



Daily Compliance Activity Report

Trade Date: 01/17/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	035	ACC	B	4,240	41.02	n/a	n/a	152.64	3.6
THE JAY GOLDMAN	028	ANF	SS	20,000	45.84	n/a	9-Jan	800.00	4.0
FRED ALGER MGMT	035	APKT	B	96,765	27.51	n/a	n/a	3,483.54	3.6
FRED ALGER MGMT	035	APKT	S	21,050	27.22	n/a	n/a	757.80	3.6
FRED ALGER MGMT	035	A	B	9,370	40.26	n/a	n/a	337.32	3.6
SIMMONS VENTURES	041	BID	SS	5,000	32.08	n/a	n/a	200.00	4.0
MOORE CAPITAL	041	BRCD	B	50,000	5.56	n/a	n/a	1,500.00	3.0
MILLRACE FUND LP	028	BWA	SS	7,000	74.00	n/a	6-Jan	280.00	4.0
SAGE ASSET MGMT	025	BZ	B	72,600	7.80	n/a	n/a	2,904.00	4.0
FRED ALGER MGMT	035	CAR	B	22,835	12.69	n/a	n/a	822.06	3.6
DAVIDSON INV ADV	035	CCL	B	40,500	29.66	n/a	n/a	1,620.00	4.0
CAXTON PART	040	CFX	B	25,000	32.96	n/a	n/a	875.00	3.5
FRED ALGER MGMT	035	CI	S	38,455	47.13	n/a	n/a	1,384.38	3.6
FRED ALGER MGMT	035	COH	S	9,440	62.55	n/a	9-Jan	339.84	3.6
FRED ALGER MGMT	035	CVS	B	28,855	42.51	n/a	n/a	1,038.78	3.6

