



Daily Compliance Activity Report

Trade Date: 04/20/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAWW	B	5,000	45.38	n/a	n/a	150.00	3.0
ROTHSCHILD ASSET	040	ACC	S	17,648	44.90	n/a	n/a	705.92	4.0
PECONIC PARTNERS	036	ARCO	B	83,822	18.97	n/a	13-Apr	4,191.10	5.0
TRELLUS PARTNERS LP	028	AXL	B	50,000	10.59	n/a	18-Apr	1,500.00	3.0
ASCEND PARTNERS	033	BEAV	S	40,000	44.99	n/a	13-Apr	1,200.00	3.0
PATTEN & PATTEN	025	BHP	B	100	73.52	n/a	n/a	5.00	5.0
MELLON/BANK OF NEW YORK	046	BMJ	B	181,789	34.20	n/a	n/a	7,271.56	4.0
CATAPULT CAP/DEFRANCO	040	BWC	B	23,435	23.48	n/a	n/a	937.40	4.0
PRIMECAP MGMT	084	BWC	S	15,143	23.48	n/a	n/a	605.72	4.0
CATAPULT CAP/DEFRANCO	040	CMC	S	60,202	14.31	n/a	n/a	2,408.08	4.0
SCOPUS FUND	041	COH	B	27,100	75.46	n/a	19-Apr	1,084.00	4.0
TUDOR INVESTORS	028	COL	B	10,000	55.46	n/a	20-Apr	300.00	3.0
PATTEN & PATTEN	025	DD	B	600	52.67	n/a	19-Apr	30.00	5.0
NEW JERSEY DIV OF INV.	030	DHR	B	98,000	53.30	n/a	n/a	3,920.00	4.0
PATTEN & PATTEN	025	DOW	S	1,100	35.33	n/a	21-Mar	55.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	B	75,000	11.51	n/a	18-Apr	2,250.00	3.0
MERRILL ASSET/BLACKROCK	297	GDP	B	6,300	15.50	n/a	n/a	252.00	4.0
OZ MGMT	040	GM	C	52,329	23.92	n/a	18-Apr	1,569.87	3.0
TUDOR INVESTORS	028	GWV	B	2,000	218.72	n/a	19-Apr	60.00	3.0
CAMBIAR CAP	046	HBI	S	25,000	29.79	n/a	20-Apr	1,000.00	4.0
FEDERATED INV/KAUFMAN	029	JCI	B	100,000	32.50	n/a	17-Apr	5,000.00	5.0
HIGHBRIDGE CAP	041	JOY	S	7,000	75.02	n/a	18-Apr	210.00	3.0
RBC CAPITAL MARKETS	040	KFT	B	20,000	38.46	n/a	n/a	800.00	4.0
MILLRACE FUND LP	028	KSS	B	3,000	50.51	n/a	19-Apr	120.00	4.0
RBC CAPITAL MARKETS	040	LOW	S	20,000	31.90	n/a	28-Feb	800.00	4.0
NEW JERSEY DIV OF INV.	030	MAT	B	100,000	32.20	n/a	n/a	4,000.00	4.0
KAM ADVISORS LLC	041	MGA	SS	91,400	46.08	n/a	n/a	2,742.00	3.0
TUDOR INVESTORS	028	NAV	B	15,000	35.34	n/a	18-Apr	450.00	3.0
PATTEN & PATTEN	025	NSC	B	100	69.20	n/a	n/a	5.00	5.0
TUDOR INVESTORS	028	PCAR	SS	10,000	42.31	n/a	18-Apr	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	RCL	B	27,500	28.51	n/a	n/a	1,100.00	4.0
HIGHBRIDGE CAP	041	ROK	S	10,000	79.46	n/a	n/a	300.00	3.0
CAERUS GLOBAL	041	SHW	B	12,500	118.35	n/a	19-Apr	500.00	4.0
SENATOR INVESTMENT GROUP	036	SHW	B	25,000	117.58	n/a	19-Apr	750.00	3.0
NEW JERSEY DIV OF INV.	030	SPW	B	52,000	75.53	n/a	n/a	2,080.00	4.0
CATAPULT CAP/DEFRANCO	040	TDG	B	7,566	122.01	n/a	n/a	302.64	4.0
TUDOR INVESTORS	028	TEX	SS	5,000	24.71	n/a	18-Apr	150.00	3.0
BNP PARIBAS SEC	040	TFM	SS	5,000	53.86	n/a	n/a	250.00	5.0
NEW JERSEY DIV OF INV.	030	TWX	S	100,000	36.47	n/a	n/a	4,000.00	4.0
M&I FUNDS	047	TYC	S	6,629	55.25	n/a	28-Mar	265.16	4.0
NEW JERSEY DIV OF INV.	030	UNH	S	170,000	59.38	n/a	n/a	6,800.00	4.0
TUDOR INVESTORS	028	URI	S	5,000	45.78	n/a	17-Apr	150.00	3.0
CATAPULT CAP/DEFRANCO	040	UTX	B	8,403	81.38	n/a	n/a	336.12	4.0
SENATOR INVESTMENT GROUP	036	WSM	B	59,848	38.36	n/a	n/a	1,795.44	3.0
TUDOR INVESTORS	028	WSO	S	5,000	71.66	n/a	n/a	150.00	3.0

TOTAL (Trade Date):

62,852.01

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/19	LAKWOOD CAPITAL MGMT (LAKWGSCO)	085	ANF	S	10,000	48.38	n/a	16-Feb	300.00 3.0
AO,	04/19	LAKWOOD CAPITAL MGMT (LAKWMSPB)	085	ANF	S	10,000	48.38	n/a	16-Feb	300.00 3.0
AO,CXL	04/19	PERRY PARTNERS (PERRGOLDMA)	085	SPY	B	50,000	138.45	n/a	n/a	2500.00 5.0
AO,CRT	04/19	PERRY PARTNERS (PERRGOLDMA)	085	SPY	B	50,000	138.45	n/a	n/a	1500.00 3.0
AO,CXL	04/19	PERRY PARTNERS (PERRGOLDMA)	085	XLP	B	80,000	34.04	n/a	n/a	4000.00 5.0
AO,CRT	04/19	PERRY PARTNERS (PERRGOLDMA)	085	XLP	B	80,000	34.04	n/a	n/a	2400.00 3.0

TOTAL (AO, CXL, CRT) :**-2,600.00**

TOTAL (Trade Date) :**62,852.01****TOTAL (AO, CXL, CRT) :****-2,600.00**

TOTAL (RUN DATE) / NFS:**60,252.01**

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