

Daily Compliance Activity Report Trade Date: 07/05/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
PIONEER OAKRIDGE	031	AAPL	S	200	603.73	n/a	n/a	6.00	3.0
ROYCE TRADING	031	AEO	S	65 , 000	20.49	n/a	2-Dec	3,250.00	5.0
TRELLUS PARTNERS LP	028	ALV	В	10,000	56.29	n/a	20-Jun	300.00	3.0
SPARTAN	093	AXL	S	20,000	10.72	n/a	7–Jun	600.00	3.0
WOOSTER CAPITAL	035	AXL	S	100,000	10.99	n/a	7-Jun	4,000.00	4.0
ROTHSCHILD ASSET	040	BIG	S	21,599	40.67	n/a	23-May	863.96	4.0
WEINTRAUB CAPITAL MGT.	269	COF	S	50,000	54.69	n/a	28-Jun	2,000.00	4.0
EDGEWOOD	085	СОН	В	28,010	59.88	n/a	9-May	1,400.50	5.0
BRONSON POINT	036	CPB	В	75 , 000	33.22	n/a	n/a	2,250.00	3.0
OHIO PERS	047	CSL	S	33 , 599	54.85	n/a	n/a	1,007.97	3.0
WEINTRAUB CAPITAL MGT.	269	DG	S	50,000	54.06	n/a	27-Jun	2,000.00	4.0
HIGHBRIDGE CAP	041	FCX	В	3,000	35.28	n/a	n/a	90.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	15,000	9.54	n/a	5-Jul	450.00	3.0
OZ MGMT	040	F	С	100,000	9.72	n/a	5-Jul	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	20.68	n/a	5-Jul	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
NEUBERGER BERMAN	036	GRC	В	4,000	30.87	n/a	n/a	160.00	4.0
SIMMONS VENTURES	041	JNY	SS	10,000	10.66	n/a	26-Apr	400.00	4.0
CORVEX CAPITAL	041	JPM	В	100,000	34.49	n/a	2-Jul	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	JWN	S	20,000	50.96	n/a	28-Jun	600.00	3.0
CHARTER OAK	033	KRO	В	14,585	16.00	n/a	n/a	729.25	5.0
SCOPUS FUND	041	KSS	В	50,000	47.07	n/a	28-Jun	2,000.00	4.0
ROTHSCHILD ASSET	040	LCC	S	45 , 621	13.50	n/a	n/a	1,824.84	4.0
SANDLER CAPITAL	028	LNN	В	40,000	69.82	n/a	n/a	2,000.00	5.0
ROTHSCHILD ASSET	040	LYB	S	21,864	42.30	n/a	n/a	874.56	4.0
PROSPECTOR PARTNERS LLC	036	L	S	4,000	41.01	n/a	n/a	160.00	4.0
ROYCE TRADING	031	MLI	S	659	43.78	n/a	14-Jun	32.95	5.0
ROTHSCHILD ASSET	040	MOV	S	23,717	25.32	n/a	n/a	948.68	4.0
PROSPECTOR PARTNERS LLC	036	MRO	S	10,000	25.57	n/a	n/a	400.00	4.0
SCOPUS FUND	041	М	В	50,000	33.57	n/a	28-Jun	2,000.00	4.0
EMPYREAN CAPITAL	084	NAV	В	50,000	29.36	n/a	13-Jun	2,500.00	5.0
	NEUBERGER BERMAN SIMMONS VENTURES CORVEX CAPITAL LEVIN CAPITAL STRATEGIES CHARTER OAK SCOPUS FUND ROTHSCHILD ASSET SANDLER CAPITAL ROTHSCHILD ASSET PROSPECTOR PARTNERS LLC ROYCE TRADING ROTHSCHILD ASSET PROSPECTOR PARTNERS LLC SCOPUS FUND	NEUBERGER BERMAN 036 SIMMONS VENTURES 041 CORVEX CAPITAL 041 LEVIN CAPITAL STRATEGIES 041 CHARTER OAK 033 SCOPUS FUND 041 ROTHSCHILD ASSET 040 PROSPECTOR PARTNERS LLC 036 ROYCE TRADING 031 ROTHSCHILD ASSET 040 PROSPECTOR PARTNERS LLC 036 SCOPUS FUND 041 SCOPUS FUND 041	NEUBERGER BERMAN 036 GRC SIMMONS VENTURES 041 JNY CORVEX CAPITAL 041 JPM LEVIN CAPITAL STRATEGIES 041 JWN CHARTER OAK 033 KRO SCOPUS FUND 041 KSS ROTHSCHILD ASSET 040 LCC SANDLER CAPITAL 028 LNN ROTHSCHILD ASSET 040 LYB PROSPECTOR PARTNERS LLC 036 L ROYCE TRADING 031 MLI ROTHSCHILD ASSET 040 MOV PROSPECTOR PARTNERS LLC 036 MRO SCOPUS FUND 041 M	NEUBERGER BERMAN 036 GRC B SIMMONS VENTURES 041 JNY SS CORVEX CAPITAL 041 JPM B LEVIN CAPITAL STRATEGIES 041 JWN S CHARTER OAK 033 KRO B SCOPUS FUND 041 KSS B ROTHSCHILD ASSET 040 LCC S SANDLER CAPITAL 028 LNN B ROTHSCHILD ASSET 040 LYB S PROSPECTOR PARTNERS LLC 036 L S ROYCE TRADING 031 MLI S ROTHSCHILD ASSET 040 MOV S PROSPECTOR PARTNERS LLC 036 MRO S SCOPUS FUND 041 M B	NEUBERGER BERMAN 036 GRC B 4,000 SIMMONS VENTURES 041 JNY SS 10,000 CORVEX CAPITAL 041 JPM B 100,000 LEVIN CAPITAL STRATEGIES 041 JWN S 20,000 CHARTER OAK 033 KRO B 14,585 SCOPUS FUND 041 KSS B 50,000 ROTHSCHILD ASSET 040 LCC S 45,621 SANDLER CAPITAL 028 LNN B 40,000 ROTHSCHILD ASSET 040 LYB S 21,864 PROSPECTOR PARTNERS LLC 036 L S 4,000 ROTHSCHILD ASSET 