



# Daily Compliance Activity Report

Trade Date: 06/29/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AGCO	SS	10,000	48.71	n/a	27-Apr	300.00	3.0
CASTLEROCK	040	ALV	B	58,255	77.70	n/a	27-Jun	2,330.20	4.0
RBC CAPITAL MARKETS	040	ALV	B	35,000	78.66	n/a	27-Jun	1,400.00	4.0
MILLENNIUM-ICS BOBBY	044	AXL	SS	10,000	11.58	n/a	25-May	400.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	20,000	11.47	n/a	25-May	1,000.00	5.0
GALT INVESTMENT	041	BJ	S	50,000	50.35	n/a	n/a	2,500.00	5.0
PLATTE RIVER CAPITAL	240	BP	S	51,677	42.95	n/a	n/a	2,067.08	4.0
TUDOR INVESTORS	028	BWA	SS	3,000	79.50	n/a	29-Apr	90.00	3.0
MACQUARIE INVESTMENT MGMT.	040	CAM	S	5,000	48.81	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CAT	B	5,000	103.12	n/a	2-May	250.00	5.0
TUDOR INVESTORS	028	CBE	B	3,000	57.93	n/a	26-Apr	90.00	3.0
AMBER CAPITAL	046	CHTR	S	11,897	54.19	n/a	n/a	475.88	4.0
AMBER CAPITAL	046	CIT	S	10,300	43.89	n/a	17-May	412.00	4.0
BAIRD INVESTMENT	047	CLB	B	1,994	110.78	n/a	26-Apr	99.70	5.0
ASCEND PARTNERS	033	CPB	SS	26,461	34.90	n/a	n/a	793.83	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	C	S	10,000	41.28	n/a	23-Jun	500.00	5.0
AMBER CAPITAL	046	DCOM	B	31,261	14.40	n/a	n/a	1,250.44	4.0
HARRIER HAWK MGMT	028	DELL	B	13,500	15.99	n/a	n/a	540.00	4.0
TUDOR INVESTORS	028	DE	SS	2,000	82.61	n/a	19-May	60.00	3.0
BAIRD INVESTMENT	047	EOG	S	5,239	103.52	n/a	n/a	261.95	5.0
PATTEN & PATTEN	025	EWC	B	250	31.30	n/a	n/a	12.50	5.0
SAC TRADING TOM LEDDY	035	EXPR	S	300	22.00	n/a	n/a	10.50	3.5
ASCEND PARTNERS	033	FDO	SS	19,990	53.44	n/a	23-Jun	599.70	3.0
ROYCE TRADING	012	FINL	B	2,820	21.56	n/a	24-Jun	141.00	5.0
PATTEN & PATTEN	025	FRC	B	200	31.54	n/a	n/a	10.00	5.0
AVESTA CAP	229	F	S	500,000	13.44	n/a	2-Jun	15,000.00	3.0
NEWLAND CAPITAL MGT	025	F	B	100,000	13.50	n/a	2-Jun	4,000.00	4.0
TUDOR INVESTORS	028	F	B	15,000	13.45	n/a	2-Jun	450.00	3.0
PATTEN & PATTEN	025	GLW	S	500	17.60	n/a	20-May	25.00	5.0
PATTEN & PATTEN	025	GM	S	200	30.49	n/a	2-Jun	10.00	5.0
PATTEN & PATTEN	025	HDV	B	300	51.90	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	028	HON	B	85,600	58.53	n/a	3-Jun	4,280.00	5.0
SENATOR INVESTMENT GROUP	036	HUN	B	135,000	18.56	n/a	n/a	4,050.00	3.0
PATTEN & PATTEN	025	IFN	S	200	29.92	n/a	n/a	10.00	5.0
CATAPULT	040	IP	SS	25,000	29.06	n/a	21-Jun	1,000.00	4.0
MILLRACE FUND LP	028	LEA	B	5,000	52.97	n/a	2-May	200.00	4.0
TRELLUS PARTNERS LP	028	LEA	S	10,000	54.20	n/a	2-May	500.00	5.0
KLEINHEINZ CAP PART	031	LOW	SS	50,000	23.37	n/a	13-Jun	2,500.00	5.0
