



Daily Compliance Activity Report

Trade Date: 04/30/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	ABD	SS	5,000	10.63	n/a	n/a	150.00	3.0
BRONSON POINT	036	AIG	B	25,000	33.98	n/a	n/a	750.00	3.0
ADAGE CAPITAL MGMT	030	ARO	B	150,000	22.24	n/a	n/a	4,500.00	3.0
HIGHBRIDGE CAP	041	AUY	S	11,000	14.54	n/a	n/a	330.00	3.0
MOORE CAPITAL	041	AXL	SS	20,000	9.47	n/a	30-Apr	600.00	3.0
BROADARCH CAP/OLD NEWC	070	BASFY	SS	1,000	82.35	n/a	n/a	40.00	4.0
LATEFF MGMT	035	BDNPRE	B	625	25.00	n/a	n/a	62.50	10.0
DAVIDSON INV ADV	035	BK	S	250,781	23.60	n/a	18-Apr	10,031.24	4.0
HIGHBRIDGE CAP	041	BTU	B	23,000	31.18	n/a	n/a	690.00	3.0
MILLRACE FUND LP	028	BWA	SS	7,000	78.68	n/a	27-Apr	280.00	4.0
HIGHBRIDGE CAP	041	CAT	S	10,500	102.74	n/a	26-Apr	315.00	3.0
LATEFF MGMT	035	CBL	S	350	18.56	n/a	n/a	35.00	10.0
HIGHBRIDGE CAP	041	CCJ	B	51,000	22.03	n/a	n/a	1,530.00	3.0
BROADARCH CAP/OLD NEWC	070	CI	SS	2,200	46.32	n/a	n/a	88.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	CTB	B	250	14.86	n/a	n/a	30.00	12.0
LEVIN CAPITAL STRATEGIES	041	CVA	B	11,820	16.00	n/a	n/a	354.60	3.0
HIGHBRIDGE CAP	041	CX	B	14,000	7.20	n/a	n/a	280.00	2.0
COBALT	041	C	S	300,000	32.85	n/a	17-Apr	9,000.00	3.0
PATTEN & PATTEN	025	DDD	B	200	29.49	n/a	n/a	10.00	5.0
RBC CAPITAL MARKETS	040	DG	B	10,000	47.70	n/a	23-Mar	400.00	4.0
BROADARCH CAP/OLD NEWC	070	DOV	SS	1,000	62.53	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	EMN	S	2,000	53.91	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ESRX	S	4,000	55.62	n/a	n/a	160.00	4.0
RBC CAPITAL MARKETS	040	FL	B	10,000	30.56	n/a	7-Mar	400.00	4.0
BROADARCH CAP/OLD NEWC	070	FUL	S	6,700	32.80	n/a	n/a	268.00	4.0
OZ MGMT	040	F	C	96,782	11.29	n/a	30-Apr	2,903.46	3.0
HIGHBRIDGE CAP	041	GGC	B	4,500	35.19	n/a	n/a	135.00	3.0
LATEFF MGMT	035	GLW	S	450	14.32	n/a	25-Apr	45.00	10.0
OZ MGMT	040	GM	C	150,000	22.87	n/a	30-Apr	4,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	GNC	B	10,000	38.59	n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	GT	S	69,000	10.85	n/a	n/a	2,070.00	3.0
HIGHBRIDGE CAP	041	GWV	SS	2,500	209.22	n/a	19-Apr	75.00	3.0
LEVIN CAPITAL STRATEGIES	041	GXP	S	30,000	20.37	n/a	n/a	900.00	3.0
PATTEN & PATTEN	025	HAR	B	125	51.20	n/a	3-Feb	6.25	5.0
BROADARCH CAP/OLD NEWC	070	HCA	B	1,500	27.39	n/a	n/a	60.00	4.0
LATEFF MGMT	035	HD	S	150	51.70	n/a	21-Feb	37.50	25.0
RBC CAPITAL MARKETS	040	HD	S	24,200	51.75	n/a	21-Feb	968.00	4.0
HIGHBRIDGE CAP	041	HFC	B	5,000	31.02	n/a	n/a	150.00	3.0
LATEFF MGMT	035	HPQ	B	125	24.77	n/a	n/a	31.25	25.0
PATTEN & PATTEN	025	INTC	B	225	28.40	n/a	n/a	11.25	5.0
RAINIER INV MGMT	035	ITC	S	30,480	77.43	n/a	n/a	1,219.20	4.0
PATTEN & PATTEN	025	IXN	B	200	69.31	n/a	n/a	10.00	5.0
RIDGECREST INV MGMT LLC	028	JCI	B	5,000	31.92	n/a	27-Apr	200.00	4.0
CYPRESS CAP MGMT LLC	040	JCP	S	17,900	36.07	n/a	19-Apr	716.00	4.0
SANDLER CAPITAL	028	JCP	C	90,000	36.40	n/a	19-Apr	4,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	JNY	B	5,000	11.19	n/a	26-Apr	200.00	4.0
RBC CAPITAL MARKETS	040	KMB	B	3,000	78.21	n/a	23-Apr	120.00	4.0
IRIDIAN ASSET MGMT.	036	KO	S	3,440	76.17	n/a	25-Apr	172.00	5.0
HIGHBRIDGE CAP	041	KSU	S	4,000	76.93	n/a	n/a	120.00	3.0
OZ MGMT	040	LEA	SS	86,712	41.42	n/a	3-Feb	2,601.36	3.0
