



Daily Compliance Activity Report

Trade Date: 03/07/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AGU	SS	3,000	80.49	n/a	n/a	90.00	3.0
VERITION	028	ANF	B	7,500	47.95	n/a	16-Feb	225.00	3.0
LATEFF MGMT	035	AREPRC	B	750	25.65	n/a	n/a	75.00	10.0
BALYASNY ASSET MGMT	044	ARO	S	20,000	18.72	n/a	n/a	1,000.00	5.0
TUDOR INVESTORS	028	BEAV	S	5,000	45.12	n/a	5-Mar	150.00	3.0
SAGE ASSET MGMT	025	BZ	B	38,400	7.54	n/a	n/a	1,536.00	4.0
CATAPULT	040	CMA	S	15,000	29.59	n/a	n/a	600.00	4.0
SENATOR INVESTMENT GROUP	036	COF	B	250,000	48.67	n/a	7-Mar	7,500.00	3.0
TRUSTCO/SUNTRUST	040	CSCO	B	74,200	19.44	n/a	n/a	2,597.00	3.5
SCOPUS FUND	041	CTAS	S	60,000	38.07	n/a	n/a	2,400.00	4.0
THIRD COAST CAPITAL	035	DKS	B	8,000	46.89	n/a	7-Mar	400.00	5.0
SANDLER CAPITAL	028	DPZ	B	140,000	39.70	n/a	29-Feb	7,000.00	5.0
ASCEND PARTNERS	033	EAT	C	3,200	27.42	n/a	25-Jan	96.00	3.0
BASIX	033	EAT	B	15,000	27.58	n/a	25-Jan	450.00	3.0
WHITE PINE CAPITAL	030	ECA	B	10,900	19.45	n/a	n/a	545.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	EXPD	B	5,000	43.50	n/a	n/a	150.00	3.0
CATAPULT	040	FITB	B	12,900	13.06	n/a	n/a	516.00	4.0
THIRD COAST CAPITAL	035	FL	S	14,500	29.67	n/a	7-Mar	725.00	5.0
LATEFF MGMT	035	FMER	B	750	15.74	n/a	n/a	75.00	10.0
CATAPULT	040	FRC	B	2,000	29.81	n/a	n/a	80.00	4.0
CAPITAL RESEARCH GROUP		084	FTI	B	17,391	50.30	n/a	n/a	608.69 3.5
MERRILL ASSET/BLACKROCK	297	GDP	B	13,100	16.53	n/a	n/a	524.00	4.0
MERRILL ASSET/BLACKROCK	297	GEOI	S	6,500	32.60	n/a	n/a	260.00	4.0
LATEFF MGMT	035	GLW	S	450	12.99	n/a	28-Feb	45.00	10.0
OZ MGMT	040	GM	C	58,885	25.16	n/a	2-Mar	1,766.55	3.0
HIGHBRIDGE CAP	041	HFC	B	15,000	33.93	n/a	n/a	450.00	3.0
ROTHSCHILD ASSET	040	HMN	B	16,000	17.25	n/a	n/a	640.00	4.0
WAGONHOUND/NICOLAS	033	HSC	B	12,904	21.24	n/a	7-Mar	516.16	4.0
TRUSTCO/SUNTRUST	040	HXL	B	26,072	23.88	n/a	29-Feb	912.52	3.5
STANDARD PACIFIC CAPITAL	084	INTU	B	111,894	57.08	n/a	n/a	5,594.70	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARMATURE CAPITAL	041	IP	S	50,000	34.69	n/a	2-Feb	2,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	35,000	34.89	n/a	2-Feb	1,750.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	4,000	34.59	n/a	2-Feb	200.00	5.0
SAGE ASSET MGMT	025	IP	S	8,300	34.78	n/a	2-Feb	415.00	5.0
MOORE CAPITAL	041	ITB	S	10,000	13.52	n/a	n/a	300.00	3.0
FIRST NY SEC/CHRIS	041	JNY	B	15,000	10.15	n/a	9-Feb	750.00	5.0
TUDOR INVESTORS	028	LEA	S	5,000	43.94	n/a	3-Feb	150.00	3.0
KLEINHEINZ CAP PART	031	LOW	B	150,000	28.71	n/a	28-Feb	7,500.00	5.0
MOORE CAPITAL	041	LOW	S	7,500	28.55	n/a	28-Feb	225.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	25,000	7.81	n/a	7-Feb	1,250.00	5.0
HARVEST MGMT (JMP)	029	LPX	B	50,000	7.77	n/a	7-Feb	2,000.00	4.0
TUDOR INVESTORS	028	MLM	B	5,000	84.07	n/a	n/a	150.00	3.0
BMO NESBITT BURNS	041	MWV	S	25,000	30.48	n/a	26-Jan	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	NKE	B	70,000	107.94	n/a	9-Jan	3,500.00	5.0
LATEFF MGMT	035	OI	B	225	22.76	n/a	n/a	33.75	15.0
LATEFF MGMT	035	PCH	B	500	30.02	n/a	31-Jan	50.00	10.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	28,000	29.64	n/a	22-Feb	1,400.00	5.0
TUDOR INVESTORS	028	RBC	B	2,000	64.84	n/a	n/a	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	RKT	S	15,000	70.62	n/a	26-Jan	750.00	5.0
CARDINAL CAPITAL	044	SSI	S	12,200	14.03	n/a	n/a	610.00	5.0
CATAPULT	040	TCB	S	25,000	10.85	n/a	n/a	1,000.00	4.0
LATEFF MGMT	035	UAL	B	150	19.80	n/a	n/a	30.00	20.0
CATAPULT	040	WAFD	B	30,749	16.23	n/a	n/a	1,229.96	4.0
COBALT	041	WBC	S	40,000	58.06	n/a	17-Feb	1,600.00	4.0
TRUSTCO/SUNTRUST	040	WEN	S	43,886	4.76	n/a	2-Mar	1,536.04	3.5
TUDOR INVESTORS	028	WNC	B	5,000	9.90	n/a	n/a	150.00	3.0
THIRD COAST CAPITAL	035	WSM	S	8,000	37.89	n/a	n/a	400.00	5.0
BNP PARIBAS SEC	040	WY	B	50,000	20.67	n/a	3-Feb	2,500.00	5.0
TOTAL (Trade Date) :								70,317.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/05	GALT INVESTMENT (GALTFIDO)	041	CLUB	S	5,000	10.60	n/a	n/a	250.00 5.0
AO,CRT	03/05	GALT INVESTMENT (GALTFIDO)	041	CLUB	S	5,000	10.60	n/a	n/a	200.00 4.0
CRT	03/07	BNP PARIBAS SEC (BNPPMAIN)	040	WY	B	50,000	20.67	n/a	3-Feb	2500.00 5.0

TOTAL (AO, CXL, CRT) :	2,450.00
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TOTAL (Trade Date) :	70,317.37
TOTAL (AO, CXL, CRT) :	2,450.00

TOTAL (RUN DATE) / NFS:	72,767.37
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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