71.40 3.0
AO,	06/10	NOMURA CAPITAL (NOMUBATT2)	029	RKT	S	1,046	68.02	n/a	n/a	31.38 3.0
AO,	06/10	NOMURA CAPITAL (NOMUBSMAIN)	029	RKT	S	1,806	68.02	n/a	n/a	54.18 3.0

TOTAL (AO, CXL, CRT) :	156.96
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TOTAL (Trade Date) :	55,563.55
TOTAL (AO, CXL, CRT) :	156.96

TOTAL (RUN DATE) / NFS :	55,720.51
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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