



## Daily Compliance Activity Report

Trade Date: 01/20/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUFFOLK CAPITAL MGMT	040	AMD	S	10,400	6.42	n/a	n/a	416.00	4.0
ASCEND PARTNERS	033	ARCO	B	60,374	20.31	n/a	6-Jan	1,811.22	3.0
YORK CAPITAL	036	BAC	S	250,000	6.91	n/a	19-Jan	5,000.00	2.0
SCOPUS FUND	041	BIG	B	15,000	39.90	n/a	2-Dec	600.00	4.0
MELLON/BANK OF NEW YORK	046	CB	S	175,000	70.81	n/a	n/a	7,000.00	4.0
TUDOR INVESTORS	028	CMI	B	5,000	104.87	n/a	26-Oct	150.00	3.0
CENTURION PARTNERS	041	COF	B	25,000	45.14	n/a	19-Jan	1,000.00	4.0
OHIO PERS	047	CVX	S	20,000	106.70	n/a	n/a	600.00	3.0
VERITION	028	DNKN	S	15,000	26.51	n/a	n/a	450.00	3.0
WEINTRAUB CAPITAL MGT.	269	DVA	B	50,000	80.53	n/a	n/a	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	EAT	B	5,000	27.77	n/a	20-Jan	250.00	5.0
PERRY PARTNERS	085	ECA	B	15,000	17.45	n/a	n/a	750.00	5.0
UBS OCONNOR	031	EMR	C	44,737	49.03	n/a	n/a	1,342.11	3.0
TALPION LLC	040	FBRC	S	19,600	2.10	n/a	n/a	392.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	FOR	S	25,000	15.99	n/a	3-Nov	1,250.00	5.0
ACK ASSET	028	GMT	SS	33,000	42.74	n/a	n/a	990.00	3.0
WEINTRAUB CAPITAL MGT.	269	HITK	SS	15,000	37.30	n/a	n/a	600.00	4.0
CAERUS GLOBAL	041	HNZ	SS	19,000	51.91	n/a	n/a	760.00	4.0
ARSENAL ASSET MANAGEMENT	028	HON	B	10,000	57.17	n/a	19-Jan	400.00	4.0
SUFFOLK CAPITAL MGMT	040	HON	S	115,000	57.79	n/a	19-Jan	4,600.00	4.0
MELLON/BANK OF NEW YORK	046	HSNI	S	50,000	36.88	n/a	n/a	2,000.00	4.0
LATEFF MGMT	035	IBM	S	250	187.45	n/a	n/a	75.00	30.0
BALYASNY ASSET MGMT	044	IP	SS	25,000	32.01	n/a	27-Oct	1,250.00	5.0
THOMAS WEISEL ASSET MGMT	035	IWO	S	1,942	89.52	n/a	n/a	58.26	3.0
DELTEC ASSET MGMT.	040	JCI	B	10,000	31.60	n/a	19-Jan	500.00	5.0
SUFFOLK CAPITAL MGMT	040	JNJ	B	1,200	65.19	n/a	n/a	48.00	4.0
DELTEC ASSET MGMT.	040	JPM	B	8,000	37.09	n/a	13-Jan	400.00	5.0
SUFFOLK CAPITAL MGMT	040	JPM	B	3,400	37.13	n/a	13-Jan	136.00	4.0
MOORE CAPITAL	041	KBH	S	20,000	9.31	n/a	n/a	600.00	3.0
LISTED ERR	099	KBH	B	1,800	9.34	n/a	n/a	0.00	0.0
LISTED ERR	099	KBH	S	1,800	9.38	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	KDN	B	25,000	33.06	n/a	n/a	750.00	3.0
HOPLITE MGMT	025	KMX	SS	33,090	32.44	n/a	n/a	1,323.60	4.0
TUDOR INVESTORS	028	KSU	B	3,000	72.54	n/a	n/a	90.00	3.0
SCOPUS FUND	041	LPX	S	29,756	9.22	n/a	7-Nov	1,190.24	4.0
BRONSON POINT	036	MGA	SS	20,000	41.82	n/a	n/a	600.00	3.0
MADISON ST PARTNERS LLC	046	MSG	S	34,378	29.54	n/a	n/a	1,718.90	5.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	18.19	n/a	19-Jan	2,500.00	5.0
ROSEDALE CAPITAL	046	MTW	S	15,000	12.35	n/a	26-Oct	600.00	4.0
TUDOR INVESTORS	028	NAV	B	6,000	38.62	n/a	10-Jan	180.00	3.0
TALPION LLC	040	PG	SS	4,500	65.89	n/a	10-Jan	180.00	4.0
METROPOLITAN CAPITAL	044	PLCE	B	8,000	49.63	n/a	18-Jan	400.00	5.0
TUDOR INVESTORS	028	PNR	SS	5,000	37.27	n/a	n/a	150.00	3.0
TALPION LLC	040	RDEN	S	2,500	34.88	n/a	9-Jan	100.00	4.0
OZ MGMT	040	RKT	SS	10,900	65.95	n/a	5-Jan	327.00	3.0
CHESAPEAKE PARTNERS	028	SEMG	B	40,000	26.91	n/a	n/a	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VERITION	028	SGMS	B	15,000	11.41	n/a	n/a	450.00	3.0
NEWLAND CAPITAL MGT	025	TEL	S	15,000	35.90	n/a	n/a	600.00	4.0
PZENA INV ADV	044	TEL	B	6,200	36.46	n/a	n/a	217.00	3.5
KLEINHEINZ CAP PART	031	TGT	S	50,000	50.19	n/a	5-Jan	2,500.00	5.0
SUFFOLK CAPITAL MGMT	040	TIF	B	1,100	62.00	n/a	n/a	44.00	4.0
FARALLON CAP MGMT	040	TPX	SS	80,000	62.26	n/a	n/a	3,200.00	4.0
WEINTRAUB CAPITAL MGT.	269	VAR	SS	65,000	69.11	n/a	n/a	2,600.00	4.0
OHIO PERS	047	XOM	B	24,000	87.09	n/a	n/a	720.00	3.0
SUFFOLK CAPITAL MGMT	040	XOM	B	600	86.81	n/a	n/a	24.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	200	30.00	n/a	n/a	6.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>57,099.33</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/19	GALT INVESTMENT (GALTFIDO)	041	AEO	B	4,021	13.52	n/a	2-Dec	160.84 4.0
AO,CRT	01/19	GALT INVESTMENT (GALTGS)	041	AEO	B	4,021	13.52	n/a	2-Dec	160.84 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	57,099.33
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>57,099.33</b>
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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