



Daily Compliance Activity Report

Trade Date: 04/19/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	ABD	B	10,000	10.94	n/a	n/a	400.00	4.0
PRIMECAP MGMT	084	ABT	B	4,600	59.40	n/a	n/a	184.00	4.0
LAKEWOOD CAPITAL MGMT	085	ANF	S	10,000	48.38	n/a	16-Feb	300.00	3.0
TUDOR INVESTORS	028	ANR	S	5,000	16.91	n/a	n/a	150.00	3.0
LATEFF MGMT	035	AREPRE	B	1,600	25.14	n/a	n/a	175.00	12.5
DEVENNY CAP LLC	044	AXL	B	25,000	10.75	n/a	18-Apr	750.00	3.0
PATTEN & PATTEN	025	BAC	B	200	8.82	n/a	4-Apr	10.00	5.0
PATTEN & PATTEN	025	BBY	S	2,300	22.07	n/a	n/a	115.00	5.0
HIGHFIELDS CAP MGMT	030	CCE	B	215,000	28.63	n/a	n/a	6,450.00	3.0
MERRILL ASSET/BLACKROCK	297	CFR	S	22,800	56.28	n/a	n/a	912.00	4.0
SCOPUS FUND	041	COH	B	50,000	75.39	n/a	19-Apr	2,000.00	4.0
SUN AMERICA ASSET MGMT	030	CY	S	2,300	16.25	n/a	n/a	92.00	4.0
BASSWOOD PARTNERS	267	DAN	B	39,700	14.24	n/a	18-Apr	1,588.00	4.0
KACELA CAPITAL	034	DHR	SS	25,000	53.34	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BERMAN CAPITAL MGMT	046	DLTR	SS	2,000	98.08	n/a	13-Mar	60.00	3.0
BASSWOOD PARTNERS	267	DOV	B	11,500	60.17	n/a	n/a	460.00	4.0
PATTEN & PATTEN	025	DOW	S	800	34.76	n/a	21-Mar	40.00	5.0
BASIX	033	EAT	S	14,000	27.83	n/a	17-Apr	420.00	3.0
COLUMBUS CIRCLE	036	EDMC	S	2,877	12.05	n/a	n/a	115.08	4.0
PATTEN & PATTEN	025	EPP	S	1,500	43.52	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	ETN	B	1,500	47.04	n/a	18-Apr	75.00	5.0
CASTLEROCK	040	F	SS	221,552	11.71	n/a	18-Apr	8,862.08	4.0
OZ MGMT	040	F	SS	100,000	11.73	n/a	18-Apr	3,000.00	3.0
RIDGECREST INV MGMT LLC	028	F	S	25,000	11.69	n/a	18-Apr	1,000.00	4.0
SIMMONS VENTURES	041	GES	B	3,000	29.45	n/a	19-Apr	120.00	4.0
TUDOR INVESTORS	028	GMT	B	5,000	42.20	n/a	n/a	150.00	3.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	24.14	n/a	18-Apr	2,500.00	5.0
HARVEST MGMT (JMP)	029	GM	B	10,000	24.10	n/a	18-Apr	400.00	4.0
OZ MGMT	040	GM	B	25,000	24.07	n/a	18-Apr	750.00	3.0
OZ MGMT	040	GM	SS	50,000	24.54	n/a	18-Apr	1,500.00	3.0
SCOPUS FUND	041	GM	B	50,000	24.74	n/a	18-Apr	2,000.00	4.0
DEVENNY CAP LLC	044	GNTX	B	25,000	23.05	n/a	1-Feb	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	HBI	SS	8,249	27.01	n/a	19-Apr	329.96	4.0
EGS ASSOCIATES LP	091	HBI	B	7,500	27.05	n/a	19-Apr	450.00	6.0
PATTEN & PATTEN	025	HD	S	300	51.60	n/a	21-Feb	15.00	5.0
PATTEN & PATTEN	025	INTC	B	2,000	27.71	n/a	n/a	100.00	5.0
BARROW HANLEY MEWHINNEY	031	ITT	B	17,100	21.79	n/a	n/a	598.50	3.5
MFP INVESTORS	085	JNS	B	100,000	8.04	n/a	n/a	4,000.00	4.0
SIMMONS VENTURES	041	JNY	B	5,000	12.75	n/a	19-Apr	200.00	4.0
MILLRACE FUND LP	028	KSS	B	14,000	50.79	n/a	19-Apr	560.00	4.0
