



Daily Compliance Activity Report

Trade Date: 01/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAWW	S	5,000	46.60	n/a	n/a	150.00	3.0
MELLON/BANK OF NEW YORK	046	ACWX	S	6,000	39.13	n/a	n/a	240.00	4.0
PATTEN & PATTEN	025	AMLX	B	6,000	16.90	n/a	n/a	300.00	5.0
SENATOR INVESTMENT GROUP	036	AOS	S	32,400	41.70	n/a	21-Oct	972.00	3.0
MELLON/BANK OF NEW YORK	046	APD	B	1,675	87.96	n/a	24-Jan	67.00	4.0
BALYASNY ASSET MGMT	044	ASNA	S	10,000	34.99	n/a	n/a	500.00	5.0
• Jill Rosenberg		BHI	B	100	48.3999	n/a	n/a	0.00	0.0
• Jill Rosenberg		BHI	B	200	48.4000	n/a	n/a	0.00	0.0
• Jill Rosenberg		BHI	S	3	0.8300	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	BRCM	B	500	35.51	n/a	n/a	25.00	5.0
CATAPULT	040	CBE	B	1,938	59.28	n/a	25-Jan	77.52	4.0
TUDOR INVESTORS	028	CBE	B	5,000	58.98	n/a	25-Jan	150.00	3.0
BRONSON POINT	036	CBG	S	50,000	18.93	n/a	n/a	1,500.00	3.0
CATAPULT	040	CBS	B	2,053	29.05	n/a	n/a	82.12	4.0
MERRILL ASSET/BLACKROCK	297	CL	B	6,151	91.17	n/a	26-Jan	246.04	4.0
EDGW	085	COH	B	21,113	69.22	n/a	25-Jan	1,055.65	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	CRR	S	700	112.30	n/a	6-Jan	28.00	4.0
MELLON/BANK OF NEW YORK	046	CVX	B	15	106.65	n/a	n/a	0.60	4.0
MTB INV ADV	034	DAN	S	9,650	14.98	n/a	13-Jan	482.50	5.0
MELLON/BANK OF NEW YORK	046	DIS	B	2,550	39.28	n/a	n/a	102.00	4.0
DEVENNY CAP LLC	044	DLPH	SS	3,800	25.91	n/a	n/a	114.00	3.0
MTB INV ADV	034	DLX	B	9,775	24.72	n/a	n/a	488.75	5.0
MELLON/BANK OF NEW YORK	046	DPSGY	S	500	16.53	n/a	n/a	20.00	4.0
LATEFF MGMT	035	DVN	B	150	65.46	n/a	6-Jan	37.50	25.0
PATTEN & PATTEN	025	D	B	2,000	51.00	n/a	n/a	100.00	5.0
MELLON/BANK OF NEW YORK	046	EBAY	B	1,000	31.62	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	EMR	B	200	52.06	n/a	n/a	10.00	5.0
SANDLER CAPITAL	028	ETN	SS	240,000	48.14	n/a	19-Jan	12,000.00	5.0
ROYCE TRADING	031	FINL	B	30,000	20.92	n/a	20-Jan	1,500.00	5.0
DEVENNY CAP LLC	044	F	SS	10,000	12.87	n/a	25-Jan	300.00	3.0
MELLON/BANK OF NEW YORK	046	F	B	11,850	12.75	n/a	25-Jan	474.00	4.0
OZ MGMT	040	F	SS	153,486	12.80	n/a	25-Jan	4,604.58	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	F	SS	10,000	13.00	n/a	25-Jan	300.00	3.0
TALPION LLC	040	GCI	SS	4,500	15.41	n/a	n/a	180.00	4.0
PATTEN & PATTEN	025	GE	B	4,500	19.19	n/a	n/a	225.00	5.0
MAIRS AND POWER INV	030	GLW	B	20,000	12.78	n/a	25-Jan	1,000.00	5.0
