

## **Daily Compliance Activity Report** Trade Date: 06/17/2010

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

\$4					101		MALLIOI	TRIDE VIO	LITTONS:
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
SOROS	036	ALJ	SS	2,879	6.74	n/a	n/a	86.37	3.0
ROYCE TRADING	012	ARM	S	5,000	15.51	n/a	n/a	250.00	5.0
LAGRANGE CAP ADV	048	AXL	В	30,000	9.19	n/a	3-May	1,500.00	5.0
SLS CAPITAL LLC	224	AXL	В	53,500	9.30	n/a	3-May	1,605.00	3.0
BUCK CAPITAL MGMT	001	BAC	S	11,900	15.88	n/a	15-Jun	476.00	4.0
HUNTER GLOBAL INVESTOR	067	BBBY	S	116,400	43.45	n/a	n/a	4,656.00	4.0
PILOT ADV	242	BEN	SS	8,500	92.57	n/a	2-Mar	340.00	4.0
BUCK CAPITAL MGMT	001	ВЈ	SS	10,000	39.93	n/a	n/a	400.00	4.0
ROYCE TRADING	012	BWS	S	5,000	17.70	n/a	n/a	250.00	5.0
COOPER CREEK PART	028	CCL	В	10,000	36.14	n/a	n/a	400.00	4.0
CATAPULT	040	CMA	В	5,000	38.02	n/a	n/a	250.00	5.0
THE JAY GOLDMAN	028	COST	В	15,000	58.57	n/a	n/a	600.00	4.0
THE JAY GOLDMAN	028	COST	SS	10,000	58.21	n/a	n/a	400.00	4.0
ROYCE TRADING	012	CR	S	5,000	33.85	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	CTSH	S	20,000	53.92	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
ROYCE TRADING	012	CTS	S	5,500	10.49	n/a	n/a	275.00	5.0
PILOT ADV	242	CYN	SS	8,000	56.50	n/a	n/a	320.00	4.0
SIGMA CAP BOBBY	044	DAN	S	100,000	11.32	n/a	30-Apr	3,500.00	3.5
PROSPECTOR PARTNERS LLC	036	FAF	В	10,000	13.39	n/a	n/a	400.00	4.0
ROYCE TRADING	012	FOE	S	5,000	8.49	n/a	n/a	250.00	5.0
ROYCE TRADING	012	FUL	S	500	21.96	n/a	n/a	25.00	5.0
RBC CAPITAL MARKETS	040	F	SS	50,000	11.44	n/a	3-Jun	2,000.00	4.0
EXIS CAPITAL	044	GDX	В	10,000	52.93	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	GES	В	25,000	34.29	n/a	28-May	1,250.00	5.0
ROYCE TRADING	012	GFF	S	5,000	12.05	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GIL	S	50,000	31.76	n/a	14-May	2,000.00	4.0
ROYCE TRADING	012	GPI	S	5,000	28.38	n/a	28-Apr	250.00	5.0
PILOT ADV	242	HD	SS	9,500	31.50	n/a	19-May	380.00	4.0
THE JAY GOLDMAN	028	НОТ	S	5,000	48.87	n/a	n/a	200.00	4.0
ROYCE TRADING	012	HYC	S	500	4.78	n/a	n/a	15.00	3.0
	ROYCE TRADING  PILOT ADV  SIGMA CAP BOBBY  PROSPECTOR PARTNERS LLC  ROYCE TRADING  ROYCE TRADING  RBC CAPITAL MARKETS  EXIS CAPITAL  EXIS CAPITAL  ROYCE TRADING  BUCK CAPITAL MGMT  ROYCE TRADING  PILOT ADV  THE JAY GOLDMAN	ROYCE TRADING 012  PILOT ADV 242  SIGMA CAP BOBBY 044  PROSPECTOR PARTNERS LLC 036  ROYCE TRADING 012  ROYCE TRADING 012  RBC CAPITAL MARKETS 040  EXIS CAPITAL 044  ROYCE TRADING 012  BUCK CAPITAL MGMT 001  ROYCE TRADING 012  PILOT ADV 242  THE JAY GOLDMAN 028	ROYCE TRADING 012 CTS  PILOT ADV 242 CYN  SIGMA CAP BOBBY 044 DAN  PROSPECTOR PARTNERS LLC 036 FAF  ROYCE TRADING 012 FOE  ROYCE TRADING 012 FUL  RBC CAPITAL MARKETS 040 F  EXIS CAPITAL 044 GDX  EXIS CAPITAL 044 GES  ROYCE TRADING 012 GFF  BUCK CAPITAL MGMT 001 GIL  ROYCE TRADING 012 GPI  PILOT ADV 242 HD  THE JAY GOLDMAN 028 HOT	ROYCE TRADING  PILOT ADV  242  CYN  SS  SIGMA CAP BOBBY  044  DAN  S  PROSPECTOR PARTNERS LLC  036  FAF  B  ROYCE TRADING  012  FOE  S  ROYCE TRADING  012  FUL  S  REC CAPITAL MARKETS  040  F  SS  EXIS CAPITAL  044  GDX  B  ROYCE TRADING  012  GIL  S  BUCK CAPITAL MGMT  011  GIL  S  PILOT ADV  242  HD  SS  THE JAY GOLDMAN  028  HOT  S  S  S  S  S  S  S  S  S  S  S  S  S	ROYCE TRADING         012         CTS         S         5,500           PILOT ADV         242         CYN         SS         8,000           SIGMA CAP BOBBY         044         DAN         S         100,000           PROSPECTOR PARTNERS LLC         036         FAF         B         10,000           ROYCE TRADING         012         FOE         S         5,000           ROYCE TRADING         012         FUL         S         50,000           EXIS CAPITAL         044         GDX         B         10,000           EXIS CAPITAL         044         GES         B         25,000           ROYCE TRADING         012         GFF         S         5,000           BUCK CAPITAL MGMT         001         GIL         S         50,000           PILOT ADV         242         HD         SS         9,500           THE JAY GOLDMAN         028         HOT         S         5,000	ROYCE TRADING 012 CTS S 5,500 10.49  