



Daily Compliance Activity Report

Trade Date: 06/29/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	AGCO	B	10,000	45.59	n/a	13-Jun	400.00	4.0
LONG OAR GLOBAL INV	040	AKS	SS	108,582	6.06	n/a	n/a	2,171.64	2.0
WOOSTER CAPITAL	035	ALV	S	25,000	54.17	n/a	20-Jun	1,250.00	5.0
PERRY PARTNERS	085	BAC	S	50,000	8.01	n/a	20-Jun	2,500.00	5.0
FORTRESS INVESTMENT (US)	036	BA	B	10,000	74.14	n/a	29-Jun	400.00	4.0
SENATOR INVESTMENT GROUP	036	BA	B	14,555	73.41	n/a	29-Jun	436.65	3.0
PHILADELPHIA FINANCIAL	033	CAR	SS	49,264	15.09	n/a	n/a	1,970.56	4.0
LATEEF MGMT	035	CSCO	S	225	17.06	n/a	n/a	31.50	14.0
PIONEER OAKRIDGE	031	CXO	S	11,300	82.85	n/a	n/a	339.00	3.0
PERSHING SQUARE	029	C	S	500,000	27.22	n/a	20-Jun	20,000.00	4.0
THE JAY GOLDMAN	028	DAN	B	20,000	12.78	n/a	26-Apr	800.00	4.0
THE JAY GOLDMAN	028	DAN	SS	20,000	12.63	n/a	26-Apr	800.00	4.0
NORTHWESTERN MUTUAL LIFE	047	DLTR	S	49,200	53.40	n/a	22-Jun	1,968.00	4.0
RBC CAPITAL MARKETS	040	DNKN	B	10,000	34.03	n/a	n/a	400.00	4.0
LISTED ERR	099	DNKN	B	500	34.00	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	EWG	S	5,000	19.75	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	EWQ	S	5,000	19.54	n/a	n/a	200.00	4.0
OZ MGMT	040	F	B	400,000	9.73	n/a	29-Jun	12,000.00	3.0
ROSEDALE CAPITAL	046	F	S	30,000	9.93	n/a	29-Jun	1,200.00	4.0
FIRST NY SEC/CHRIS	041	GE	SS	25,000	20.62	n/a	n/a	1,250.00	5.0
LATEEF MGMT	035	GE	S	250	20.75	n/a	n/a	35.00	14.0
BALYASNY ASSET MGMT	044	GM	S	44,800	19.70	n/a	7-Jun	2,240.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	20,000	19.56	n/a	7-Jun	600.00	3.0
OZ MGMT	040	GM	S	75,000	19.43	n/a	7-Jun	2,250.00	3.0
KINGDON ASSET MGMT	041	IP	B	100,000	28.87	n/a	27-Apr	4,000.00	4.0
KINGDON ASSET MGMT	041	JWN	B	20,000	48.84	n/a	28-Jun	800.00	4.0
KINGDON ASSET MGMT	041	KFT	S	100,000	38.03	n/a	n/a	4,000.00	4.0
MERRILL ASSET/BLACKROCK	297	LAZ	S	61,300	25.66	n/a	20-Jun	2,452.00	4.0
MARCATO CAPITAL MGMT.	029	LEA	B	100,000	37.71	n/a	4-May	3,000.00	3.0
WOOSTER CAPITAL	035	LEA	B	25,000	37.55	n/a	4-May	1,250.00	5.0
ACK ASSET	028	LULU	SS	26,000	59.31	n/a	7-Jun	780.00	3.0
SCOPUS FUND	041	MGA	B	12,600	39.39	n/a	n/a	504.00	4.0
ROYCE TRADING	031	MLI	S	4,500	42.13	n/a	14-Jun	225.00	5.0
FIRST NY SEC/CHRIS	041	M	SS	10,000	33.91	n/a	28-Jun	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	M	SS	100,000	34.24	n/a	28-Jun	4,000.00	4.0
LISTED ERR	099	M	B	500	33.95	n/a	28-Jun	0.00	0.0
LISTED ERR	099	M	SS	500	34.06	n/a	28-Jun	0.00	0.0
RAINIER INV MGMT	035	ORLY	B	13,470	83.05	n/a	n/a	538.80	4.0
CONIFER	084	PAG	S	34,000	21.26	n/a	26-Apr	1,700.00	5.0
TRELLUS PARTNERS LP	028	PAG	B	5,000	21.33	n/a	26-Apr	150.00	3.0
FORTRESS INVESTMENT (US)	036	PCP	B	5,000	165.10	n/a	18-May	200.00	4.0
METROPOLITAN CAPITAL	044	PLCE	S	8,000	49.21	n/a	5-Jun	400.00	5.0
WAGONHOUND/NICOLAS	033	ROST	B	389	61.98	n/a	28-Jun	15.56	4.0
PALESTRA	040	SIRI	B	93,000	1.84	n/a	n/a	2,790.00	3.0
RIDGECREST INV MGMT LLC	028	SSO	S	5,000	54.18	n/a	n/a	200.00	4.0
LATEEF MGMT	035	SYX	S	350	29.74	n/a	n/a	35.00	10.0
THE JAY GOLDMAN	028	TEN	B	10,000	26.79	n/a	n/a	400.00	4.0
THE JAY GOLDMAN	028	TEN	SS	10,000	26.35	n/a	n/a	400.00	4.0
THE JAY GOLDMAN	028	TWI	S	12,409	24.40	n/a	n/a	496.36	4.0
RIDGECREST INV MGMT LLC	028	UWM	S	5,000	40.11	n/a	n/a	200.00	4.0
NEWLAND CAPITAL MGT	025	WY	S	25,400	22.30	n/a	4-May	1,016.00	4.0

TOTAL (Trade Date):

83,495.07

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/27	MACELLUM CAPITAL (MACEMS)	086	ARO	S	2,690	16.10	n/a	n/a	80.70 3.0
AO,CRT	06/27	MACELLUM CAPITAL (MACEBTIG)	086	ARO	S	2,690	16.10	n/a	n/a	80.70 3.0
CRT	06/29	THE JAY GOLDMAN (GOLDGSBULK)	028	TWI	S	12,409	24.40	n/a	n/a	496.36 4.0

TOTAL (AO, CXL, CRT) :**496.36**

TOTAL (Trade Date) :**83,495.07****TOTAL (AO, CXL, CRT) :****496.36**

TOTAL (RUN DATE) / NFS:**83,991.43**

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