



Daily Compliance Activity Report

Trade Date: 01/09/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAWW	B	14,000	39.49	n/a	n/a	420.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	2,000	18.55	n/a	6-Jan	0.00	0.0
OHIO PERS	047	ARG	S	22,200	78.89	n/a	3-Jan	666.00	3.0
SYSTEMATIC FINANCIAL MGT	035	ASH	B	58,950	59.59	n/a	12-Dec	1,768.50	3.0
KACELA CAPITAL	034	CAKE	S	63,800	29.19	n/a	6-Jan	2,552.00	4.0
CATAPULT	040	CCK	SS	5,000	34.09	n/a	n/a	200.00	4.0
TALPION LLC	040	CECO	S	4,900	8.16	n/a	n/a	147.00	3.0
BALLAST CAP	040	CFN	S	7,000	23.22	n/a	n/a	0.00	0.0
TALPION LLC	040	CODE	S	2,700	8.36	n/a	n/a	81.00	3.0
TALPION LLC	040	CSGS	S	8,416	15.12	n/a	n/a	336.64	4.0
KLEINHEINZ CAP PART	031	DDS	B	30,000	44.93	n/a	n/a	1,500.00	5.0
RBC CAPITAL MARKETS	040	DECK	S	100	85.01	n/a	n/a	4.00	4.0
RBC CAPITAL MARKETS	040	DG	S	5,000	40.65	n/a	5-Dec	200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	EXPR	B	75,000	19.32	n/a	n/a	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	GM	C	25,000	22.93	n/a	6-Jan	1,250.00	5.0
OZ MGMT	040	GM	C	33,432	23.01	n/a	6-Jan	1,002.96	3.0
SENATOR INVESTMENT GROUP	036	GRA	S	45,000	46.09	n/a	n/a	1,350.00	3.0
BALLAST CAP	040	HBI	B	20,000	22.81	n/a	9-Jan	1,000.00	5.0
TALPION LLC	040	HNT	S	10,100	33.18	n/a	n/a	404.00	4.0
MORTAR ROCK	033	INTC	SS	25,000	25.50	n/a	n/a	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	KSS	C	10,000	45.98	n/a	9-Jan	300.00	3.0
TUDOR INVESTORS	028	KSU	SS	2,000	70.49	n/a	n/a	60.00	3.0
CASTLE ARK	031	MON	B	127,710	78.51	n/a	6-Jan	6,385.50	5.0
ARMATURE CAPITAL	041	MWV	SS	45,000	29.43	n/a	26-Oct	1,800.00	4.0
BALLAST CAP	040	MWV	SS	13,700	29.29	n/a	26-Oct	0.00	0.0
CATAPULT	040	MWV	SS	5,000	29.32	n/a	26-Oct	200.00	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	5.21	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	ODFL	S	8,000	38.60	n/a	n/a	240.00	3.0
COLUMBUS CIRCLE	036	PAY	S	5,031	37.03	n/a	n/a	201.24	4.0
RBC CAPITAL MARKETS	040	PENN	SS	5,000	38.55	n/a	n/a	200.00	4.0
METROPOLITAN CAPITAL	044	PLCE	B	6,700	48.26	n/a	5-Jan	335.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Nilsa Vazquez		REE	S	1000	6.2810	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	070	SLB	B	12,710	68.71	n/a	n/a	508.40	4.0
CATAPULT	040	SON	SS	5,000	32.68	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	297	SPN	S	7,816	30.28	n/a	n/a	312.64	4.0
MERRILL ASSET/BLACKROCK	297	SWY	S	36,000	21.59	n/a	n/a	1,440.00	4.0
TUDOR INVESTORS	028	SXC	B	6,900	11.56	n/a	n/a	207.00	3.0
DEVENNY CAP LLC	044	TEN	SS	10,000	31.61	n/a	n/a	300.00	3.0
RBC CAPITAL MARKETS	040	TIF	SS	300	66.94	n/a	n/a	12.00	4.0
TUDOR INVESTORS	028	TKR	S	5,000	41.20	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	UN	B	65,560	33.65	n/a	n/a	2,622.40	4.0
CAISSE DEPOT PLACEMENT Q	295	V	S	22,000	99.66	n/a	5-Jan	1,100.00	5.0
TOTAL (Trade Date) :								33,506.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									33,506.28
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									33,506.28
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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