040 MOV S 23,717 PROSPECTOR PARTNERS LLC 036 MRO S 10,000 SCOPUS FUND 041 M B 50,000	NEUBERGER BERMAN 036 GRC B 4,000 30.87 SIMMONS VENTURES 041 JNY SS 10,000 10.66 CORVEX CAPITAL 041 JPM B 100,000 34.49 LEVIN CAPITAL STRATEGIES 041 JWN S 20,000 50.96 CHARTER OAK 033 KRO B 14,585 16.00 SCOPUS FUND 041 KSS B 50,000 47.07 ROTHSCHILD ASSET 040 LCC S 45,621 13.50 SANDLER CAPITAL 028 LNN B 40,000 69.82 ROTHSCHILD ASSET 040 LYB S 21,864 42.30 PROSPECTOR PARTNERS LLC 036 L S 4,000 41.01 ROYCE TRADING 031 MLI S 659 43.78 ROTHSCHILD ASSET 040 MOV S 23,717 25.32 PROSPECTOR PARTNERS LLC 036 MRO S 10,000 25.57 SCOPUS FUND 041 M B 50,000 33.57	NEUBERGER BERMAN 036 GRC B 4,000 30.87 n/a SIMMONS VENTURES 041 JNY SS 10,000 10.66 n/a CORVEX CAPITAL 041 JPM B 100,000 34.49 n/a LEVIN CAPITAL STRATEGIES 041 JWN S 20,000 50.96 n/a CHARTER OAK 033 KRO B 14,585 16.00 n/a SCOPUS FUND 041 KSS B 50,000 47.07 n/a ROTHSCHILD ASSET 040 LCC S 45,621 13.50 n/a ROTHSCHILD ASSET 040 LYB S 21,864 42.30 n/a ROTHSCHILD ASSET 040 LYB S 21,864 42.30 n/a ROYCE TRADING 031 MLI S 659 43.78 n/a ROYCE TRADING 031 MLI S 659 43.78 n/a ROTHSCHILD ASSET 040 MOV S 23,717 25.32 n/a PROSPECTOR PARTNERS LLC 036 MRO S 10,000 25.57 n/a SCOPUS FUND 041 M B 50,000 33.57 n/a	NEUBERGER BERMAN 036 GRC B 4,000 30.87 n/a n/a SIMMONS VENTURES 041 JNY SS 10,000 10.66 n/a 26-Apr CORVEX CAPITAL 041 JPM B 100,000 34.49 n/a 2-Jul LEVIN CAPITAL STRATEGIES 041 JWN S 20,000 50.96 n/a 28-Jun CHARTER OAK 033 KRO B 14,585 16.00 n/a n/a n/a SCOPUS FUND 041 KSS B 50,000 47.07 n/a 28-Jun ROTHSCHILD ASSET 040 LCC S 45,621 13.50 n/a n/a n/a SANDLER CAPITAL 028 LNN B 40,000 69.82 n/a n/a n/a ROTHSCHILD ASSET 040 LYB S 21,864 42.30 n/a n/a n/a PROSPECTOR PARTNERS LLC 036 L S 4,000 41.01 n/a n/a ROYCE TRADING 031 MLI S 659 43.78 n/a 14-Jun ROTHSCHILD ASSET 040 MOV S 23,717 25.32 n/a n/a PROSPECTOR PARTNERS LLC 036 MRO S 10,000 25.57 n/a n/a SCOPUS FUND 041 M B 50,000 33.57 n/a 28-Jun	NEUBERGER BERMAN 036 GRC B 4,000 30.87 n/a n/a 160.00 SIMMONS VENTURES 041 JNY SS 10,000 10.66 n/a 26-Apr 400.00 CORVEX CAPITAL 041 JPM B 1000,000 34.49 n/a 2-Jul 3,000.00 LEVIN CAPITAL STRATEGIES 041 JWN S 20,000 50.96 n/a 28-Jun 600.00 CHARTER OAK 033 KRO B 14,585 16.00 n/a n/a 729.25 SCOPUS FUND 041 KSS B 50,000 47.07 n/a 28-Jun 2,000.00 ROTHSCHILD ASSET 040 LCC S 45,621 13.50 n/a n/a 1,824.84 SANDLER CAPITAL 028 LNN B 40,000 69.82 n/a n/a 1,824.84 SANDLER CAPITAL 028 LNN B 40,000 69.82 n/a n/a 874.56 PROSPECTOR PARTNERS LLC 036 L S 4,000 41.01 n/a n/a 160.00 ROYCE TRADING 031 MLI S 659 43.78 n/a 14-Jun 32.95 ROTHSCHILD ASSET 040 MOV S 23,717 25.32 n/a n/a 948.68 PROSPECTOR PARTNERS LLC 036 MRO S 10,000 25.57 n/a n/a 28-Jun 2,000.00 SCOPUS FUND 041 M B 50,000 33.57 n/a 28-Jun 2,000.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr	
KENNEDY CAPITAL	046	NWBI	В	63 , 711	11.90	n/a	n/a	2,548.44 4.0	
HIGHBRIDGE CAP	041	OII	В	2,025	49.46	n/a	n/a	60.75 3.0	
NEWLAND CAPITAL MGT	025	OI	S	10,000	19.83	n/a	n/a	400.00 4.0	
PHILADELPHIA FINANCIAL	033	PAG	В	200	22.85	n/a	26-Apr	8.00 4.0	
PHILADELPHIA FINANCIAL	033	PAG	S	24,933	23.44	n/a	26-Apr	997.32 4.0	
HIGHBRIDGE CAP	041	POT	В	3,000	45.41	n/a	n/a	90.00 3.0	
CAPITAL RESEARCH GROUP		296	QCOM	S 39	4,300 56.5	57	n/a	n/a 13,800.50	3.5
ROTHSCHILD ASSET	040	RNR	В	11,398	75.55	n/a	n/a	455.92 4.0	
DAVIDSON INV ADV	035	SLB	В	32,595	66.17	n/a	n/a	1,303.80 4.0	
HIGHBRIDGE CAP	041	TS	SS	3,000	35.42	n/a	n/a	90.00 3.0	
CASTLEROCK	040	URI	S	68 , 541	35.89	n/a	17-Apr	2,741.64 4.0	
FRIESS MGMT	033	VFC	S	130,650	133.17	n/a	27-Apr	5,226.00 4.0	
EDGEWOOD	085	V	В	19,312	127.10	n/a	30-May	965.60 5.0	