CHESAPEAKE PARTNERS	028	LYV	S	25,000	11.25	n/a	n/a	750.00	3.0
KACELA CAPITAL	034	MGM	S	73,000	12.92	n/a	13-Jun	2,920.00	4.0
ROYCE TRADING	012	MLI	B	3,790	37.55	n/a	27-Apr	189.50	5.0
BAIRD INVESTMENT	047	NBL	B	2,025	90.39	n/a	n/a	101.25	5.0
DELTEC ASSET MGMT.	040	NBR	B	35,000	23.83	n/a	n/a	1,750.00	5.0
CHESAPEAKE PARTNERS	028	NDAQ	S	40,000	24.84	n/a	n/a	1,200.00	3.0
TUDOR INVESTORS	028	NUE	B	8,000	40.47	n/a	n/a	240.00	3.0
PATTEN & PATTEN	025	PCH	B	300	35.49	n/a	3-Jun	15.00	5.0
BARROW HANLEY MEWHINNEY	031	PFE	B	166,500	20.52	n/a	n/a	5,827.50	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PIO	S	500	19.93	n/a	n/a	25.00	5.0
MA CAPITAL MGMT/MELLON ADV041		PKG	B	5,500	27.66	n/a	21-Jun	275.00	5.0
MERRILL ASSET/BLACKROCK	297	RBN	S	1,100	52.13	n/a	n/a	44.00	4.0
PATTEN & PATTEN	025	RSG	B	300	30.86	n/a	n/a	15.00	5.0
BERMAN CAPITAL MGMT	046	SPY	B	40,000	130.14	n/a	n/a	2,000.00	5.0
BERMAN CAPITAL MGMT	046	SPY	S	40,000	130.76	n/a	n/a	1,200.00	3.0
JANA CAPITAL	044	SPY	C	100,000	130.54	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	SPY	S	25	130.68	n/a	n/a	1.25	5.0
ROTHSCHILD ASSET	040	SSS	B	2,800	40.63	n/a	n/a	112.00	4.0
PATTEN & PATTEN	025	SUB	B	125	106.11	n/a	n/a	6.25	5.0
SONTERRA CAP	041	SUG	S	100,000	40.31	n/a	n/a	4,000.00	4.0
BURL CAPITAL LLC	029	SYF	B	40,000	31.04	n/a	n/a	1,600.00	4.0
AMBER CAPITAL	046	S	B	65,620	5.29	n/a	n/a	1,968.60	3.0
LATEFF MGMT	035	TCB	B	1,500	14.22	n/a	n/a	150.00	10.0
BAIRD INVESTMENT	047	TDW	B	5,175	53.69	n/a	n/a	258.75	5.0
JP MORGAN VENTURES	046	TIF	B	13,000	78.31	n/a	n/a	520.00	4.0
RBC CAPITAL MARKETS	040	TIN	B	50,000	29.88	n/a	21-Jun	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER CAPITAL	028	TKR	B	90,000	48.87	n/a	n/a	4,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	TS	B	5,500	45.66	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	TWC	B	3,378	77.62	n/a	n/a	135.12	4.0
TUDOR INVESTORS	028	UAL	B	5,000	22.95	n/a	n/a	150.00	3.0
SCHOTTENFELD ASSOC	041	UFS	B	300	93.11	n/a	n/a	9.00	3.0
MERRILL ASSET/BLACKROCK	297	URBN	S	13,500	28.42	n/a	n/a	540.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	B	22,000	36.01	n/a	n/a	660.00	3.0
AMBER CAPITAL	046	VZ	B	3,108	36.72	n/a	n/a	124.32	4.0
STRONG/WELLS CAP ANN F	047	V	B	34,751	86.23	n/a	8-Jun	1,390.04	4.0
PEAK INV LLC	084	WFCWS	S	10,000	9.36	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	WFC	S	250	27.94	n/a	16-Jun	12.50	5.0
PATTEN & PATTEN	025	XLK	S	400	25.26	n/a	n/a	20.00	5.0
TUDOR INVESTORS	028	X	S	5,000	46.10	n/a	n/a	150.00	3.0
PERRY PARTNERS	085	YHOO	B	50,000	14.84	n/a	n/a	2,500.00	5.0

