



## Daily Compliance Activity Report

Trade Date: 04/12/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	AEO	B	10,000	16.70	n/a	2-Dec	300.00	3.0
ACK ASSET	028	AIT	SS	19,000	39.12	n/a	n/a	570.00	3.0
PECONIC PARTNERS	036	ARCO	B	50,000	18.62	n/a	6-Mar	2,500.00	5.0
NUVEEN - US BANCORP		030	ASNA	S	49,495	21.36	n/a	n/a	2,227.28 4.5
LATEFF MGMT	035	ATI	B	8,100	41.53	n/a	5-Apr	848.50	13.7
BRONSON POINT	036	ATR	SS	13,810	54.55	n/a	n/a	414.30	3.0
OMEGA ADVISORS	041	BAC	S	800,000	9.10	n/a	4-Apr	24,000.00	3.0
MERRILL ASSET/BLACKROCK	297	BAM	S	96,700	31.00	n/a	n/a	3,868.00	4.0
PATTEN & PATTEN	025	BBY	S	150	22.31	n/a	n/a	7.50	5.0
CAERUS GLOBAL	041	BIG	SS	20,000	44.69	n/a	5-Mar	800.00	4.0
PATTEN & PATTEN	025	BK	B	150	23.91	n/a	4-Apr	7.50	5.0
JET CAPITAL/CHRIS	041	BP	S	100,000	42.53	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	025	BTU	B	100	29.41	n/a	n/a	5.00	5.0
RIVERPARK CAPITAL	025	BX	B	26,000	14.78	n/a	n/a	1,300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	CNW	S	22,500	33.38	n/a	n/a	900.00	4.0
FIRST NY SEC/CHRIS	041	DAL	B	10,000	10.44	n/a	n/a	300.00	3.0
BRONSON POINT	036	DHR	SS	80,000	54.47	n/a	n/a	2,400.00	3.0
PATTEN & PATTEN	025	DOW	S	200	32.75	n/a	21-Mar	10.00	5.0
COLUMBUS CIRCLE	036	EDMC	S	5,099	13.08	n/a	n/a	203.96	4.0
TROUBH PART	070	ESRX	B	10,000	57.45	n/a	n/a	500.00	5.0
OZ MGMT	040	ETN	C	44,491	47.18	n/a	12-Apr	1,334.73	3.0
PATTEN & PATTEN	025	EWG	S	400	22.35	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	GE	B	300	19.28	n/a	n/a	15.00	5.0
NUVEEN - US BANCORP		030	HAIN	S	12,757	44.48	n/a	n/a	574.08 4.5
TRUSTCO/SUNTRUST (CEREDEX)	273	HPQ	S	198,250	24.94	n/a	n/a	6,938.75	3.5
NEWLAND CAPITAL MGT	025	HW	B	38,900	3.95	n/a	n/a	1,556.00	4.0
APEX CAPITAL MGMT.	261	INTC	C	313,000	28.24	n/a	n/a	12,520.00	4.0
PATTEN & PATTEN	025	INTC	S	300	28.41	n/a	n/a	15.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	95,723	33.10	n/a	4-Apr	4,786.15	5.0
MA CAPITAL MGMT/MELLON ADV041		IP	B	5,500	33.10	n/a	4-Apr	275.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	IP	B	5,000	33.19	n/a	4-Apr	200.00	4.0
SONTERRA CAP	041	IP	S	40,000	33.11	n/a	4-Apr	1,600.00	4.0
PATTEN & PATTEN	025	IXN	B	75	69.91	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	IYG	B	100	56.01	n/a	n/a	5.00	5.0
COBALT	041	JCI	B	200,000	31.62	n/a	4-Apr	8,000.00	4.0
SCOPUS FUND	041	LKQX	SS	50,000	30.10	n/a	n/a	2,000.00	4.0
NWQ INVESTMENT MGMT CO	084	L	S	5,000	39.39	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	MHP	S	200	48.91	n/a	n/a	10.00	5.0
MERCHANTS GATE CAP LP	036	M	SS	17,100	40.32	n/a	9-Apr	684.00	4.0
BNP PARIBAS SEC	040	NAV	B	20,000	37.55	n/a	12-Apr	1,000.00	5.0
PRIMECAP MGMT	084	NOV	S	10,000	80.48	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	NSC	B	325	68.00	n/a	n/a	16.25	5.0
PATTEN & PATTEN	025	ORCL	S	400	28.62	n/a	n/a	20.00	5.0
NWQ INVESTMENT MGMT CO	084	PBI	S	11,000	17.05	n/a	n/a	330.00	3.0
LANE GATE PARTNERS LLC	030	PCAR	B	3,500	42.93	n/a	12-Apr	105.00	3.0
PATTEN & PATTEN	025	PHO	S	275	18.74	n/a	n/a	13.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	PLCE	B	1,500	49.20	n/a	7-Mar	75.00	5.0
PATTEN & PATTEN	025	QCOM	B	125	68.11	n/a	n/a	6.25	5.0
BRIGADE CAPITAL MGMT	029	RAD	B	200,000	1.70	n/a	n/a	8,000.00	4.0
KAM ADVISORS LLC	041	RDC	S	99,300	33.95	n/a	n/a	2,979.00	3.0
PATTEN & PATTEN	025	RSG	B	100	30.90	n/a	n/a	5.00	5.0
NUVEEN - US BANCORP		030	SMBL	S	34,337	6.05	n/a	n/a	1,545.18 4.5
MERRILL ASSET/BLACKROCK	297	SODA	B	46,000	34.46	n/a	n/a	1,840.00	4.0
TUDOR INVESTORS	028	SWK	B	5,000	76.40	n/a	n/a	150.00	3.0
IVORY CAPITAL	034	VIAB	B	50,000	46.42	n/a	n/a	2,500.00	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	WFC	S	100,550	33.78	n/a	4-Apr	3,519.30	3.5
EPOCH INV MGMT	030	WRC	S	64,920	54.52	n/a	23-Mar	1,947.60	3.0
RBC CAPITAL MARKETS	040	WRC	B	10,000	54.50	n/a	23-Mar	400.00	4.0
NUVEEN - US BANCORP		030	ZUMZ	S	16,225	34.67	n/a	n/a	730.14 4.5
<b>TOTAL (Trade Date) :</b>							<b>110,431.97</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									110,431.97
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									110,431.97

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