TOTAL (Trade Date): 67,836.68

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	07/03	GALT INVESTMENT (GALTFIDO)	041	CONN	S	2,631	16.24	n/a	n/a	131.55	5.0
AO, CRT	07/03	GALT INVESTMENT (GALTFIDO)	041	CONN	S	2 , 631	16.24	n/a	n/a	105.24	4.0
AO, CXL	07/03	GALT INVESTMENT (GALTGS)	041	CONN	S	2,632	16.24	n/a	n/a	131.60	5.0
AO, CRT	07/03	GALT INVESTMENT (GALTGS)	041	CONN	S	2,632	16.24	n/a	n/a	105.28	4.0
AO,CXL	07/02	PERRY PARTNERS (PERRGOLDMA)	085	IPG	SS	20,000	10.93	n/a	n/a	1000.00	5.0
AO,CRT	07/02	PERRY PARTNERS (PERRGOLDMA)	085	IPG	SS	20,000	10.93	n/a	n/a	800.00	4.0
AO, CRT	07/03	CONIFER (CONIISFJPM)	025	IVV	В	4,000	137.82	n/a	n/a	160.00	4.0
AO,CXL	07/03	CONIFER (CONIISFRIP)	025	IVV	В	4,000	137.82	n/a	n/a	160.00	4.0
AO,CXL	06/29	ACK ASSET (ACKAMS)	028	LULU	S	10,045	59.31	n/a	7-Jun	301.35	3.0
AO,	06/29	ACK ASSET (ACKAMS)	028	LULU	SS	10,045	59.31	n/a	7-Jun	301.35	3.0
TOTAL	(AO, (CXL, CRT):							_	252.63	

TOTAL (RUN DATE) / NFS:	67,584.05
TOTAL (AO, CXL, CRT):	-252.63
TOTAL (Trade Date):	67,836.68

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