



## Daily Compliance Activity Report

Trade Date: 06/15/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	ACCO	S	25,000	10.23	n/a	n/a	1,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	APD	B	5,000	79.28	n/a	24-Apr	200.00	4.0
SIMMONS VENTURES	041	ARO	B	5,000	16.60	n/a	n/a	200.00	4.0
RIDGECREST INV MGMT LLC	028	AXL	B	35,000	9.55	n/a	7-Jun	1,400.00	4.0
COHN	041	BXP	S	1,725	103.36	n/a	n/a	69.00	4.0
LATEEF MGMT	035	CMCSK	S	425	30.39	n/a	n/a	46.75	11.0
RBC CAPITAL MARKETS	040	DRI	SS	10,000	51.59	n/a	13-Apr	400.00	4.0
JET CAPITAL/CHRIS	041	ETP	B	100,000	43.85	n/a	n/a	3,000.00	3.0
ARSENAL ASSET MANAGEMENT	028	EXP	B	10,000	32.09	n/a	n/a	400.00	4.0
ROYCE TRADING	031	FINL	B	1,000	18.68	n/a	31-May	50.00	5.0
LATEEF MGMT	035	GIS	S	100	38.53	n/a	n/a	30.00	30.0
RBC CAPITAL MARKETS	040	GNC	B	4,500	35.49	n/a	n/a	180.00	4.0
LATEEF MGMT	035	HON	S	200	55.75	n/a	14-Jun	44.00	22.0
ROXBURY CAPITAL MGMT	035	HXL	S	92,840	24.42	n/a	29-May	2,785.20	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	INTC	S	300	27.22	n/a	n/a	45.00	15.0
ARMATURE CAPITAL	041	IP	S	50,000	28.71	n/a	27-Apr	2,000.00	4.0
NEWLAND CAPITAL MGT	025	KMB	SS	15,000	82.57	n/a	23-Apr	600.00	4.0
BRONSON POINT	036	KNOL	S	100,000	19.57	n/a	n/a	3,000.00	3.0
WOOSTER CAPITAL	035	LEA	B	10,000	37.49	n/a	4-May	500.00	5.0
CRAMER ROSENTHAL	070	MAR	C	3,600	37.57	n/a	13-Jun	144.00	4.0
CAMBIAR CAP	046	NAV	S	297,812	30.03	n/a	13-Jun	11,912.48	4.0
LATEEF MGMT	035	PFE	S	300	22.63	n/a	n/a	45.00	15.0
ROTHSCHILD ASSET	040	PNW	S	1,780	51.72	n/a	n/a	71.20	4.0
COHE & STEERS	041	RYN	B	35,116	43.41	n/a	3-May	1,404.64	4.0
COHN	041	RYN	B	1,851	43.35	n/a	3-May	74.04	4.0
ROSEDALE CAPITAL	046	SCHW	S	20,000	12.50	n/a	n/a	800.00	4.0
WHITE PINE CAPITAL	030	SHW	SS	500	130.20	n/a	13-Jun	25.00	5.0
DAVIDSON KEMPNER ADVISOR	040	SWY	C	108,300	18.44	n/a	n/a	5,415.00	5.0
HOTCHKIS & WILEY	035	SYA	S	22,700	11.97	n/a	n/a	1,135.00	5.0
ROTHSCHILD ASSET	040	UFS	B	28,097	77.72	n/a	n/a	1,123.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	VAC	B	4,000	28.37	n/a	n/a	160.00	4.0
HOPLITE MGMT	025	VALE	B	11,949	19.09	n/a	n/a	477.96	4.0
WHITE PINE CAPITAL	030	VAL	B	1,000	47.54	n/a	n/a	50.00	5.0
COHN	041	VNO	B	2,071	81.52	n/a	n/a	82.84	4.0
TUDOR INVESTORS	028	WCC	B	5,000	52.93	n/a	n/a	150.00	3.0
LATEEF MGMT	035	WRI	S	200	25.16	n/a	n/a	40.00	20.0
ARMATURE CAPITAL	041	WY	S	50,000	20.63	n/a	4-May	2,000.00	4.0
EATON VANCE MGMT	029	XOM	B	500,000	82.34	n/a	n/a	7,500.11	1.5
SIMMONS VENTURES	041	ZQK	B	10,000	2.44	n/a	10-May	300.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>48,861.10</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/13	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	50,000	9.24	n/a	7-Jun	2500.00 5.0
AO,CRT	06/13	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	50,000	9.24	n/a	7-Jun	1500.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,000.00</b>

TOTAL (Trade Date):	48,861.10
TOTAL (AO, CXL, CRT):	-1,000.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>47,861.10</b>
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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