



Daily Compliance Activity Report

Trade Date: 05/08/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	ACIW	B	790	39.29	n/a	n/a	31.60	4.0
MATRIX ASSET ADV.	091	ADM	S	1,300	32.95	n/a	1-May	52.00	4.0
STATE TEACHERS RET SYS	047	BEE	B	10,000	6.45	n/a	n/a	500.00	5.0
FARALLON CAP MGMT	040	BJRI	B	800	43.48	n/a	n/a	24.00	3.0
PLATTE RIVER CAPITAL	240	BUD	B	12,500	72.91	n/a	1-May	500.00	4.0
HIGHBRIDGE CAP	041	BWA	SS	10,000	77.67	n/a	27-Apr	300.00	3.0
MATRIX ASSET ADV.	091	CCL	S	1,000	31.66	n/a	n/a	40.00	4.0
LATEFF MGMT	035	CFCPRB	S	700	23.79	n/a	n/a	84.00	12.0
CATAPULT	040	CHK	B	2,116	16.66	n/a	n/a	84.64	4.0
ROTHSCHILD ASSET	040	CMS	B	27,307	22.56	n/a	n/a	1,092.28	4.0
NORTHWESTERN MUTUAL LIFE	047	CSCO	S	208,000	18.78	n/a	n/a	8,320.00	4.0
NEUBERGER BERMAN	036	CYBX	B	18,100	38.51	n/a	n/a	724.00	4.0
HIGHBRIDGE CAP	041	DAL	B	14,000	11.10	n/a	n/a	420.00	3.0
HIGHBRIDGE CAP	041	DAN	SS	12,000	13.50	n/a	26-Apr	360.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	DD	B	4,860	52.26	n/a	1-May	145.80	3.0
STATE TEACHERS RET SYS	047	DFT	S	5,000	26.35	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	DG	B	5,000	47.09	n/a	23-Mar	200.00	4.0
CRAMER ROSENTHAL	070	DIS	C	8,500	43.61	n/a	n/a	340.00	4.0
RBC CAPITAL MARKETS	040	DNKN	B	5,000	31.92	n/a	n/a	200.00	4.0
HIGHBRIDGE CAP	041	DRC	B	11,000	48.14	n/a	n/a	330.00	3.0
SHEFFIELD ASSET MGMT	031	EA	B	285,300	14.33	n/a	n/a	8,559.00	3.0
CATAPULT	040	ECA	B	2,581	20.93	n/a	n/a	103.24	4.0
RBC CAPITAL MARKETS	040	ENR	B	5,000	74.43	n/a	3-May	200.00	4.0
HIGHBRIDGE CAP	041	EOG	S	3,500	100.77	n/a	n/a	105.00	3.0
HIGHBRIDGE CAP	041	FDX	B	3,500	88.63	n/a	n/a	105.00	3.0
ROARING BLUE LION MGMT	031	FL	B	7,000	28.70	n/a	8-May	280.00	4.0
STATE TEACHERS RET SYS	047	FPO	S	10,000	12.51	n/a	n/a	500.00	5.0
CASTLEROCK	040	F	B	200,000	10.53	n/a	2-May	8,000.00	4.0
OZ MGMT	040	F	C	695,936	10.52	n/a	2-May	20,878.08	3.0
HIGHBRIDGE CAP	041	GT	S	15,000	10.46	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CATAPULT	040	GWW	B	351	202.40	n/a	19-Apr	14.04	4.0	
NEUBERGER BERMAN	036	HI	S	43,900	20.48	n/a	n/a	1,756.00	4.0	
CATAPULT	040	ITW	B	1,636	56.15	n/a	25-Apr	65.44	4.0	
ROSEDALE CAPITAL	046	JBLU	S	50,000	4.80	n/a	n/a	1,500.00	3.0	
CATAPULT	040	JCI	B	1,862	31.46	n/a	27-Apr	74.48	4.0	
WEISS PECK – ROBECO INV		040	JNY	B	141,510	9.83	n/a	26-Apr	5,660.40	4.0
STATE TEACHERS RET SYS	047	LVS	B	20,000	51.40	n/a	13-Jun	1,000.00	5.0	
HIGHBRIDGE CAP	041	LYB	S	34,000	38.37	n/a	n/a	1,020.00	3.0	
BRONSON POINT	036	MANT	C	50,000	24.79	n/a	n/a	1,500.00	3.0	
AMBER CAPITAL	046	MMI	SS	50,000	39.15	n/a	n/a	2,000.00	4.0	
PRIMECAP MGMT	084	MNTA	B	2,000	13.66	n/a	n/a	80.00	4.0	
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	27.73	n/a	25-Apr	1,250.00	5.0	
