



## Daily Compliance Activity Report

Trade Date: 06/23/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	AMRN	S	10,000	13.99	n/a	n/a	300.00	3.0
CASTLEROCK	040	ANN	SS	68,964	25.93	n/a	n/a	2,758.56	4.0
LEVIN CAPITAL STRATEGIES	012	ATVI	S	20,000	11.22	n/a	n/a	600.00	3.0
TALPION LLC	040	AVP	C	10,000	27.30	n/a	20-Jun	400.00	4.0
MA CAPITAL MGMT/MELLON ADV041		AXL	B	15,000	10.53	n/a	25-May	450.00	3.0
MA CAPITAL MGMT/MELLON ADV041		AXL	S	15,000	10.65	n/a	25-May	450.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	30,000	10.58	n/a	25-May	1,500.00	5.0
WALKER SMITH	031	CAR	S	25,000	15.73	n/a	n/a	1,250.00	5.0
AMBER CAPITAL	046	CIT	S	12,000	42.63	n/a	17-May	480.00	4.0
GALT INVESTMENT	041	CRMT	S	596	31.11	n/a	n/a	29.80	5.0
GALT INVESTMENT	041	CROX	S	20,000	25.20	n/a	n/a	1,000.00	5.0
AMBER CAPITAL	046	DCOM	B	35,200	14.12	n/a	n/a	1,408.00	4.0
AVESTA CAP	229	DKS	B	50,000	37.69	n/a	18-May	1,500.00	3.0
BMO NESBITT BURNS	041	DKS	B	2,000	36.89	n/a	18-May	200.00	10.0
RAIL-SPLITTER	031	EAT	SS	34,500	24.15	n/a	29-Apr	1,725.00	5.0
CAMBIAR CAP	046	ETN	B	150,000	48.31	n/a	16-Jun	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	FCX	B	2,000	47.39	n/a	n/a	60.00	3.0
ROYCE TRADING	012	FINL	B	6,200	22.30	n/a	21-Jun	310.00	5.0
BNP PARIBAS SEC	040	FL	S	13,500	23.88	n/a	2-Jun	675.00	5.0
HARVEST MGMT	029	FL	B	30,000	23.95	n/a	2-Jun	1,200.00	4.0
HARVEST MGMT	029	FL	S	10,000	24.10	n/a	2-Jun	400.00	4.0
RIDGECREST INV MGMT LLC	028	FL	B	15,000	24.01	n/a	2-Jun	750.00	5.0
RAINIER INV MGMT	035	FMER	B	96,900	15.99	n/a	n/a	3,876.00	4.0
TALPION LLC	040	FUL	C	8,000	22.83	n/a	n/a	320.00	4.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	28.12	n/a	21-Apr	2,500.00	5.0
RIDGECREST INV MGMT LLC	028	HOG	B	5,000	38.00	n/a	n/a	250.00	5.0
AVESTA CAP	229	IP	C	100,000	28.91	n/a	21-Jun	3,000.00	3.0
ARMATURE CAPITAL	041	JCI	B	50,000	39.06	n/a	10-Jun	2,000.00	4.0
ROYCE TRADING	012	KDN	B	3,000	35.63	n/a	n/a	150.00	5.0
SAC TRADING TOM LEDDY	035	KO	B	25,000	65.15	n/a	20-Jun	875.00	3.5
ADALY INV MGMT	031	KSS	B	30,000	51.02	n/a	3-Jun	1,500.00	5.0
BNP PARIBAS SEC	040	LEA	B	10,000	49.93	n/a	2-May	500.00	5.0
TRELLUS PARTNERS LP	028	LEA	B	30,000	50.07	n/a	2-May	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	LMT	SS	5,500	78.92	n/a	2-May	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	MCD	SS	2,000	81.56	n/a	8-Jun	100.00	5.0
ROYCE TRADING	012	MLI	B	17,000	36.02	n/a	27-Apr	850.00	5.0
SONTERRA CAP	041	MMI	SS	30,000	23.49	n/a	n/a	1,200.00	4.0
SENATOR INVESTMENT GROUP	036	MRO	S	25,000	51.30	n/a	n/a	750.00	3.0
SENATOR INVESTMENT GROUP	036	PKG	S	100,000	27.13	n/a	21-Jun	3,000.00	3.0
TUDOR INVESTORS	028	RSG	B	15,000	30.44	n/a	n/a	450.00	3.0
SONTERRA CAP	041	SLE	B	20,000	18.57	n/a	n/a	800.00	4.0
S.A.C. CAP/ORENSTEIN	044	SMH	SS	50,000	33.03	n/a	n/a	1,750.00	3.5
LEVIN CAPITAL STRATEGIES	012	SUG	S	22,500	33.70	n/a	n/a	675.00	3.0
STANDARD PACIFIC CAPITAL	040	TIN	B	100,000	29.85	n/a	21-Jun	5,000.00	5.0
GALT INVESTMENT	041	TLB	S	83,002	3.70	n/a	n/a	2,075.05	2.5
CHESAPEAKE PARTNERS	028	UAL	S	20,000	25.25	n/a	n/a	600.00	3.0
MERRILL ASSET/BLACKROCK	297	WLP	S	58,500	76.42	n/a	n/a	2,340.00	4.0
JP MORGAN VENTURES	046	WRC	S	10,000	50.17	n/a	6-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	XOM	S	67,200	77.32	n/a	n/a	2,688.00	4.0
PZENA INV ADV	044	ZMH	S	3,175	61.55	n/a	n/a	111.15	3.5
<b>TOTAL (Trade Date) :</b>								<b>62,706.56</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/22	DAVIDSON KEMPNER ADVISOR (DAVIDB)	040	DTG	S	5,300	73.69	n/a	n/a	265.00 5.0
CRT	06/23	HARVEST MGMT (HARVGSCO)	029	FL	B	30,000	23.95	n/a	2-Jun	1200.00 4.0
AO,	06/22	BRANDWINE (BWAM4801)	028	SPLS	B	60,100	15.51	n/a	n/a	2404.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,869.00</b>

TOTAL (Trade Date) :	62,706.56
TOTAL (AO, CXL, CRT) :	3,869.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>66,575.56</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