



## Daily Compliance Activity Report

Trade Date: 06/17/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	ACN	S	900	54.39	n/a	n/a	36.00	4.0
HARRIER HAWK MGMT	028	AHL	B	24,000	25.68	n/a	n/a	960.00	4.0
BALLAST CAP	040	AH	SS	5,500	23.11	n/a	n/a	275.00	5.0
SUN AMERICA ASSET MGMT	030	ARUN	B	900	23.95	n/a	n/a	36.00	4.0
MERRILL ASSET/BLACKROCK	297	BAC	S	330,600	10.59	n/a	16-Jun	13,224.00	4.0
JMP ASSET MGMT	210	BODY	B	500	20.25	n/a	n/a	25.00	5.0
BALLAST CAP	040	CHRW	B	4,500	76.94	n/a	n/a	225.00	5.0
BALLAST CAP	040	CHS	B	9,400	14.39	n/a	5-Feb	470.00	5.0
TALPION LLC	040	COST	B	10,000	79.86	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	CSCO	S	20,100	14.96	n/a	n/a	804.00	4.0
SUN AMERICA ASSET MGMT	030	CTSH	B	700	66.56	n/a	n/a	28.00	4.0
PATTEN & PATTEN	025	DVY	S	2,310	52.00	n/a	n/a	115.50	5.0
SUN AMERICA ASSET MGMT	030	EBAY	B	1,800	28.86	n/a	n/a	72.00	4.0
HUNTER GLOBAL INVESTOR	028	ETN	B	52,500	47.20	n/a	16-Jun	2,625.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	FN	S	69,298	18.99	n/a	n/a	2,771.92	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>FN</b>	<b>B</b>	<b>1,000</b>	<b>19.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>FN</b>	<b>S</b>	<b>1,000</b>	<b>18.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	HDV	B	2,345	51.76	n/a	n/a	117.25	5.0
THE JAY GOLDMAN	028	HOT	B	5,000	52.23	n/a	13-Jun	200.00	4.0
M&I FUNDS	047	HXL	B	56,950	19.95	n/a	27-Apr	2,278.00	4.0
TOCQUEVILLE	035	INSU	B	81,800	19.26	n/a	n/a	4,090.00	5.0
HOPLITE MGMT	025	INTC	C	166,000	21.25	n/a	n/a	6,640.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	26.58	n/a	28-Apr	1,250.00	5.0
WOOSTER CAPITAL	035	IP	S	50,000	26.91	n/a	28-Apr	2,500.00	5.0
ENTRUST CAPITAL	040	IR	B	18,700	44.28	n/a	19-May	935.00	5.0
WEISS PECK	040	JBLU	S	35,000	5.92	n/a	n/a	1,400.00	4.0
SANDLER CAPITAL	028	JCI	C	60,000	37.18	n/a	10-Jun	3,000.00	5.0
RAINIER INV MGMT	035	KEG	B	96,580	16.29	n/a	16-Jun	3,863.20	4.0
WEISS PECK	040	MBND	S	41,400	3.38	n/a	n/a	1,242.00	3.0
TALPION LLC	040	MJN	B	5,000	64.98	n/a	n/a	200.00	4.0
ROYCE TRADING	012	MLI	B	6,900	35.75	n/a	27-Apr	345.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	MWV	S	24,900	31.36	n/a	27-Apr	996.00	4.0
RIDGECREST INV MGMT LLC	028	M	S	5,000	27.17	n/a	3-Jun	250.00	5.0
SUN AMERICA ASSET MGMT	030	NTAP	B	400	50.45	n/a	n/a	16.00	4.0
SUN AMERICA ASSET MGMT	030	PAY	B	1,200	40.07	n/a	n/a	48.00	4.0
BALLAST CAP	040	PCAR	B	5,700	47.06	n/a	20-Apr	285.00	5.0
TALPION LLC	040	RCII	S	5,000	28.83	n/a	n/a	200.00	4.0
TALPION LLC	040	RL	B	5,000	124.13	n/a	26-May	200.00	4.0
JMP ASSET MGMT	210	SONE	B	10,000	7.36	n/a	n/a	400.00	4.0
BERMAN CAPITAL MGMT	046	SPY	B	30,000	127.21	n/a	n/a	1,500.00	5.0
TALPION LLC	040	SWKS	C	10,000	23.35	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	40,000	27.51	n/a	7-Jun	2,000.00	5.0
LIONEYE CAPITAL	040	TIN	B	10,000	27.96	n/a	7-Jun	500.00	5.0
TALPION LLC	040	TUP	B	5,000	62.62	n/a	n/a	200.00	4.0
SUN AMERICA ASSET MGMT	030	V	S	1,000	75.23	n/a	8-Jun	40.00	4.0
PEAK INV LLC	084	WFCWS	S	1,100	9.30	n/a	n/a	44.00	4.0
CAERUS GLOBAL	041	WRC	S	10,000	50.75	n/a	6-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RIDGECREST INV MGMT LLC	028	WSH	S	5,000	40.11	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WSM	S	61,000	34.86	n/a	n/a	1,830.00	3.0
BALLAST CAP	040	XIDE	S	70,500	6.82	n/a	n/a	1,410.00	2.0
RIDGECREST INV MGMT LLC	028	XLB	SS	10,000	36.61	n/a	n/a	500.00	5.0
RIDGECREST INV MGMT LLC	028	XME	SS	5,000	62.69	n/a	n/a	250.00	5.0
S.A.C. CAP/ORENSTEIN	044	XOM	B	100,000	79.17	n/a	n/a	3,500.00	3.5
<b>TOTAL (Trade Date) :</b>								<b>65,346.87</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/16	STRONG/WELLS CAP ANN F (SCHTST1292)	047	AMT	B	466	50.21	n/a	n/a	9.32 2.0
AO,	06/16	STRONG/WELLS CAP ANN F (SCHTST2050)	047	AMT	B	31,056	50.21	n/a	n/a	621.12 2.0
AO,	06/16	STRONG/WELLS CAP ANN F (SCHTST2385)	047	AMT	B	9,782	50.21	n/a	n/a	195.64 2.0
AO,	06/16	STRONG/WELLS CAP ANN F (SCHTWC1015)	047	AMT	B	25,900	50.21	n/a	n/a	518.00 2.0
AO,	06/16	STRONG/WELLS CAP ANN F (SCHTST9989)	047	AMT	B	3	50.21	n/a	n/a	0.06 2.0
AO,	06/16	STRONG/WELLS CAP ANN F (SCHTST2396)	047	AMT	B	1	50.21	n/a	n/a	0.02 2.0

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**TOTAL (AO, CXL, CRT) :****1,344.16**

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**TOTAL (Trade Date) :****65,346.87****TOTAL (AO, CXL, CRT) :****1,344.16**

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**TOTAL (RUN DATE) / NFS:****66,691.03**

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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