BNP PARIBAS SEC	040	M	B	50,000	38.41	n/a	4-May	2,500.00	5.0	
KLEINHEINZ CAP PART	031	M	S	50,000	39.51	n/a	4-May	2,500.00	5.0	
Õ May Tang		NFLX	B	100	70.9200	n/a	n/a	0.00	0.0	
BRONSON POINT	036	NOC	C	22,800	61.16	n/a	27-Apr	684.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	OII	B	3,124	48.18	n/a	n/a	93.72	3.0
STATE TEACHERS RET SYS	047	OXY	B	25,000	84.72	n/a	n/a	1,250.00	5.0
CATAPULT	040	PCAR	B	1,669	40.65	n/a	25-Apr	66.76	4.0
MERRILL ASSET/BLACKROCK	297	PDC	S	22,900	7.85	n/a	n/a	916.00	4.0
COLUMBUS CAP MGMT LLC	084	PG	B	22,400	64.37	n/a	3-May	1,120.00	5.0
CAERUS GLOBAL	041	PVH	B	12,100	77.95	n/a	19-Apr	484.00	4.0
COOPER CREEK PART	028	PVH	B	15,000	79.33	n/a	19-Apr	600.00	4.0
HIGHBRIDGE CAP	041	PXD	S	3,500	100.88	n/a	1-May	105.00	3.0
CASTLE ARK	031	QCOM	S	224,980	61.63	n/a	n/a	11,249.00	5.0
RBC CAPITAL MARKETS	040	SBUX	B	1,400	54.17	n/a	27-Apr	56.00	4.0
HIGHBRIDGE CAP	041	SDRL	B	7,000	35.55	n/a	n/a	210.00	3.0
BNP PARIBAS SEC	040	SEE	B	20,000	17.81	n/a	2-Jun	1,000.00	5.0
HIGHBRIDGE CAP	041	SPN	S	11,000	24.27	n/a	n/a	330.00	3.0
JANA CAPITAL	044	SPY	C	100,000	135.39	n/a	n/a	4,000.00	4.0
APEX CAPITAL MGMT.	261	SU	SS	150,000	29.38	n/a	n/a	6,000.00	4.0
STATE TEACHERS RET SYS	047	SYMC	B	100,000	15.83	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	085	TEVA	B	50,000	44.22	n/a	8-May	2,500.00	5.0
COLUMBUS CIRCLE	036	VECO	B	7,500	36.50	n/a	n/a	300.00	4.0
CRAMER ROSENTHAL	070	VIAB	SS	7,100	46.92	n/a	n/a	284.00	4.0
JENNISON	070	VIAB	S	137,600	47.00	n/a	n/a	5,091.19	3.7
COLUMBUS CIRCLE	036	VSI	B	1,803	50.24	n/a	n/a	72.12	4.0
SENATOR INVESTMENT GROUP	036	WWW	B	85,000	42.06	n/a	n/a	2,550.00	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	19.85	n/a	4-May	750.00	5.0
HIGHBRIDGE CAP	041	XLU	B	57,000	35.50	n/a	n/a	1,140.00	2.0
CATAPULT	040	XOP	B	1,060	51.04	n/a	n/a	42.40	4.0
HIGHBRIDGE CAP	041	XOP	SS	20,000	50.91	n/a	n/a	400.00	2.0
TOTAL (Trade Date) :								120,393.19	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/08	ROSEDALE CAPITAL (ROSEJPM)	046	JBLU	S	50,000	4.80	n/a	n/a	1500.00 3.0
AO,CXL	05/07	SAGE ASSET MGMT (SAGEJEFF)	025	LPX	SS	119,800	9.40	n/a	7-May	5990.00 5.0
AO,CRT	05/07	SAGE ASSET MGMT (SAGEJEFF)	025	LPX	SS	119,800	9.40	n/a	7-May	4792.00 4.0
AO,	05/07	COLUMBUS CIRCLE (COLC3040)	036	MELI	S	1,300	89.06	n/a	n/a	52.00 4.0
CRT	05/08	HIGHBRIDGE CAP (HIBCCSFB)	041	XLU	B	57,000	35.50	n/a	n/a	1140.00 2.0
CRT	05/08	HIGHBRIDGE CAP (HIBCCSFB)	041	XOP	SS	20,000	50.91	n/a	n/a	400.00 2.0
TOTAL (AO, CXL, CRT) :										1,894.00

TOTAL (Trade Date) :	120,393.19
TOTAL (AO, CXL, CRT) :	1,894.00

TOTAL (RUN DATE) / NFS :	122,287.19
---------------------------------	-------------------

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