PILOT ADV 242 CYN SS 8,000 56.50  SIGMA CAP BOBBY 044 DAN S 100,000 11.32  PROSPECTOR PARTNERS LLC 036 FAF B 10,000 13.39  ROYCE TRADING 012 FOE S 5,000 8.49  ROYCE TRADING 012 FUL S 500 21.96  RBC CAPITAL MARKETS 040 F SS 50,000 11.44  EXIS CAPITAL 044 GDX B 10,000 52.93  EXIS CAPITAL 044 GES B 25,000 34.29  ROYCE TRADING 012 GFF S 5,000 12.05  BUCK CAPITAL MGMT 001 GIL S 50,000 31.76  ROYCE TRADING 012 GPI S 5,000 28.38  PILOT ADV 242 HD SS 9,500 31.50  THE JAY GOLDMAN 028 HOT S 5,000 48.87	ROYCE TRADING 012 CTS S 5,500 10.49 n/a  PILOT ADV 242 CYN SS 8,000 56.50 n/a  SIGMA CAP BOBBY 044 DAN S 100,000 11.32 n/a  PROSPECTOR PARTNERS LLC 036 FAF B 10,000 13.39 n/a  ROYCE TRADING 012 FOE S 5,000 8.49 n/a  ROYCE TRADING 012 FUL S 500 21.96 n/a  REC CAPITAL MARKETS 040 F SS 50,000 11.44 n/a  EXIS CAPITAL 044 GDX B 10,000 52.93 n/a  EXIS CAPITAL 044 GES B 25,000 34.29 n/a  ROYCE TRADING 012 GFF S 5,000 12.05 n/a  BUCK CAPITAL MGMT 001 GIL S 50,000 31.76 n/a  ROYCE TRADING 012 GPI S 5,000 28.38 n/a  PILOT ADV 242 HD SS 9,500 31.50 n/a  THE JAY GOLDMAN 028 HOT S 5,000 48.87 n/a	ROYCE TRADING 012 CTS S 5,500 10.49 n/a n/a PILOT ADV 242 CYN SS 8,000 56.50 n/a n/a SIGMA CAP BOBBY 044 DAN S 100,000 11.32 n/a 30-Apr PROSPECTOR PARTNERS LLC 036 FAF B 10,000 13.39 n/a n/a ROYCE TRADING 012 FOE S 5,000 8.49 n/a n/a ROYCE TRADING 012 FUL S 500 21.96 n/a n/a REC CAPITAL MARKETS 040 F SS 50,000 11.44 n/a 3-Jun EXIS CAPITAL 044 GDX B 10,000 52.93 n/a n/a EXIS CAPITAL 044 GES B 25,000 34.29 n/a 28-May ROYCE TRADING 012 GFF S 5,000 12.05 n/a n/a BUCK CAPITAL MGMT 001 GIL S 50,000 31.76 n/a 14-May ROYCE TRADING 012 GPI S 5,000 28.38 n/a 28-Apr PILOT ADV 242 HD SS 9,500 31.50 n/a 19-May THE JAY GOLDMAN 028 HOT S 5,000 48.87 n/a n/a	ROYCE TRADING 012 CTS S 5,500 10.49 n/a n/a 275.00  PILOT ADV 242 CYN SS 8,000 56.50 n/a n/a 320.00  SIGMA CAP BOBBY 044 DAN S 100,000 11.32 n/a 30-Apr 3,500.00  PROSPECTOR PARINERS LLC 036 FAF B 10,000 13.39 n/a n/a 400.00  ROYCE TRADING 012 FOE S 5,000 8.49 n/a n/a 250.00  ROYCE TRADING 012 FUL S 500 21.96 n/a n/a 250.00  REC CAPITAL MARKETS 040 F SS 50,000 11.44 n/a 3-Jun 2,000.00  EXIS CAPITAL 044 GES B 10,000 52.93 n/a n/a n/a 500.00  EXIS CAPITAL 044 GES B 25,000 34.29 n/a 28-May 1,250.00  ROYCE TRADING 012 GFF S 5,000 12.05 n/a n/a 250.00  BUCK CAPITAL MGMT 001 GIL S 50,000 31.76 n/a 14-May 2,000.00  ROYCE TRADING 012 GPI S 5,000 28.38 n/a 28-Apr 250.00  PILOT ADV 242 HD SS 9,500 31.50 n/a 19-May 380.00  THE JAY GOLDMAN 028 HOT S 5,000 48.87 n/a n/a 200.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
BUCK CAPITAL MGMT	001	JNY	В	10,000	19.55	n/a	14-May	400.00	4.0
BUCK CAPITAL MGMT	001	KMX	SS	30,000	20.87	n/a	n/a	1,200.00	4.0
THE JAY GOLDMAN	028	KSS	В	10,000	52.32	n/a	4-Jun	400.00	4.0
PILOT ADV	242	LOW	SS	13,000	22.52	n/a	17-May	520.00	4.0
FIRST NEW YORK LEDDY	035	LVLT	S	25,000	1.25	n/a	n/a	1,000.00	4.0
THE JAY GOLDMAN	028	LVS	SS	10,000	26.53	n/a	15-Jun	400.00	4.0
EXIS CAPITAL	044	М	В	10,000	21.44	n/a	4-Jun	500.00	5.0
MTB INV ADV	034	NFLX	S	3,325	125.62	n/a	n/a	166.25	5.0
CIRCLE T/SES PART	035	PAG	S	25,000	12.90	n/a	3-Мау	1,000.00	4.0
CAVU CAP ADV	028	PIR	S	85,000	8.10	n/a	n/a	4,250.00	5.0
SONTERRA CAP	041	RIG	S	65,000	49.02	n/a	n/a	2,600.00	4.0
CASTLEROCK	040	RRD	SS	77,786	17.97	n/a	n/a	3,111.44	4.0
WHITE PINE CAPITAL	030	RTIX	В	66 <b>,</b> 975	3.24	n/a	n/a	2,009.25	3.0
CATAPULT	040	SCHW	S	25,000	15.32	n/a	n/a	1,000.00	4.0
SOROS	036	SGY	S	2,500	14.50	n/a	n/a	100.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BUCK CAPITAL MGMT	001	SKS	SS	50,000	9.01	n/a	n/a	2,000.00	4.0
ROYCE TRADING	012	SOA	S	12,500	15.37	n/a	n/a	625.00	5.0
SENATOR INVESTMENT GROUP	036	SUN	SS	100,000	34.39	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	SWY	SS	20,000	21.58	n/a	n/a	800.00	4.0
COUGAR TRADING	044	TM	В	5,000	72.75	n/a	n/a	250.00	5.0
MTB INV ADV	034	TPX	S	7,250	34.99	n/a	n/a	362.50	5.0
EXIS CAPITAL	044	UA	В	10,000	37.19	n/a	28-Apr	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WMT	В	25,000	51.21	n/a	19-May	875.00	3.5
BROADARCH CAP/OLD NEWC	070	WYNN	В	3,500	85.60	n/a	15-Jun	140.00	4.0
COBALT	041	X	SS	50,000	45.07	n/a	n/a	2,500.00	5.0

