



Daily Compliance Activity Report

Trade Date: 05/18/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
NORTHWESTERN MUTUAL LIFE	047	ADM	B	30,000	32.08	n/a	1-May	1,200.00 4.0
EPOCH INV MGMT	030	AET	B	18,750	39.95	n/a	n/a	562.50 3.0
TUDOR INVESTORS	028	ALSN	SS	5,000	18.33	n/a	n/a	150.00 3.0
EPOCH INV MGMT	030	CFX	S	450	27.67	n/a	n/a	13.50 3.0
EPOCH INV MGMT	030	CPO	S	13,550	52.02	n/a	n/a	406.50 3.0
ROARING BLUE LION MGMT	031	CROX	B	7,100	15.79	n/a	n/a	284.00 4.0
EPOCH INV MGMT	030	CTL	B	250	38.74	n/a	n/a	7.50 3.0
GOLD SACHS SPECIAL SIT	030	DAN	B	200,000	12.42	n/a	26-Apr	10,000.00 5.0
EPOCH INV MGMT	030	DBD	S	9,900	35.87	n/a	23-Mar	297.00 3.0
RBC CAPITAL MARKETS	040	DG	B	5,000	45.86	n/a	23-Mar	200.00 4.0
SCOUT/UMB	047	DG	B	26,650	45.67	n/a	23-Mar	799.50 3.0
CAMBIAR CAP	046	GES	S	75,000	24.67	n/a	9-May	3,000.00 4.0
ADAGE CAPITAL MGMT	030	GPS	S	228,161	25.53	n/a	n/a	6,844.83 3.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	24.94	n/a	20-Apr	2,500.00 5.0
WELLSPRING CAPITAL	093	HBI	B	50,000	25.03	n/a	20-Apr	2,000.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	HD	S	400	47.00	n/a	16-May	12.00	3.0
JET CAPITAL/CHRIS	041	HIG	S	140,000	17.12	n/a	n/a	4,200.00	3.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	B	142,900	12.33	n/a	n/a	4,287.00	3.0
CORNERSTONE	030	ILMN	B	4,295	42.38	n/a	n/a	128.85	3.0
BRANDWINE	028	JCI	B	220,900	30.11	n/a	27-Apr	8,836.00	4.0
KADE CAPITAL LLC	028	JCI	SS	10,000	30.01	n/a	27-Apr	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	JCI	B	113,890	29.99	n/a	27-Apr	3,416.70	3.0
DEVENNY CAP LLC/MILLENIU	044	JPM	B	29,800	33.63	n/a	18-May	1,192.00	4.0
NEWLAND CAPITAL MGT	025	KMB	SS	50,000	78.81	n/a	23-Apr	2,000.00	4.0
BAIRD INVESTMENT	047	KO	B	3,650	73.96	n/a	25-Apr	182.50	5.0
CASTLE ARK	031	KO	S	166,500	74.03	n/a	25-Apr	8,325.00	5.0
EPOCH INV MGMT	030	KSU	S	420	65.07	n/a	n/a	12.60	3.0
EPOCH INV MGMT	030	MLI	S	22,200	43.69	n/a	24-Apr	666.00	3.0
NEUBERGER BERMAN	036	MRK	S	79,690	37.98	n/a	n/a	3,187.60	4.0
ADAGE CAPITAL MGMT	030	M	B	150,000	35.72	n/a	10-May	4,500.00	3.0
TUDOR INVESTORS	028	NUE	SS	10,000	34.37	n/a	n/a	300.00	3.0
COUGAR TRADING	044	OZM	S	10,000	7.20	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	PRU	S	600	46.04	n/a	n/a	18.00	3.0
LEVIN CAPITAL STRATEGIES	041	PVH	B	30,300	73.74	n/a	9-May	909.00	3.0
TUDOR INVESTORS	028	RBN	SS	5,000	44.55	n/a	n/a	150.00	3.0
SHEFFIELD ASSET MGMT	031	RKT	B	20,000	52.10	n/a	26-Apr	800.00	4.0
SCOUT/UMB	047	ROST	B	19,500	60.61	n/a	18-May	585.00	3.0
SIMMONS VENTURES	041	SKUL	B	2,010	12.20	n/a	n/a	80.40	4.0
PERRY PARTNERS	085	SPY	SS	25,000	131.00	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	TEA	S	27,000	17.07	n/a	n/a	1,080.00	4.0
COLUMBUS CIRCLE	036	TNGO	B	1,157	20.24	n/a	n/a	46.28	4.0
SUN AMERICA ASSET MGMT	030	TRLG	B	9,400	28.09	n/a	n/a	376.00	4.0
SUN AMERICA ASSET MGMT	030	URBN	B	42,900	25.63	n/a	n/a	1,716.00	4.0
TUDOR INVESTORS	028	WLT	SS	5,000	50.75	n/a	n/a	150.00	3.0
SENATOR INVESTMENT GROUP	036	WWW	S	50,000	41.24	n/a	n/a	1,500.00	3.0
TUDOR INVESTORS	028	X	B	10,000	21.58	n/a	n/a	300.00	3.0

TOTAL (Trade Date):

79,172.26

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	05/18	KADE CAPITAL LLC (KADEGSEXEC)	028	JCI	SS	10,000	30.01	n/a 27-Apr	300.00 3.0
AO,CXL	05/17	IMPALA ASSET MMT (IMPACITI)	040	URI	S	419,246	34.81	n/a 17-Apr	20962.30 5.0
AO,CRT	05/17	IMPALA ASSET MMT (IMPACITI)	040	URI	S	419,246	34.81	n/a 17-Apr	16769.84 4.0

TOTAL (AO, CXL, CRT) :	-3,892.46
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TOTAL (Trade Date) :	79,172.26
TOTAL (AO, CXL, CRT) :	-3,892.46

TOTAL (RUN DATE) / NFS :	75,279.80
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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