



## Daily Compliance Activity Report

Trade Date: 04/18/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	ABFS	SS	10,000	18.43	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	AEO	B	1,100	17.24	n/a	2-Dec	44.00	4.0
LEVIN CAPITAL STRATEGIES	041	APC	S	5,000	73.35	n/a	14-Mar	150.00	3.0
PECONIC PARTNERS	036	ARCO	B	25,000	18.53	n/a	13-Apr	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	AXL	B	14,000	10.94	n/a	18-Apr	560.00	4.0
CHARTER OAK	033	BUD	S	5,000	73.23	n/a	4-Apr	250.00	5.0
SURVEYOR CAPITAL	251	BYD	SS	75,000	7.95	n/a	n/a	2,250.00	3.0
JANA CAPITAL	044	CCE	B	39,000	28.43	n/a	n/a	1,560.00	4.0
LATEFF MGMT	035	CMCSK	S	200	29.55	n/a	n/a	30.00	15.0
SENATOR INVESTMENT GROUP	036	DAL	B	150,000	10.50	n/a	n/a	4,500.00	3.0
ROTHSCHILD ASSET	040	DPS	S	8,783	40.10	n/a	n/a	351.32	4.0
CRAMER ROSENTHAL	070	DSW	B	94,950	56.23	n/a	11-Feb	3,798.00	4.0
COLUMBUS CIRCLE	036	EDMC	S	1,859	12.38	n/a	n/a	74.36	4.0
HARVEST MGMT (JMP)	029	EMC	S	20,000	29.10	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALTHAZAR CAPITAL PARTNERS LTD085		ETN	SS	10,000	47.23	n/a	18-Apr	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	F	SS	15,000	11.74	n/a	18-Apr	450.00	3.0
MERRILL ASSET/BLACKROCK	297	GDP	B	13,400	15.10	n/a	n/a	536.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	37,500	23.81	n/a	18-Apr	1,125.00	3.0
OZ MGMT	040	GM	C	50,000	24.12	n/a	18-Apr	1,500.00	3.0
VISIUM/BALY BOBBY	044	GM	C	36,000	24.10	n/a	18-Apr	1,800.00	5.0
VERITION	028	GNC	S	10,000	35.09	n/a	n/a	300.00	3.0
BALLAST CAP	040	HAS	SS	10,100	36.22	n/a	n/a	505.00	5.0
LATEFF MGMT	035	HD	S	500	51.64	n/a	21-Feb	75.00	15.0
KACELA CAPITAL	034	INFA	S	56,559	51.83	n/a	n/a	2,262.36	4.0
MFP INVESTORS	085	JNS	B	75,000	8.09	n/a	n/a	3,000.00	4.0
SIMMONS VENTURES	041	JNY	B	5,000	12.73	n/a	9-Feb	200.00	4.0
LATEFF MGMT	035	KMB	S	100	75.45	n/a	20-Mar	30.00	30.0
SEVEN LOCKS CAPITAL	025	KNOL	S	60,000	19.34	n/a	n/a	1,800.00	3.0
GLENHILL CAPITAL	036	KSS	B	100,000	51.10	n/a	30-Mar	3,000.00	3.0
MOORE CAPITAL	041	LIZ	B	3,500	12.83	n/a	7-Oct	105.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LANE GATE PARTNERS LLC	030	LVS	B	2,500	59.80	n/a	13-Jun	75.00	3.0
SCOPUS FUND	041	MAN	B	11,302	43.87	n/a	n/a	452.08	4.0
LEVIN CAPITAL STRATEGIES	041	MET	S	5,000	35.94	n/a	n/a	150.00	3.0
KACELA CAPITAL	034	MFRM	B	12,000	45.96	n/a	n/a	480.00	4.0
SOROS	036	MS	SS	378,000	17.64	n/a	4-Apr	15,120.00	4.0
BALYASNY ASSET MGMT	044	M	B	20,000	39.77	n/a	9-Apr	1,000.00	5.0
FARBER/WEISS PECK	085	PH	B	17,400	82.94	n/a	18-Apr	696.00	4.0
WOODWAY FINANCIAL	031	PH	B	20,000	82.96	n/a	18-Apr	1,200.00	6.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	25,000	29.05	n/a	18-Apr	1,250.00	5.0
ASCEND PARTNERS	033	PVH	B	10,643	89.77	n/a	29-Mar	532.15	5.0
LEVIN CAPITAL STRATEGIES	041	ROK	S	5,000	79.13	n/a	n/a	150.00	3.0
KACELA CAPITAL	034	SCSS	B	24,000	35.32	n/a	n/a	960.00	4.0
SENATOR INVESTMENT GROUP	036	SHW	SS	30,000	117.13	n/a	12-Apr	900.00	3.0
LATEFF MGMT	035	SPLS	S	300	15.92	n/a	n/a	30.00	10.0
PALESTRA	040	SWK	B	5,100	78.59	n/a	n/a	255.00	5.0
SONTERRA CAP	041	TOL	B	25,000	23.52	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	UAL	S	950	23.01	n/a	n/a	105.00	12.5
ROTHSCHILD ASSET	040	UNH	S	48,210	57.33	n/a	n/a	1,928.40	4.0
GLG PARTNERS	034	WMT	SS	11,494	62.08	n/a	13-Apr	344.82	3.0
MA CAPITAL MGMT/MELLON ADV041		XLF	B	4,000	15.35	n/a	n/a	160.00	4.0
MA CAPITAL MGMT/MELLON ADV041		XLF	S	4,000	15.35	n/a	n/a	160.00	4.0
EVERGREEN	047	XLU	B	77,866	34.86	n/a	n/a	3,114.64	4.0
<b>TOTAL (Trade Date):</b>								<b>63,269.13</b>	

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) :									63,269.13
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									63,269.13

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