## Cancel/Corrects and As-Of Trades

Type	Date	Account		Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	¢/Shr.
AO,CXL	06/16	GREEN ARROW DOUG (GADRMLICS)	040	AA	В	50,000	11.47	n/a	n/a	2500.00	5.0
AO, CRT	06/16	MILLENIUM PARTNERS (MILPMLICS)	028	AA	В	50,000	11.47	n/a	n/a	2000.00	4.0
CRT	06/17	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	BBBY	S	61,403	43.45	n/a	n/a	2456.12	4.0
CRT	06/17	COOPER CREEK PART (COOPJPM)	028	CCL	В	688	36.14	n/a	n/a	27.52	4.0
CRT	06/17	COOPER CREEK PART (COOPGS)	028	CCL	В	9,312	36.14	n/a	n/a	372.48	4.0
CRT	06/17	THE JAY GOLDMAN (GOLDGSBULK)	028	COST	В	15,000	58.57	n/a	n/a	600.00	4.0
AO,CXL	06/16	SONTERRA CAP (SONTMSBULK)	041	PDS	В	54,615	7.67	n/a	n/a	2184.60	4.0
AO,CRT	06/16	SONTERRA CAP (SONTMSBULK)	041	PDS	В	54,615	7.67	n/a	n/a	1638.45	3.0
TOTAL	(AO, (	CXL, CRT):							2,	409.97	

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	53,787.81 2,409.97
TOTAL (RUN DATE) / NFS:	56,197.78

## Legend:

O: 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