



Daily Compliance Activity Report

Trade Date: 04/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	ATI	B	25,000	42.14	n/a	26-Apr	1,250.00	5.0
COLUMBUS CIRCLE	036	BRO	B	2,348	27.07	n/a	n/a	93.92	4.0
HIGHBRIDGE CAP	041	BTU	SS	5,000	30.05	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	BTU	B	250	30.13	n/a	n/a	12.50	5.0
HIGHBRIDGE CAP	041	CAT	S	2,500	104.48	n/a	26-Apr	75.00	3.0
M&I FUNDS	047	CERN	S	4,823	77.30	n/a	n/a	192.92	4.0
COLUMBUS CIRCLE	036	CGNX	S	4,762	39.79	n/a	n/a	190.48	4.0
PATTEN & PATTEN	025	CHK	S	450	17.44	n/a	n/a	22.50	5.0
BASSWOOD PARTNERS	267	CIT	B	51,383	37.96	n/a	26-Apr	2,055.32	4.0
ROTHSCHILD ASSET	040	CSTR	B	8,059	63.57	n/a	n/a	322.36	4.0
HIGHBRIDGE CAP	041	DAN	SS	11,000	14.64	n/a	26-Apr	330.00	3.0
PATTEN & PATTEN	025	DD	B	500	53.97	n/a	19-Apr	25.00	5.0
HOLLIS CAPITAL	033	DHI	B	5,000	16.58	n/a	n/a	250.00	5.0
M&I FUNDS	047	DISCA	S	4,622	54.40	n/a	n/a	184.88	4.0
PATTEN & PATTEN	025	DOW	S	800	34.79	n/a	26-Apr	40.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	EWC	S	1,000	28.26	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	EWZ	S	250	60.71	n/a	n/a	12.50	5.0
JANA CAPITAL	044	EXPE	S	105,622	41.42	n/a	n/a	4,224.88	4.0
CATAPULT	040	FL	B	29,120	31.24	n/a	7-Mar	1,164.80	4.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	24,000	31.27	n/a	7-Mar	720.00	3.0
BALYASNY ASSET MGMT	044	F	C	50,000	11.99	n/a	18-Apr	2,500.00	5.0
OZ MGMT	040	F	C	391,959	11.67	n/a	18-Apr	11,758.77	3.0
SCOPUS FUND	041	F	B	100,000	12.04	n/a	18-Apr	4,000.00	4.0
HOPLITE MGMT	025	HD	S	20,283	51.86	n/a	21-Feb	811.32	4.0
NEUBERGER BERMAN	036	HPP	S	6,606	16.11	n/a	n/a	264.24	4.0
PRIMECAP MGMT	084	ITMN	B	10,000	10.88	n/a	n/a	400.00	4.0
SCOPUS FUND	041	JCP	B	25,000	36.73	n/a	19-Apr	1,000.00	4.0
HIGHBRIDGE CAP	041	LYB	S	4,000	45.98	n/a	n/a	120.00	3.0
NEUBERGER BERMAN	036	MCRS	B	29,700	57.29	n/a	n/a	1,188.00	4.0
CRAMER ROSENTHAL	070	PEP	B	16,000	66.25	n/a	n/a	640.00	4.0
COLUMBUS CIRCLE	036	PLXS	B	1,465	33.32	n/a	n/a	58.60	4.0
PRIMECAP MGMT	084	QGEN	B	10,000	16.54	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VERITION	028	SBUX	B	10,000	57.56	n/a	27-Apr	300.00	3.0
PRIMECAP MGMT	084	SGEN	B	5,000	19.84	n/a	n/a	200.00	4.0
SIMMONS VENTURES	041	SKS	SS	10,000	11.13	n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	SPN	S	10,000	26.15	n/a	n/a	300.00	3.0
UNITED STATES PENSION	085	SPY	B	91,600	140.59	n/a	n/a	2,748.00	3.0
COLUMBUS CIRCLE	036	SSYS	B	2,418	52.30	n/a	n/a	96.72	4.0
MELLON/BANK OF NEW YORK	046	STT	S	168,800	46.39	n/a	17-Apr	6,752.00	4.0
DEVENNY CAP LLC	044	SUP	B	2,862	18.11	n/a	18-Apr	85.86	3.0
LONG POND	029	WY	B	110,000	20.79	n/a	27-Apr	4,400.00	4.0
WATERFRONT CAP	028	WY	S	43,300	20.83	n/a	27-Apr	1,732.00	4.0
HIGHBRIDGE CAP	041	XLE	SS	14,500	70.60	n/a	n/a	290.00	2.0
HIGHBRIDGE CAP	041	X	SS	6,000	28.15	n/a	n/a	180.00	3.0
TOTAL (Trade Date) :								51,992.57	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/26	APEX CAPITAL MGMT. (APEXJPM)	261	DWA	S	2,600	17.84	n/a	n/a	104.00 4.0
AO,	04/26	APEX CAPITAL MGMT. (APEXGS)	261	DWA	S	2,600	17.84	n/a	n/a	104.00 4.0
AO,CXL	04/25	GALT INVESTMENT (GALTFIDO)	041	SAH	S	12,500	17.01	n/a	n/a	625.00 5.0
AO,CRT	04/25	GALT INVESTMENT (GALTFIDO)	041	SAH	S	12,500	17.01	n/a	n/a	500.00 4.0
AO,CXL	04/25	GALT INVESTMENT (GALTGS)	041	SAH	S	12,500	17.01	n/a	n/a	625.00 5.0
AO,CRT	04/25	GALT INVESTMENT (GALTGS)	041	SAH	S	12,500	17.01	n/a	n/a	500.00 4.0
AO,	04/26	APEX CAPITAL MGMT. (APEXJPM)	261	SPLK	B	1,400	34.66	n/a	n/a	56.00 4.0
AO,CXL	04/26	APEX CAPITAL MGMT. (APEXMORGAN)	261	SPLK	B	1,400	34.66	n/a	n/a	56.00 4.0
CRT	04/27	HIGHBRIDGE CAP (HIBCCSFB)	041	XLE	SS	14,500	70.60	n/a	n/a	290.00 2.0

TOTAL (AO, CXL, CRT) :	40.00
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TOTAL (Trade Date):	51,992.57
TOTAL (AO, CXL, CRT):	40.00

TOTAL (RUN DATE) / NFS:	52,032.57
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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