



Daily Compliance Activity Report

Trade Date: 01/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ALL	B	12,200	28.67	n/a	n/a	488.00	4.0
MOORE CAPITAL	041	BRCD	B	29,400	5.76	n/a	n/a	882.00	3.0
TUDOR INVESTORS	028	CSX	SS	10,000	22.86	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	251	DAN	SS	20,000	14.56	n/a	13-Jan	600.00	3.0
CRAMER ROSENTHAL/SCOTT	070	DPS	S	105,700	37.62	n/a	n/a	4,228.00	4.0
OHIO PERS	047	DRQ	S	9,259	63.80	n/a	n/a	277.77	3.0
VERITION	028	EBAY	B	7,500	30.97	n/a	n/a	225.00	3.0
ROYCE TRADING	031	FINL	B	7,000	18.99	n/a	22-Dec	350.00	5.0
CASTLEROCK	040	GM	SS	233,455	24.22	n/a	6-Jan	9,338.20	4.0
OZ MGMT	040	GM	SS	50,000	23.97	n/a	6-Jan	1,500.00	3.0
TUDOR INVESTORS	028	HON	SS	4,000	56.70	n/a	9-Jan	120.00	3.0
YORK CAPITAL	036	HON	B	35,000	56.55	n/a	9-Jan	1,050.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	HVT	S	704	12.22	n/a	n/a	35.20	5.0
SIMMONS VENTURES	041	HWD	B	5,000	10.65	n/a	n/a	200.00	4.0
ELM RIDGE ADVISORS	044	IP	S	46,608	31.51	n/a	27-Oct	1,864.32	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	ITT	S	20,400	21.72	n/a	n/a	1,020.00	5.0
SIMMONS VENTURES	041	KSWS	B	10,000	3.14	n/a	n/a	300.00	3.0
ROYCE TRADING	031	MTX	B	10,605	60.56	n/a	n/a	530.25	5.0
DEVENNY CAP LLC	044	MWV	SS	45,000	30.87	n/a	26-Oct	1,350.00	3.0
OZ MGMT	040	MWV	C	100,000	30.86	n/a	26-Oct	3,000.00	3.0
BRONSON POINT	036	NEM	C	10,000	63.67	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	PRU	B	100,000	54.03	n/a	n/a	3,000.00	3.0
GALT INVESTMENT	041	RRGB	B	2,600	30.01	n/a	n/a	130.00	5.0
SIMMONS VENTURES	041	SKUL	B	5,000	11.94	n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	URI	B	10,000	30.83	n/a	n/a	300.00	3.0
FRED ALGER MGMT	035	USB	S	24,300	29.00	n/a	n/a	874.80	3.6
SCOPUS FUND	041	USG	B	25,000	13.01	n/a	21-Oct	1,000.00	4.0
RIDGECREST INV MGMT LLC	028	VRA	S	12,033	33.77	n/a	n/a	601.65	5.0
FRED ALGER MGMT	035	WFC	S	84,300	29.53	n/a	6-Jan	3,034.80	3.6
TOTAL (Trade Date) :								37,099.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									37,099.99
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									37,099.99

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