



Daily Compliance Activity Report

Trade Date: 06/21/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	ABG	B	3,100	23.63	n/a	27-Apr	155.00	5.0
SENATOR INVESTMENT GROUP	036	BA	B	15,000	72.49	n/a	20-Jun	450.00	3.0
SANDLER CAPITAL	028	BBBY	S	72,500	63.84	n/a	n/a	2,900.00	4.0
PEAK INV LLC	040	CBT	B	127,341	36.35	n/a	21-Jun	4,928.64	3.9
WEISS PECK - ROBECO INV		040	CBT	B	41,190	36.35	n/a	21-Jun	1,647.60 4.0
PORTER-ORLIN	044	CHU	SS	3,800	12.87	n/a	n/a	152.00	4.0
RBC CAPITAL MARKETS	040	CLX	B	5,000	71.67	n/a	23-May	200.00	4.0
RBC CAPITAL MARKETS	040	COH	SS	12,000	60.10	n/a	9-May	480.00	4.0
FRONTIER	029	DNDN	B	47,740	7.76	n/a	n/a	1,432.20	3.0
THE JAY GOLDMAN	028	DOV	B	20,000	55.09	n/a	n/a	800.00	4.0
THE JAY GOLDMAN	028	DOV	SS	20,000	56.01	n/a	n/a	800.00	4.0
FRONTIER	029	DRQ	S	28,470	62.66	n/a	n/a	1,138.80	4.0
RBC CAPITAL MARKETS	040	EL	B	5,000	55.73	n/a	11-Jun	200.00	4.0
THE JAY GOLDMAN	028	EMR	B	25,000	46.80	n/a	n/a	1,000.00	4.0
CATAPULT/KGLT	040	ESV	B	25,000	43.70	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DC CAPITAL	044	ETN	B	50,000	37.76	n/a	14-Jun	2,000.00	4.0
CHANNING CAPITAL	031	FBHS	B	27,940	20.91	n/a	n/a	1,117.60	4.0
ROSEDALE CAPITAL	046	F	B	20,000	10.31	n/a	4-Jun	800.00	4.0
RBC CAPITAL MARKETS	040	GNC	B	5,000	36.87	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	HST	S	10,000	15.64	n/a	13-Jun	400.00	4.0
MILLRACE FUND LP	028	INAP	B	10,000	6.50	n/a	n/a	300.00	3.0
THE JAY GOLDMAN	028	ITW	S	24,500	54.10	n/a	13-Jun	980.00	4.0
TUDOR INVESTORS	028	JOY	B	5,000	56.33	n/a	13-Jun	150.00	3.0
RBC CAPITAL MARKETS	040	KMB	B	5,000	81.28	n/a	23-Apr	200.00	4.0
MELLON/BANK OF NEW YORK	046	KMT	B	144,000	31.91	n/a	13-Jun	5,760.00	4.0
SCOPUS FUND	041	M	SS	25,000	35.93	n/a	1-Jun	1,000.00	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	2.42	n/a	n/a	1,200.00	6.0
PROSPECTOR PARTNERS LLC	036	OSG	S	10,000	10.30	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	OTEX	SS	10,000	48.85	n/a	n/a	400.00	4.0
BASIX	033	PVH	B	14,600	79.32	n/a	25-May	438.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	PVH	B	3,000	79.85	n/a	25-May	150.00	5.0
PIONEER OAKRIDGE	031	SBH	B	65,600	27.63	n/a	n/a	1,968.00	3.0
PROSPECTOR PARTNERS LLC	036	SLE	S	10,000	19.23	n/a	n/a	400.00	4.0
PORTER-ORLIN	044	WLP	SS	100,000	70.30	n/a	n/a	4,000.00	4.0
TOTAL (Trade Date):								39,147.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									39,147.84
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									39,147.84
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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