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**TOTAL (Trade Date):**

**89,394.86**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/28	OZ MGMT (OZFFMS)	040	ALV	B	550	76.98	n/a	27-Jun	16.50 3.0
AO,	06/28	OZ MGMT (OZFFMS)	040	ALV	B	550	76.75	n/a	27-Jun	16.50 3.0
AO,CXL	06/28	OZ MGMT (OZFFJPMBS)	040	ALV	B	993	76.98	n/a	27-Jun	29.79 3.0
AO,CXL	06/28	OZ MGMT (OZFFJPMBS)	040	ALV	B	23,887	76.98	n/a	27-Jun	716.61 3.0
AO,	06/28	OZ MGMT (OZFFJPMBS)	040	ALV	B	23,887	76.75	n/a	27-Jun	716.61 3.0
AO,	06/28	OZ MGMT (OZFFJPMBS)	040	ALV	B	993	76.75	n/a	27-Jun	29.79 3.0
AO,CXL	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	690	76.98	n/a	27-Jun	20.70 3.0
AO,CXL	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	919	76.98	n/a	27-Jun	27.57 3.0
AO,CXL	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	334	76.98	n/a	27-Jun	10.02 3.0
AO,CXL	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	627	76.98	n/a	27-Jun	18.81 3.0
AO,	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	627	76.75	n/a	27-Jun	18.81 3.0
AO,	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	334	76.75	n/a	27-Jun	10.02 3.0
AO,	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	919	76.75	n/a	27-Jun	27.57 3.0
AO,	06/28	OZ MGMT (OZFFCSFB)	040	ALV	B	690	76.75	n/a	27-Jun	20.70 3.0
AO,CXL	06/28	OZ MGMT (OZFFMS)	040	ALV	C	1,101	76.75	n/a	27-Jun	33.03 3.0
AO,	06/28	OZ MGMT (OZFFMS)	040	ALV	C	1,101	76.86	n/a	27-Jun	33.03 3.0
AO,CXL	06/28	OZ MGMT (OZFFGS)	040	ALV	C	1,383	76.75	n/a	27-Jun	41.49 3.0
AO,CXL	06/28	OZ MGMT (OZFFGS)	040	ALV	C	1,987	76.75	n/a	27-Jun	59.61 3.0
AO,CXL	06/28	OZ MGMT (OZFFGS)	040	ALV	C	26,062	76.75	n/a	27-Jun	781.86 3.0
AO,	06/28	OZ MGMT (OZFFGS)	040	ALV	C	26,062	76.86	n/a	27-Jun	781.86 3.0
AO,	06/28	OZ MGMT (OZFFGS)	040	ALV	C	1,987	76.86	n/a	27-Jun	59.61 3.0
AO,	06/28	OZ MGMT (OZFFGS)	040	ALV	C	1,383	76.86	n/a	27-Jun	41.49 3.0
AO,CXL	06/28	OZ MGMT (OZFFCITISB)	040	ALV	C	21,750	76.75	n/a	27-Jun	652.50 3.0
AO,	06/28	OZ MGMT (OZFFCITISB)	040	ALV	C	21,750	76.86	n/a	27-Jun	652.50 3.0
AO,CXL	06/28	OZ MGMT (OZFFCSFB)	040	ALV	C	1,840	76.75	n/a	27-Jun	55.20 3.0
AO,CXL	06/28	OZ MGMT (OZFFCSFB)	040	ALV	C	669	76.75	n/a	27-Jun	20.07 3.0
AO,CXL	06/28	OZ MGMT (OZFFCSFB)	040	ALV	C	1,253	76.75	n/a	27-Jun	37.59 3.0
AO,	06/28	OZ MGMT (OZFFCSFB)	040	ALV	C	1,253	76.86	n/a	27-Jun	37.59 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/28	OZ MGMT (OZFFCSFB)	040	ALV	C	669	76.86	n/a	27-Jun	20.07 3.0
AO,	06/28	OZ MGMT (OZFFCSFB)	040	ALV	C	1,840	76.86	n/a	27-Jun	55.20 3.0
AO,	06/28	MILLRACE FUND LP (MILRIE3Y)	028	LEA	B	816	51.30	n/a	2-May	32.64 4.0
AO,	06/28	MILLRACE FUND LP (MILRIE2Y)	028	LEA	B	125	51.30	n/a	2-May	5.00 4.0
AO,CXL	06/28	MILLRACE FUND LP (MILRGS7RVE)	028	LEA	B	12,800	51.30	n/a	2-May	512.00 4.0
AO,CRT	06/28	MILLRACE FUND LP (MILRGS7RVE)	028	LEA	B	11,859	51.30	n/a	2-May	474.36 4.0
AO,	06/28	HUNTER GLOBAL INVESTOR (HUNTMS P)	028	M	B	100,000	28.67	n/a	3-Jun	5000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,000.00</b>
TOTAL (Trade Date) :										89,394.86
TOTAL (AO, CXL, CRT) :										5,000.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>94,394.86</b>



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