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	DAL	B	300	8.77	n/a	n/a	30.00	10.0
GOLD SACHS SPECIAL SIT	030	DAN	S	70,400	14.75	n/a	13-Jan	3,520.00	5.0
MORTAR ROCK	033	DAN	S	37,500	14.34	n/a	13-Jan	1,500.00	4.0
CATAPULT	040	DD	SS	5,000	48.70	n/a	6-Jan	200.00	4.0
BRONSON POINT	036	DHR	S	50,000	50.92	n/a	n/a	1,500.00	3.0
OHIO PERS	047	DRQ	S	8,379	64.26	n/a	n/a	251.37	3.0
LATEFF MGMT	035	DVN	B	900	63.51	n/a	6-Jan	90.00	10.0
FRED ALGER MGMT	035	EBAY	S	60,790	30.71	n/a	n/a	2,188.44	3.6
LATEFF MGMT	035	ENR	S	300	77.32	n/a	9-Jan	45.00	15.0
LATEFF MGMT	035	FDX	S	500	90.13	n/a	n/a	90.00	22.5
LATEFF MGMT	035	FL	S	200	24.67	n/a	9-Jan	30.00	15.0
ARSENAL ASSET MANAGEMENT	028	FMC	S	5,000	90.25	n/a	8-Dec	200.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	FRED	SS	10,000	14.23	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	GM	SS	40,000	24.20	n/a	6-Jan	2,000.00	5.0
FIRST NY SEC/CHRIS	041	GM	SS	50,000	24.20	n/a	6-Jan	2,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	GM	SS	20,000	24.25	n/a	6-Jan	0.00	0.0
DAVIDSON INV ADV	035	GOOG	S	3,391	628.56	n/a	n/a	135.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	GS	S	95,000	98.57	n/a	6-Jan	4,750.00	5.0
BRONSON POINT	036	HON	S	50,000	57.19	n/a	9-Jan	1,500.00	3.0
LATEFF MGMT	035	HON	S	150	57.13	n/a	9-Jan	30.00	20.0
LATEFF MGMT	035	HPQ	B	1,450	26.54	n/a	n/a	167.50	13.3
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	31.69	n/a	27-Oct	2,500.00	5.0
DEVENNY CAP LLC	044	IP	B	20,000	31.68	n/a	27-Oct	600.00	3.0
ELM RIDGE ADVISORS	044	IP	S	295,642	31.77	n/a	27-Oct	11,825.68	4.0
ROSEDALE CAPITAL	046	KEG	S	40,000	14.49	n/a	6-Jan	1,600.00	4.0
NEWLAND CAPITAL MGT	025	KGC	S	15,000	11.66	n/a	n/a	600.00	4.0
COBALT	041	LEA	B	100,000	42.01	n/a	6-Jan	4,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	30,000	8.98	n/a	7-Nov	1,500.00	5.0
FRED ALGER MGMT	035	LRCX	B	5,745	39.54	n/a	n/a	206.82	3.6
SCOPUS FUND	041	LULU	B	15,000	62.12	n/a	10-Jan	600.00	4.0
LATEFF MGMT	035	MSFT	S	450	28.31	n/a	n/a	45.00	10.0
TRUSTCO/SUNTRUST	040	MSFT	S	65,984	28.58	n/a	n/a	2,309.48	3.5
ROYCE TRADING	031	MTX	B	5,523	61.76	n/a	n/a	276.15	5.0
CATAPULT	040	MWV	SS	10,000	31.66	n/a	26-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	MWV	SS	4,190	31.48	n/a	26-Oct	209.50	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	10,810	31.44	n/a	26-Oct	540.50	5.0
SONTERRA CAP	041	NBR	S	50,000	17.28	n/a	n/a	2,000.00	4.0
DAVIDSON INV ADV	035	NKE	S	13,490	99.10	n/a	9-Jan	539.60	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	5.51	n/a	n/a	800.00	4.0
GEOSPHERE CAPITAL MGMT	084	NSC	SS	33,000	76.25	n/a	n/a	990.00	3.0
LATEFF MGMT	035	NUE	S	500	41.88	n/a	n/a	50.00	10.0
LATEFF MGMT	035	NYB	S	150	13.19	n/a	5-Jan	30.00	20.0
FRED ALGER MGMT	035	OPEN	S	68,500	47.26	n/a	n/a	2,466.00	3.6
LATEFF MGMT	035	PFE	S	300	21.99	n/a	n/a	45.00	15.0
STANDARD PACIFIC CAPITAL	084	PHM	B	300,000	7.49	n/a	n/a	12,000.00	4.0
BNP PARIBAS SEC	040	PLCE	SS	15,000	50.11	n/a	5-Jan	750.00	5.0
DENVER INST. ADV	046	PLCE	B	57,006	50.10	n/a	5-Jan	2,280.24	4.0
FRED ALGER MGMT	035	PM	S	5,245	76.93	n/a	n/a	188.82	3.6
CATAPULT	040	PPG	SS	5,000	88.03	n/a	14-Dec	200.00	4.0
ASCEND PARTNERS	033	PVH	B	54,794	75.02	n/a	12-Jan	1,643.82	3.0
MTB INV ADV	034	QLTY	S	12,389	12.03	n/a	n/a	498.45	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	035	RCL	S	3,375	27.48	n/a	n/a	121.50	3.6
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	66.05	n/a	5-Jan	750.00	5.0
NOMURA CAPITAL	029	RRD	B	21,600	12.16	n/a	n/a	648.00	3.0
COHE & STEERS	041	RYN	S	749	46.02	n/a	26-Oct	29.96	4.0
NEWLAND CAPITAL MGT	025	SEE	S	25,000	19.00	n/a	2-Jun	1,000.00	4.0
LATEFF MGMT	035	SYX	S	300	29.97	n/a	n/a	30.00	10.0
MTB INV ADV	034	TEN	S	7,200	30.21	n/a	n/a	288.00	4.0
FRED ALGER MGMT	035	THRX	B	14,310	18.26	n/a	n/a	515.16	3.6
DENVER INST. ADV	046	TJX	S	157,033	66.01	n/a	9-Jan	6,281.32	4.0
LATEFF MGMT	035	UAL	B	200	18.38	n/a	n/a	30.00	15.0
LATEFF MGMT	035	WMT	S	500	59.78	n/a	16-Nov	50.00	10.0
COLUMBUS CIRCLE	036	WPI	S	3,190	57.95	n/a	17-Jan	127.60	4.0
CSFB GLOBAL PROPRIETARY	041	WY	S	45,000	20.70	n/a	28-Oct	2,250.00	5.0
TOTAL (Trade Date) :							101,439.91		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/13	COLUMBUS CIRCLE (COLC3050)	036	BAS	S	8,011	18.10	n/a	n/a	320.44	4.0
AO,	01/10	MERRILL ASSET/BLACKROCK (MERRMF_VO)	297	SPN	S	6,800	30.78	n/a	n/a	272.00	4.0
AO,	01/10	MERRILL ASSET/BLACKROCK (MERRMF_VO)	297	SPN	S	1,431	30.63	n/a	n/a	57.24	4.0
AO,CXL	01/10	MERRILL ASSET/BLACKROCK (MERR700)	297	SPN	S	6,800	30.78	n/a	n/a	272.00	4.0
AO,CXL	01/10	MERRILL ASSET/BLACKROCK (MERR700)	297	SPN	S	1,431	30.63	n/a	n/a	57.24	4.0
TOTAL (AO, CXL, CRT) :										320.44	

TOTAL (Trade Date) :	101,439.91
TOTAL (AO, CXL, CRT) :	320.44

TOTAL (RUN DATE) / NFS:	101,760.35
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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