



## Daily Compliance Activity Report

Trade Date: 04/04/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	ABG	B	22,000	28.24	n/a	3-Apr	1,100.00	5.0
MELLON/BANK OF NEW YORK	046	APD	S	7,025	90.61	n/a	23-Mar	281.00	4.0
FINDLAY PARK PART	085	ARG	S	38,000	89.06	n/a	23-Mar	5,076.60	0.0
DC CAPITAL	044	ATI	B	50,000	39.80	n/a	26-Mar	2,000.00	4.0
CATAPULT	040	BBBY	B	24,033	66.21	n/a	n/a	961.32	4.0
PATTEN & PATTEN	025	BBY	S	750	22.91	n/a	n/a	37.50	5.0
TRELLUS PARTNERS LP	028	COH	B	8,000	74.48	n/a	2-Mar	240.00	3.0
LATEFF MGMT	035	CTB	B	9,750	15.40	n/a	n/a	834.00	9.4
MELLON/BANK OF NEW YORK	046	FCX	B	16,101	37.65	n/a	n/a	644.04	4.0
SIMMONS VENTURES	041	FINL	B	5,000	21.50	n/a	2-Apr	200.00	4.0
FINDLAY PARK PART	085	FLIR	B	76,000	24.71	n/a	n/a	2,817.27	0.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	2,099	14.99	n/a	23-Feb	104.95	5.0
RAINIER INV MGMT	035	GPI	B	31,600	57.67	n/a	3-Apr	1,264.00	4.0
FIRST NY SEC/CHRIS	041	JWN	SS	10,000	55.22	n/a	30-Mar	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PERRY PARTNERS	085	KGC	B	50,000	9.34	n/a	n/a	1,500.00	3.0
HOPLITE MGMT	025	KR	SS	25,000	23.77	n/a	n/a	1,000.00	4.0
LAGRANGE CAP ADV	085	LEAP	B	10,000	8.50	n/a	n/a	500.00	5.0
BRONSON POINT	036	LEG	SS	25,000	23.02	n/a	n/a	750.00	3.0
RBC CAPITAL MARKETS	040	M	B	15,000	40.49	n/a	30-Mar	600.00	4.0
THE JAY GOLDMAN	028	M	B	50,000	40.61	n/a	30-Mar	2,000.00	4.0
CATAPULT	040	NDAQ	S	5,000	25.35	n/a	n/a	200.00	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.09	n/a	n/a	800.00	4.0
TRELLUS PARTNERS LP	028	PAG	B	2,000	25.59	n/a	3-Apr	60.00	3.0
COLUMBUS CIRCLE	036	PAY	S	11,734	50.33	n/a	n/a	469.36	4.0
TRELLUS PARTNERS LP	028	PFCB	B	13,100	39.92	n/a	2-Apr	393.00	3.0
FIRST NY SEC/CHRIS	041	SPY	B	25,000	139.57	n/a	n/a	750.00	3.0
LAGRANGE CAP ADV	085	SWFT	B	10,000	11.02	n/a	n/a	500.00	5.0
KAM ADVISORS LLC	041	TEX	B	47,100	22.60	n/a	16-Feb	1,413.00	3.0
BRONSON POINT	036	TIF	B	10,000	67.99	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	TSCO	B	300	92.61	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	TXN	B	65,300	32.13	n/a	n/a	2,612.00	4.0
LEVIN CAPITAL STRATEGIES	041	VC	S	5,000	51.43	n/a	n/a	150.00	3.0
1798 CAP/LOMBARD ASSET	040	WNC	S	15,000	9.80	n/a	n/a	600.00	4.0
CATAPULT	040	WSM	B	29,000	37.57	n/a	n/a	1,160.00	4.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	13,215	84.85	n/a	n/a	396.45	3.0
<b>TOTAL (Trade Date):</b>								<b>32,029.49</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/03	GLENHILL CAPITAL (GLEHGOLDMA)	036	HNR	B	44,441	6.57	n/a	n/a	2222.05 5.0
AO,	04/03	GLENHILL CAPITAL (GLEHGOLDMA)	036	HNR	B	44,441	6.57	n/a	n/a	1777.64 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-444.41</b>
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TOTAL (Trade Date) :	32,029.49
TOTAL (AO, CXL, CRT) :	-444.41

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>31,585.08</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