



Daily Compliance Activity Report

Trade Date: 05/15/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	B	547	560.83	n/a	n/a	27.35	5.0
MILLRACE FUND LP	028	ABG	B	2,000	25.86	n/a	27-Apr	80.00	4.0
EDGEWOOD	085	AGN	B	2,671	91.36	n/a	14-May	133.55	5.0
BRONSON POINT	036	AIG	S	50,000	31.27	n/a	n/a	1,500.00	3.0
EDGEWOOD	085	AMT	B	5,561	67.65	n/a	n/a	278.05	5.0
EDGEWOOD	085	AMZN	B	2,222	229.39	n/a	n/a	111.10	5.0
CADIAN CAPITAL	041	ANF	S	120,000	45.94	n/a	30-Apr	3,600.00	3.0
BASSWOOD PARTNERS	267	AXP	SS	8,176	57.93	n/a	15-May	327.04	4.0
ARSENAL ASSET MANAGEMENT	028	BBBY	B	10,000	71.63	n/a	n/a	300.00	3.0
RBC CAPITAL MARKETS	040	BBY	SS	10,000	19.17	n/a	n/a	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	BLL	B	15,000	40.60	n/a	n/a	450.00	3.0
KINGDON ASSET MGMT	041	CAT	B	100,000	94.02	n/a	26-Apr	4,000.00	4.0
EDGEWOOD	085	CELG	B	7,540	71.44	n/a	n/a	377.00	5.0
STATE TEACHERS RET SYS	047	CMA	S	17,529	30.56	n/a	n/a	876.45	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EDGEWOOD	085	CME	B	1,940	259.82	n/a	28-Apr	97.00	5.0
BASSWOOD PARTNERS	267	COF	B	18,600	51.51	n/a	15-May	744.00	4.0
EDGEWOOD	085	COH	B	5,756	67.40	n/a	9-May	287.80	5.0
ROARING BLUE LION MGMT	031	CROX	B	26,000	17.14	n/a	n/a	1,040.00	4.0
EDGEWOOD	085	CTSH	B	8,699	61.49	n/a	n/a	434.95	5.0
STATE TEACHERS RET SYS	047	CUBE	B	15,000	12.02	n/a	n/a	750.00	5.0
CRAMER ROSENTHAL	070	CVG	B	11,200	13.47	n/a	n/a	448.00	4.0
NEUBERGER BERMAN	036	CYBX	B	12,900	39.58	n/a	n/a	516.00	4.0
BALYASNY ASSET MGMT	044	DLPH	B	15,000	27.75	n/a	n/a	750.00	5.0
EDGEWOOD	085	ECL	B	4,331	64.34	n/a	9-May	216.55	5.0
EGS ASSOCIATES LP	091	FINL	B	3,000	21.09	n/a	2-Apr	150.00	5.0
BALTHAZAR CAPITAL PARTNERS LTD	085	FL	B	10,000	28.88	n/a	8-May	600.00	6.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	15.19	n/a	11-May	400.00	4.0
BALLAST CAP	040	FWLT	S	11,500	20.07	n/a	n/a	575.00	5.0
SCOPUS FUND	041	GM	B	25,000	21.57	n/a	4-May	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	GOOG	B	727	612.43	n/a	n/a	36.35	5.0
ARSENAL ASSET MANAGEMENT	028	HON	S	10,000	58.00	n/a	3-May	300.00	3.0
EDGEWOOD	085	ILMN	B	8,343	45.02	n/a	n/a	417.15	5.0
BNP PARIBAS SEC	040	IP	B	20,000	30.95	n/a	27-Apr	1,000.00	5.0
EDGEWOOD	085	ISRG	B	485	555.16	n/a	n/a	24.25	5.0
BALTHAZAR CAPITAL PARTNERS LTD	085	JCP	B	10,000	33.03	n/a	19-Apr	600.00	6.0
BARROW HANLEY MEWHINNEY	031	JPM	B	437,500	36.62	n/a	11-May	15,312.50	3.5
BNP PARIBAS SEC	040	JWN	B	20,000	50.45	n/a	11-May	1,000.00	5.0
EGS ASSOCIATES LP	091	KSS	B	3,000	47.15	n/a	11-May	150.00	5.0
ARSENAL ASSET MANAGEMENT	028	LEN	S	20,000	29.55	n/a	n/a	600.00	3.0
EDGEWOOD	085	MJN	B	3,417	83.76	n/a	n/a	170.85	5.0
HALCYON LLC	041	MMM	B	6,000	85.69	n/a	1-May	180.00	3.0
PZENA INV ADV	044	MWW	B	6,500	8.68	n/a	n/a	227.50	3.5
