



## Daily Compliance Activity Report

Trade Date: 07/02/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	AEO	S	12,600	20.13	n/a	2-Dec	630.00	5.0
FRONTIER	029	ALTR	B	464,870	33.86	n/a	n/a	18,594.80	4.0
WEINTRAUB CAPITAL MGT.	269	AN	B	50,000	36.38	n/a	26-Apr	2,000.00	4.0
UNITED STATES PENSION	085	BR	S	50,000	21.37	n/a	n/a	2,000.00	4.0
WCG MANAGEMENT	044	CNW	SS	15,000	35.23	n/a	n/a	450.00	3.0
FRONTIER	029	CRK	S	45,520	15.72	n/a	n/a	1,820.80	4.0
SANDLER O'NEILL ASSET	028	C	B	10,500	27.10	n/a	2-Jul	525.00	5.0
VERITION	028	FAST	SS	10,000	39.07	n/a	n/a	300.00	3.0
OZ MGMT	040	F	C	20,054	9.40	n/a	2-Jul	601.62	3.0
OZ MGMT	040	GM	C	69,024	19.47	n/a	2-Jul	2,070.72	3.0
NEUBERGER BERMAN	036	GRC	B	3,300	29.73	n/a	n/a	132.00	4.0
WCG MANAGEMENT	044	GT	S	60,000	11.37	n/a	n/a	1,800.00	3.0
PERRY PARTNERS	085	IPG	SS	20,000	10.93	n/a	n/a	1,000.00	5.0
WCG MANAGEMENT	044	IR	B	12,000	42.19	n/a	20-Jun	360.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CONIFER	025	IVV	B	2,300	136.81	n/a	n/a	92.00	4.0
LOCUST WOOD CAPITAL MGMT	044	JCP	S	50,000	22.95	n/a	2-Jul	2,000.00	4.0
BESSEMER INVESTMENT	085	LNCR	S	4,666	41.33	n/a	n/a	186.64	4.0
COLUMBUS CIRCLE	036	LQDT	B	1,176	46.69	n/a	n/a	47.04	4.0
NEUBERGER BERMAN	036	MANH	B	13,700	45.42	n/a	n/a	548.00	4.0
BRONSON POINT	036	MNST	SS	10,000	73.37	n/a	n/a	300.00	3.0
WCG MANAGEMENT	044	MTW	S	40,000	11.26	n/a	13-Jun	1,200.00	3.0
BRONSON POINT	036	PH	C	5,000	75.81	n/a	13-Jun	150.00	3.0
NEWLAND CAPITAL MGT	025	RKT	S	10,000	54.10	n/a	2-Jul	400.00	4.0
PROSPECTOR PARTNERS LLC	036	SVU	S	10,000	5.22	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	297	UNH	S	384,400	56.93	n/a	n/a	15,376.00	4.0
SCOPUS FUND	041	URBN	S	60,000	27.49	n/a	n/a	2,400.00	4.0
DELTEC ASSET MGMT.	040	URI	B	10,000	34.05	n/a	17-Apr	500.00	5.0
WCG MANAGEMENT	044	VMI	B	2,500	121.77	n/a	n/a	75.00	3.0
WEINTRAUB CAPITAL MGT.	269	WCRX	B	25,000	17.91	n/a	2-Jul	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	XLI	B	30,000	35.29	n/a	n/a	1,200.00	4.0
<b>TOTAL (Trade Date):</b>								<b>58,159.62</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/29	PERRY PARTNERS (PERRGOLDMA)	085	BAC	S	50,000	8.01	n/a	2-Jul	2500.00 5.0
AO,CRT	06/29	PERRY PARTNERS (PERRGOLDMA)	085	BAC	S	50,000	8.01	n/a	2-Jul	1500.00 3.0
AO,CXL	06/29	ROSEDALE CAPITAL (ROSEJPM)	046	F	S	30,000	9.93	n/a	2-Jul	1200.00 4.0
AO,CRT	06/29	ROSEDALE CAPITAL (ROSEJPM)	046	F	S	30,000	9.93	n/a	2-Jul	900.00 3.0

**TOTAL (AO, CXL, CRT) :****-1,300.00**

TOTAL (Trade Date) :

58,159.62

TOTAL (AO, CXL, CRT) :

-1,300.00

**TOTAL (RUN DATE) / NFS:****56,859.62**

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