BALYASNY ASSET MGMT	044	LTD	SS	25,000	49.95	n/a	n/a	1,250.00	5.0
HIGHBRIDGE CAP	041	LYB	S	12,000	42.02	n/a	n/a	360.00	3.0
PATTEN & PATTEN	025	MDRX	B	350	10.90	n/a	n/a	17.50	5.0
MOORE CAPITAL	041	MGM	SS	15,000	13.41	n/a	13-Jun	450.00	3.0
BROADARCH CAP/OLD NEWC	070	MMM	SS	2,000	89.19	n/a	30-Apr	80.00	4.0
HIGHBRIDGE CAP	041	MON	S	2,000	76.92	n/a	5-Apr	60.00	3.0
ARMATURE CAPITAL	041	MWV	B	105,000	31.72	n/a	25-Apr	4,200.00	4.0
ARSENAL ASSET MANAGEMENT	028	MWV	B	15,000	31.68	n/a	25-Apr	450.00	3.0
STATE TEACHERS RET SYS	047	NEM	B	35,000	47.65	n/a	n/a	1,750.00	5.0
HIGHBRIDGE CAP	041	NOV	SS	3,500	75.32	n/a	n/a	105.00	3.0
BROADARCH CAP/OLD NEWC	070	NTAP	S	2,000	38.84	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PALESTRA	040	NWL	B	25,000	18.16	n/a	n/a	750.00	3.0
HIGHBRIDGE CAP	041	OC	B	7,500	34.85	n/a	n/a	225.00	3.0
WEISS PECK – ROBECO INV		040	PAG	S	30,230	26.47	n/a	26-Apr	1,511.50 5.0
THE JAY GOLDMAN	028	PFCB	S	49,000	40.11	n/a	30-Apr	1,960.00	4.0
BROADARCH CAP/OLD NEWC	070	PFE	S	5,000	22.86	n/a	n/a	200.00	4.0
HIGHFIELDS CAP MGMT	030	PNR	SS	126,700	43.48	n/a	n/a	3,801.00	3.0
PATTEN & PATTEN	025	QCOM	B	100	63.51	n/a	n/a	5.00	5.0
BROADARCH CAP/OLD NEWC	070	QQQ	SS	2,000	66.80	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	RKT	S	1,500	62.27	n/a	26-Apr	60.00	4.0
BAIRD INVESTMENT	047	SBUX	B	5,785	57.54	n/a	27-Apr	289.25	5.0
CAERUS GLOBAL	041	SFLY	S	28,000	31.47	n/a	n/a	1,120.00	4.0
HIGHBRIDGE CAP	041	SHW	B	1,700	120.43	n/a	19-Apr	51.00	3.0
UNITED STATES PENSION	085	SPY	B	342,600	139.71	n/a	n/a	10,278.00	3.0
IRIDIAN ASSET MGMT.	036	TEN	B	70,740	30.92	n/a	n/a	3,537.00	5.0
LATEFF MGMT	035	TSN	B	300	18.23	n/a	n/a	45.00	15.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	TWI	S	40,000	27.85	n/a	n/a	1,600.00	4.0
HIGHBRIDGE CAP	041	UAL	SS	12,000	21.94	n/a	n/a	360.00	3.0
HIGHBRIDGE CAP	041	UPS	SS	7,000	77.99	n/a	n/a	210.00	3.0
LEVIN CAPITAL STRATEGIES	041	VC	S	5,000	50.60	n/a	n/a	150.00	3.0
APEX CAPITAL MGMT.	261	VLO	S	50,000	25.30	n/a	n/a	2,000.00	4.0
HIGHBRIDGE CAP	041	VLO	S	4,000	25.10	n/a	n/a	120.00	3.0
HIGHBRIDGE CAP	041	WBC	B	16,000	62.89	n/a	26-Apr	480.00	3.0
BROADARCH CAP/OLD NEWC	070	WLK	B	1,000	64.00	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	WLK	S	2,000	64.08	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	WLP	SS	1,500	68.27	n/a	n/a	60.00	4.0
LATEFF MGMT	035	WRI	S	225	26.40	n/a	n/a	33.75	15.0
BROADARCH CAP/OLD NEWC	070	WSM	S	1,900	38.99	n/a	n/a	76.00	4.0
RBC CAPITAL MARKETS	040	XHB	B	50,000	21.57	n/a	n/a	2,000.00	4.0
HIGHBRIDGE CAP	041	XME	B	11,000	48.42	n/a	n/a	220.00	2.0
HIGHBRIDGE CAP	041	X	SS	6,000	27.93	n/a	n/a	180.00	3.0

TOTAL (Trade Date):

92,900.61

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/26	PEAK INV LLC (PEAKOAKUST)	084	SWK	B	74,100	73.73	n/a	n/a	2964.00 4.0
AO,CXL	04/26	PEAK INV LLC (PEAKOAKSTS)	084	SWK	B	210,400	73.73	n/a	n/a	8416.00 4.0
AO,CRT	04/26	PEAK INV LLC (PEAKOAKSTS)	084	SWK	B	136,300	73.73	n/a	n/a	5452.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	92,900.61
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	92,900.61
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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