



Daily Compliance Activity Report

Trade Date: 05/10/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABT	S	6,600	62.26	n/a	n/a	198.00	3.0
PZENA INV ADV	044	APOL	B	7,300	32.60	n/a	n/a	255.50	3.5
EPOCH INV MGMT	030	BLK	S	1,250	180.06	n/a	n/a	37.50	3.0
DELTEC ASSET MGMT.	040	CELG	B	5,000	71.00	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	CIT	S	4,950	36.80	n/a	7-May	148.50	3.0
EPOCH INV MGMT	030	COL	S	3,250	52.41	n/a	3-May	97.50	3.0
APEX CAPITAL MGMT.	261	CSCO	B	400,000	17.01	n/a	n/a	16,000.00	4.0
NEUBERGER BERMAN	036	CYBX	B	400	38.84	n/a	n/a	16.00	4.0
ROTHSCHILD ASSET	040	DCT	B	282,122	5.98	n/a	n/a	11,284.88	4.0
EPOCH INV MGMT	030	DD	S	4,350	52.09	n/a	1-May	130.50	3.0
EPOCH INV MGMT	030	DELL	S	13,850	15.67	n/a	n/a	415.50	3.0
MATRIX ASSET ADV.	091	EMR	B	4,000	48.41	n/a	n/a	160.00	4.0
EPOCH INV MGMT	030	GLW	S	8,300	13.36	n/a	1-May	249.00	3.0
STATE TEACHERS RET SYS	047	IBM	B	20,000	201.07	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	IVZ	B	12,875	23.02	n/a	2-Mar	450.63	3.5
SUFFOLK CAPITAL MGMT	040	KRO	B	19,800	20.75	n/a	n/a	594.00	3.0
ADAGE CAPITAL MGMT	030	KSS	S	129,936	49.06	n/a	4-May	3,898.08	3.0
EPOCH INV MGMT	030	KSS	B	87,725	49.21	n/a	4-May	2,631.75	3.0
FIRST NY SEC/CHRIS	041	KSS	SS	10,000	49.44	n/a	4-May	300.00	3.0
KLEINHEINZ CAP PART	031	KSS	S	125,000	49.19	n/a	4-May	6,250.00	5.0
MILLRACE FUND LP	028	KSS	SS	8,000	49.35	n/a	4-May	320.00	4.0
STATE TEACHERS RET SYS	047	LULU	B	15,000	73.76	n/a	10-Apr	750.00	5.0
BNP PARIBAS SEC	040	MDR	S	10,000	9.89	n/a	n/a	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	50,000	27.82	n/a	25-Apr	2,500.00	5.0
PILOT ADV	041	M	B	12,500	37.82	n/a	10-May	375.00	3.0
EPOCH INV MGMT	030	OXY	S	2,250	85.64	n/a	n/a	67.50	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035	SGMS	B	35,601	10.02	n/a	n/a	1,068.03	3.0
SENATOR INVESTMENT GROUP	036	SM	S	18,666	66.59	n/a	n/a	559.98	3.0
LATEFF MGMT	035	SWY	B	4,000	19.05	n/a	n/a	415.00	11.7
SUFFOLK CAPITAL MGMT	040	TGT	S	269,100	55.36	n/a	3-May	10,764.00	4.0
EPOCH INV MGMT	030	TJX	S	9,050	41.87	n/a	4-May	271.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	TXRH	B	41,661	18.40	n/a	n/a	1,666.44	4.0
DELTEC ASSET MGMT.	040	WCRX	B	5,000	21.54	n/a	10-May	250.00	5.0
BNP PARIBAS SEC	040	WY	S	10,000	20.02	n/a	4-May	500.00	5.0
TOTAL (Trade Date):								64,374.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/09	ROTHSCHILD ASSET (ROTH4712)	040	DCT	B	337	5.93	n/a	n/a	13.48 4.0
AO,CXL	05/09	ROTHSCHILD ASSET (ROTH4711)	040	DCT	B	337	5.93	n/a	n/a	13.48 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	64,374.79
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	64,374.79
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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