METROPOLITAN CAPITAL	044	M	B	9,900	37.07	n/a	10-May	495.00	5.0
EDGEWOOD	085	NOV	B	4,996	66.62	n/a	n/a	249.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	NWL	B	40,000	18.09	n/a	n/a	1,200.00	3.0
SENATOR INVESTMENT GROUP	036	NWL	B	270,000	18.13	n/a	n/a	8,100.00	3.0
CATAPULT	040	OAS	SS	25,000	25.76	n/a	n/a	1,000.00	4.0
EDGEWOOD	085	ORCL	B	14,023	27.40	n/a	n/a	701.15	5.0
YORK CAPITAL	036	ORCL	SS	200,000	27.14	n/a	n/a	6,000.00	3.0
WEINTRAUB CAPITAL MGT.	269	PHM	B	150,000	9.84	n/a	n/a	6,000.00	4.0
COLUMBUS CIRCLE	036	PLXS	S	890	29.59	n/a	n/a	35.60	4.0
TUDOR INVESTORS	028	PPG	B	3,000	103.12	n/a	9-Apr	90.00	3.0
EDGEWOOD	085	PWR	B	12,953	22.90	n/a	n/a	647.65	5.0
EDGEWOOD	085	PX	B	2,267	110.73	n/a	3-May	113.35	5.0
EDGEWOOD	085	QCOM	B	8,585	61.85	n/a	n/a	429.25	5.0
SIMMONS VENTURES	041	RNDY	B	15,000	10.09	n/a	n/a	600.00	4.0
HALCYON LLC	041	SON	B	10,000	32.17	n/a	n/a	300.00	3.0
BASSWOOD PARTNERS	267	STI	B	41,800	22.86	n/a	n/a	1,672.00	4.0
CASTLE ARK	031	SWN	B	120,301	28.65	n/a	9-May	6,015.05	5.0
HIGHFIELDS CAP MGMT	030	TGT	S	202,400	55.35	n/a	3-May	6,072.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EDGEWOOD	085	TROW	B	6,404	59.81	n/a	n/a	320.20	5.0
TUDOR INVESTORS	028	UNP	SS	2,000	113.56	n/a	n/a	60.00	3.0
CAPITAL RESEARCH GROUP		070	UPL	B	158,800	19.05	n/a	9-May	5,558.00 3.5
KINGDON ASSET MGMT	041	URI	S	100,000	39.11	n/a	17-Apr	4,000.00	4.0
HALCYON LLC	041	UTX	B	9,000	76.19	n/a	n/a	270.00	3.0
EDGEWOOD	085	VIAB	B	6,295	47.24	n/a	n/a	314.75	5.0
EDGEWOOD	085	V	B	4,926	117.48	n/a	2-May	246.30	5.0
TUDOR INVESTORS	028	WCC	SS	2,000	60.15	n/a	n/a	60.00	3.0
ARSENAL ASSET MANAGEMENT	028	WLK	SS	15,000	56.01	n/a	n/a	450.00	3.0
STATE TEACHERS RET SYS	047	WRE	B	10,000	29.50	n/a	n/a	500.00	5.0
ARSENAL ASSET MANAGEMENT	028	WY	B	25,000	19.45	n/a	4-May	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	19.45	n/a	4-May	2,500.00	5.0
KINGDON ASSET MGMT	041	XOM	C	150,000	82.42	n/a	n/a	6,000.00	4.0
EDGEWOOD	085	YUM	B	5,119	70.63	n/a	20-Apr	255.95	5.0
BASSWOOD PARTNERS	267	ZION	B	18,300	19.11	n/a	n/a	732.00	4.0

TOTAL (Trade Date):

102,226.49

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/14	DECADE CAPITAL PARTNERS (DECADCD_DB)	040	ASBC	SS	38,400	12.94	n/a	n/a	1536.00 4.0
AO,CXL	05/14	DEVENNY CAP LLC/MILLENIU (DEVEDB)	044	ASBC	SS	38,400	12.94	n/a	n/a	1536.00 4.0
AO,CRT	05/14	DECADE CAPITAL PARTNERS (DECADCD_DB)	040	KEY	B	64,500	7.70	n/a	n/a	2580.00 4.0
AO,CXL	05/14	DEVENNY CAP LLC/MILLENIU (DEVEDB)	044	KEY	B	64,500	7.70	n/a	n/a	2580.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	102,226.49
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	102,226.49
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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