



Daily Compliance Activity Report

Trade Date: 04/11/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	AOL	B	62,000	24.11	n/a	n/a	1,860.00	3.0
VERITION	028	ARO	B	5,000	20.60	n/a	n/a	150.00	3.0
NWQ INVESTMENT MGMT CO	084	AU	B	25,000	33.61	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	025	AXL	B	25,000	10.98	n/a	6-Feb	1,000.00	4.0
CASTLEROCK	040	BBY	B	52,537	21.77	n/a	n/a	2,101.48	4.0
PATTEN & PATTEN	025	BDX	S	100	76.65	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	BTU	B	300	28.08	n/a	n/a	15.00	5.0
NWQ INVESTMENT MGMT CO	084	CA	S	14,900	26.38	n/a	n/a	447.00	3.0
BALYASNY ASSET MGMT	044	DAN	SS	50,000	14.13	n/a	22-Feb	2,500.00	5.0
MILLRACE FUND LP	028	DAN	SS	2,500	14.04	n/a	22-Feb	100.00	4.0
CONIFER/ISF	025	DELL	B	7,500	16.29	n/a	n/a	300.00	4.0
NWQ INVESTMENT MGMT CO	084	DEL	B	3,690	59.96	n/a	n/a	147.60	4.0
SCOPUS FUND	041	DG	B	15,000	45.84	n/a	23-Mar	600.00	4.0
ARSENAL ASSET MANAGEMENT	028	DOW	SS	60,000	32.14	n/a	21-Mar	2,400.00	4.0
BRONSON POINT	036	FDX	S	25,000	87.98	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	F	C	15,000	11.96	n/a	4-Apr	450.00	3.0
PATTEN & PATTEN	025	GE	B	300	19.08	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	GLW	S	54,900	13.49	n/a	11-Apr	2,745.00	5.0
DEVENNY CAP LLC	044	GM	SS	10,000	24.04	n/a	4-Apr	300.00	3.0
PZENA INV ADV	044	GOOG	B	425	634.40	n/a	n/a	14.88	3.5
WILLIAMS TRADING/FOX POINT	025	GT	SS	125,000	10.64	n/a	n/a	5,000.00	4.0
BASIX	033	HSC	B	19,000	21.66	n/a	11-Apr	570.00	3.0
NEWLAND CAPITAL MGT	025	HTZ	B	25,000	14.39	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	025	IXN	B	700	69.45	n/a	n/a	35.00	5.0
TUDOR INVESTORS	028	JOY	B	3,000	73.69	n/a	13-Mar	90.00	3.0
DEVENNY CAP LLC	044	LMT	SS	5,000	88.55	n/a	14-Feb	150.00	3.0
GEORGE WEISS	034	LOW	S	33,000	31.00	n/a	28-Feb	1,320.00	4.0
ARSENAL ASSET MANAGEMENT	028	LYB	SS	20,000	41.64	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	MCD	S	50,000	97.73	n/a	8-Mar	2,000.00	4.0
NWQ INVESTMENT MGMT CO	084	MSI	S	21,600	48.61	n/a	n/a	864.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	M	SS	20,000	39.35	n/a	9-Apr	800.00	4.0
TUDOR INVESTORS	028	NAV	B	5,000	36.29	n/a	9-Mar	150.00	3.0
PATTEN & PATTEN	025	NSC	B	900	66.62	n/a	n/a	45.00	5.0
PZENA INV ADV	044	ORCL	B	100,950	28.31	n/a	n/a	3,533.25	3.5
NWQ INVESTMENT MGMT CO	084	OXY	S	2,100	90.12	n/a	n/a	84.00	4.0
BAIRD INVESTMENT	047	PCAR	S	8,425	43.11	n/a	29-Mar	421.25	5.0
PLATTE RIVER CAPITAL	240	PGR	S	136,300	22.48	n/a	n/a	5,452.00	4.0
PATTEN & PATTEN	025	PHO	S	3,500	18.38	n/a	n/a	175.00	5.0
ROYCE TRADING	031	PLCE	B	2,000	49.32	n/a	7-Mar	100.00	5.0
MOORE CAPITAL	041	SHOO	S	7,500	42.26	n/a	n/a	225.00	3.0
ARSENAL ASSET MANAGEMENT	028	SHW	S	5,000	113.92	n/a	9-Apr	200.00	4.0
PROSPECTOR PARTNERS LLC	036	SLE	S	10,000	21.27	n/a	n/a	400.00	4.0
NWQ INVESTMENT MGMT CO	084	SNY	S	6,800	36.50	n/a	n/a	272.00	4.0
NEW JERSEY DIV OF INV.	030	SWY	S	165,000	19.98	n/a	n/a	6,600.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	2.76	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	TGT	S	40,600	57.06	n/a	9-Apr	2,030.00	5.0
NEWLAND CAPITAL MGT	025	TRN	S	5,200	30.91	n/a	n/a	208.00	4.0
PATTEN & PATTEN	025	TXN	S	2,000	31.98	n/a	n/a	100.00	5.0
BRONSON POINT	036	UTX	SS	50,000	79.58	n/a	n/a	1,500.00	3.0
BAIRD INVESTMENT	047	WBC	S	9,900	56.97	n/a	5-Apr	495.00	5.0
PROSPECTOR PARTNERS LLC	036	XRX	S	10,000	7.76	n/a	n/a	400.00	4.0
BRONSON POINT	036	X	B	20,000	27.30	n/a	n/a	600.00	3.0
NEW JERSEY DIV OF INV.	030	YUM	S	30,000	68.96	n/a	8-Feb	1,200.00	4.0
TOTAL (Trade Date) :								54,520.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	04/10	COLUMBUS CIRCLE (COLC3050)	036	CREE	B	142	29.50	n/a	n/a	1.07	0.8
AO,CXL	04/10	SIMMONS VENTURES (SIMMJPM)	041	JNY	B	5,000	11.73	n/a	9-Feb	250.00	5.0
AO,CRT	04/10	SIMMONS VENTURES (SIMMJPM)	041	JNY	B	5,000	11.73	n/a	9-Feb	200.00	4.0
AO,CXL	04/10	NEWLAND CAPITAL MGT (NEWLGS)	025	MWA	B	25,000	3.19	n/a	n/a	750.00	3.0
AO,CRT	04/10	NEWLAND CAPITAL MGT (NEWLGS)	025	MWA	B	25,000	3.19	n/a	n/a	500.00	2.0
AO,CXL	04/10	GEORGE WEISS (WEISGSCO)	034	ROST	S	16,035	57.90	n/a	9-Apr	481.05	3.0
AO,CRT	04/10	GEORGE WEISS (WEISGSCO)	034	ROST	S	10,092	57.90	n/a	9-Apr	302.76	3.0
AO,CXL	04/10	GEORGE WEISS (WEISCITIPB)	034	ROST	S	47,949	57.90	n/a	9-Apr	1438.47	3.0
AO,CRT	04/10	GEORGE WEISS (WEISCITIPB)	034	ROST	S	53,892	57.90	n/a	9-Apr	1616.76	3.0

TOTAL (AO, CXL, CRT) :**-298.93**

TOTAL (Trade Date):

54,520.46

TOTAL (AO, CXL, CRT):

-298.93

TOTAL (RUN DATE) / NFS:**54,221.53**

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