



## Daily Compliance Activity Report

Trade Date: 01/25/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	AAPL	B	2,000	447.05	n/a	n/a	80.00	4.0
SIMMONS VENTURES	041	AEO	S	5,000	14.00	n/a	2-Dec	200.00	4.0
BALYASNY ASSET MGMT	044	ANN	SS	30,000	24.46	n/a	n/a	1,500.00	5.0
ASCEND PARTNERS	033	ARCO	C	109,138	21.71	n/a	6-Jan	3,274.14	3.0
LANE GATE PARTNERS LLC	030	AXE	B	2,500	67.15	n/a	19-Jan	75.00	3.0
KACELA CAPITAL	034	BIG	B	30,000	41.31	n/a	2-Dec	1,200.00	4.0
LATEFF MGMT	035	BMS	S	3,775	31.61	n/a	n/a	431.25	13.1
MERRILL ASSET/BLACKROCK	297	BOH	S	37,880	46.14	n/a	n/a	1,515.20	4.0
CATAPULT	040	CCL	SS	1,229	31.08	n/a	n/a	49.16	4.0
BNP PARIBAS SEC	040	CE	B	20,000	48.47	n/a	20-May	1,000.00	5.0
HIGHBRIDGE CAP	041	CTB	B	23,453	15.28	n/a	n/a	703.59	3.0
CENTURION PARTNERS	041	CVC	S	20,000	14.67	n/a	n/a	800.00	4.0
KLEINHEINZ CAP PART	031	DDS	SS	75,000	45.46	n/a	n/a	3,750.00	5.0
CATAPULT	040	DRI	SS	1,198	46.70	n/a	6-Jan	47.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VERITION	028	EAT	S	7,500	26.19	n/a	25-Jan	225.00	3.0
LOCUS WOOD CAPITAL MGMT	044	EP	B	25,000	26.75	n/a	n/a	1,000.00	4.0
JET CAPITAL/CHRIS	041	ETFC	C	100,000	9.39	n/a	n/a	3,000.00	3.0
WOODWAY FINANCIAL	031	FCX	B	290	43.50	n/a	n/a	17.40	6.0
MOORE CAPITAL	041	FINL	B	15,000	21.27	n/a	20-Jan	450.00	3.0
ROYCE TRADING	031	FINL	B	50,000	21.17	n/a	20-Jan	2,500.00	5.0
COOKBIELER	028	FLEX	B	147,000	6.74	n/a	n/a	5,880.00	4.0
CATAPULT	040	FOSL	SS	351	94.01	n/a	n/a	14.04	4.0
DEVENNY CAP LLC	044	F	SS	25,000	12.77	n/a	25-Jan	750.00	3.0
OZ MGMT	040	F	SS	175,000	12.78	n/a	25-Jan	5,250.00	3.0
PERRY PARTNERS	085	GM	S	50,000	24.62	n/a	25-Jan	2,500.00	5.0
DSM CAPITAL PARTNERS	085	GPRO	S	2,575	66.78	n/a	n/a	128.75	5.0
MOORE CAPITAL	041	HD	S	7,500	45.10	n/a	8-Dec	225.00	3.0
DSM CAPITAL PARTNERS	085	HOLX	S	8,325	19.63	n/a	n/a	416.25	5.0
BRONSON POINT	036	HON	B	25,000	57.88	n/a	19-Jan	750.00	3.0
SIMMONS VENTURES	041	HWD	B	5,000	11.25	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	085	IDXX	S	4,350	86.21	n/a	n/a	217.50	5.0
BALYASNY ASSET MGMT	044	IP	SS	30,000	31.39	n/a	23-Jan	1,500.00	5.0
DELTEC ASSET MGMT.	040	JCI	B	10,000	31.89	n/a	19-Jan	500.00	5.0
FIRST NY SEC/CHRIS	041	JCP	SS	13,901	33.72	n/a	23-Jan	695.05	5.0
OHIO PERS	047	JOY	S	17,000	89.94	n/a	25-Jan	510.00	3.0
BASIX	033	KMT	B	13,000	43.61	n/a	25-Jan	390.00	3.0
THE JAY GOLDMAN	028	KSS	B	50,000	47.66	n/a	9-Jan	2,000.00	4.0
CENTURION PARTNERS	041	LGF	B	5,000	10.90	n/a	n/a	200.00	4.0
PZENA INV ADV	044	MAS	S	21,450	12.06	n/a	n/a	750.75	3.5
HARVEST MGMT	029	MFRM	S	5,000	29.17	n/a	n/a	200.00	4.0
ROYCE TRADING	031	MLI	B	8,500	43.31	n/a	26-Oct	425.00	5.0
BALYASNY ASSET MGMT	044	MMM	SS	30,000	85.63	n/a	3-Jan	1,500.00	5.0
AAD CAPITAL	084	MTH	SS	13,000	27.78	n/a	n/a	520.00	4.0
ROYCE TRADING	031	MTX	B	10,161	63.69	n/a	n/a	508.05	5.0
LANE GATE PARTNERS LLC	030	M	B	4,500	33.97	n/a	9-Jan	135.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	NSC	SS	27,000	73.70	n/a	n/a	810.00	3.0
ROTHSCHILD ASSET	040	ONB	B	29,225	11.99	n/a	n/a	1,169.00	4.0
BNP PARIBAS SEC	040	PVH	S	15,000	77.40	n/a	23-Jan	750.00	5.0
CATAPULT	040	PVH	SS	502	77.44	n/a	23-Jan	20.08	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>PWR</b>	<b>S</b>	<b>360</b>	<b>20.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	RBN	B	9,000	45.66	n/a	n/a	270.00	3.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	40,000	61.15	n/a	25-Jan	2,000.00	5.0
SONTERRA CAP	041	RKT	B	50,000	60.95	n/a	25-Jan	2,000.00	4.0
BRONSON POINT	036	RS	B	10,000	54.94	n/a	n/a	300.00	3.0
CAERUS GLOBAL	041	SHW	B	11,252	95.25	n/a	19-Jan	450.08	4.0
CATAPULT	040	SKS	SS	3,160	9.81	n/a	n/a	126.40	4.0
NEWLAND CAPITAL MGT	025	SOA	S	8,500	19.71	n/a	n/a	340.00	4.0
CENTURION PARTNERS	041	SWC	B	10,000	13.30	n/a	n/a	400.00	4.0
FARALLON CAP MGMT	040	TPX	SS	75,000	67.77	n/a	n/a	3,000.00	4.0
RBC CAPITAL MARKETS	040	TPX	B	10,000	67.22	n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	TSO	B	46,000	25.12	n/a	n/a	1,380.00	3.0
M&I FUNDS	047	UNT	B	25,411	44.05	n/a	6-Jan	1,016.44	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	UPL	B	19,000	25.75	n/a	6-Jan	570.00	3.0
WOODWAY FINANCIAL	031	UPL	S	500	24.81	n/a	6-Jan	30.00	6.0
Õ Alice Longley		VZ	B	600	37.5300	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	WHR	B	3,584	54.24	n/a	n/a	107.52	3.0
BNP PARIBAS SEC	040	WRC	S	27,000	56.26	n/a	23-Jan	1,350.00	5.0
SENATOR INVESTMENT GROUP	036	XLE	B	214,000	71.42	n/a	n/a	6,420.00	3.0
<b>TOTAL (Trade Date):</b>								<b>70,893.57</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) :									70,893.57
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									70,893.57

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