KACELA CAPITAL	034	KSU	S	31,250	71.72	n/a	n/a	1,250.00	4.0
PATTEN & PATTEN	025	MS	B	400	17.87	n/a	19-Apr	20.00	5.0
SOROS	036	MS	SS	500,000	18.33	n/a	19-Apr	20,000.00	4.0
BASSWOOD PARTNERS	267	MYL	B	15,600	21.88	n/a	18-Apr	624.00	4.0
BNP PARIBAS SEC	040	NAV	B	10,000	35.99	n/a	18-Apr	500.00	5.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	3.86	n/a	n/a	800.00	4.0
PATTEN & PATTEN	025	NSC	B	700	68.88	n/a	n/a	35.00	5.0
THREE G	285	NWL	S	80,000	17.36	n/a	n/a	2,400.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	NYB	B	12,100	13.09	n/a	18-Apr	423.50	3.5
CATAPULT	040	OMC	B	10,586	49.49	n/a	n/a	423.44	4.0
LAKEWOOD CAPITAL MGMT	085	ORCL	B	30,000	28.85	n/a	n/a	900.00	3.0
PATTEN & PATTEN	025	PG	S	300	66.67	n/a	2-Apr	15.00	5.0
BNP PARIBAS SEC	040	PKG	B	10,000	29.01	n/a	18-Apr	500.00	5.0
BARROW HANLEY MEWHINNEY	031	PNC	S	2,500	64.61	n/a	n/a	87.50	3.5
SANDLER CAPITAL	028	RRC	B	100,000	57.64	n/a	1-Mar	5,000.00	5.0
BALLAST CAP	040	SPLS	B	10,000	15.95	n/a	n/a	500.00	5.0
PERRY PARTNERS	085	SPY	B	50,000	138.45	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	025	SWN	B	300	28.41	n/a	17-Apr	15.00	5.0
WEINTRAUB CAPITAL MGT.	269	TGT	B	25,000	57.22	n/a	9-Apr	1,000.00	4.0
KADE CAPITAL LLC	028	TKR	B	10,000	50.95	n/a	n/a	500.00	5.0
SOROS	036	TKR	B	25,000	50.25	n/a	n/a	1,000.00	4.0
ST OF MICHIAN	047	TKR	S	160,000	50.71	n/a	n/a	4,800.00	3.0
THREE G	285	TYC	S	18,000	54.82	n/a	28-Mar	540.00	3.0
KACELA CAPITAL	034	UNP	SS	12,000	107.63	n/a	n/a	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	URI	B	2,800	45.09	n/a	17-Apr	84.00	3.0
TUDOR INVESTORS	028	WLT	B	3,000	66.09	n/a	n/a	90.00	3.0
BNP PARIBAS SEC	040	WRC	B	20,000	52.78	n/a	19-Apr	1,000.00	5.0
PERRY PARTNERS	085	XLP	B	80,000	34.04	n/a	n/a	4,000.00	5.0
BARROW HANLEY MEWHINNEY	031	XLS	B	26,700	11.58	n/a	n/a	934.50	3.5
BARROW HANLEY MEWHINNEY	031	XYL	B	6,500	27.71	n/a	n/a	227.50	3.5
TOTAL (Trade Date) :								93,306.06	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/18	GLENHILL CAPITAL (GLEHGOLDMA)	036	KSS	B	100,000	51.10	n/a	19-Apr	3000.00 3.0
AO,CRT	04/18	GLENHILL CAPITAL (GLEHGOLDMA)	036	KSS	B	100,000	51.10	n/a	19-Apr	5000.00 5.0
AO,CXL	04/18	PALESTRA (PALEGS)	040	SWK	B	5,100	78.59	n/a	n/a	255.00 5.0
AO,CRT	04/18	PALESTRA (PALEGS)	040	SWK	B	5,100	78.59	n/a	n/a	153.00 3.0
TOTAL (AO, CXL, CRT) :										1,898.00

TOTAL (Trade Date) :	93,306.06
TOTAL (AO, CXL, CRT) :	1,898.00

TOTAL (RUN DATE) / NFS :	95,204.06
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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