FARBER/WEISS PECK	085	GM	B	33,500	25.18	n/a	25-Jan	1,340.00	4.0
MELLON/BANK OF NEW YORK	046	GSG	B	2,350	33.98	n/a	n/a	94.00	4.0
MELLON/BANK OF NEW YORK	046	GSG	S	2,475	33.93	n/a	n/a	99.00	4.0
TUDOR INVESTORS	028	GT	SS	9,488	13.37	n/a	n/a	284.64	3.0
MELLON/BANK OF NEW YORK	046	HAL	B	4,250	36.25	n/a	n/a	170.00	4.0
MELLON/BANK OF NEW YORK	046	IBM	S	20	190.71	n/a	n/a	0.80	4.0
PATTEN & PATTEN	025	ILMN	B	150	53.31	n/a	n/a	7.50	5.0
MELLON/BANK OF NEW YORK	046	INTC	S	2,000	26.60	n/a	n/a	80.00	4.0
BALYASNY ASSET MGMT	044	IP	SS	25,000	31.49	n/a	23-Jan	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	JCP	S	27,700	40.22	n/a	23-Jan	1,108.00	4.0
MFP INVESTORS	085	JCP	S	70,000	39.66	n/a	23-Jan	2,800.00	4.0
RBC CAPITAL MARKETS	040	JCP	B	15,000	39.92	n/a	23-Jan	600.00	4.0
SCOPUS FUND	041	JCP	B	5,500	38.69	n/a	23-Jan	220.00	4.0
PATTEN & PATTEN	025	JNJ	B	1,600	65.73	n/a	n/a	80.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC	044	JOY	S	5,000	94.23	n/a	25-Jan	150.00	3.0
MELLON/BANK OF NEW YORK	046	KO	B	2,200	67.84	n/a	9-Jan	88.00	4.0
THE JAY GOLDMAN	028	KSS	B	20,000	47.90	n/a	9-Jan	800.00	4.0
CRAMER ROSENTHAL/SCOTT	070	LVS	B	42,200	49.05	n/a	13-Jun	1,688.00	4.0
MELLON/BANK OF NEW YORK	046	MDT	S	1,000	39.27	n/a	n/a	40.00	4.0
BALLAST CAP	040	MET	S	10,000	34.03	n/a	n/a	500.00	5.0
ROYCE TRADING	031	MLI	B	4,543	43.98	n/a	26-Oct	227.15	5.0
STANDARD PACIFIC CAPITAL	269	MPEL	S	280,000	11.97	n/a	13-Jun	14,000.00	5.0
ROYCE TRADING	031	MTX	B	3,751	64.52	n/a	n/a	187.55	5.0
PATTEN & PATTEN	025	NEE	B	2,000	60.15	n/a	n/a	100.00	5.0
MELLON/BANK OF NEW YORK	046	NSRGY	B	1,200	57.92	n/a	n/a	48.00	4.0
PATTEN & PATTEN	025	NSRGY	B	2,000	58.28	n/a	n/a	100.00	5.0
MERRILL ASSET/BLACKROCK	297	OIS	S	7,900	81.41	n/a	n/a	316.00	4.0
NOKOMIS PARTNERS	031	PDC	B	30,000	9.08	n/a	n/a	900.00	3.0
TALM	084	PG	SS	10,000	64.84	n/a	26-Jan	400.00	4.0
SHEFFIELD ASSET MGMT	031	PKG	S	42,500	28.16	n/a	24-Jan	1,700.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	PNR	SS	20,000	36.92	n/a	n/a	1,000.00	5.0
MELLON/BANK OF NEW YORK	046	QEP	B	30	29.01	n/a	n/a	1.20	4.0
DISIPLINED GROWTH INV.	030	RCL	S	10,700	27.71	n/a	n/a	535.00	5.0
MELLON/BANK OF NEW YORK	046	RDSA	B	1,400	71.59	n/a	n/a	56.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	61.02	n/a	26-Jan	750.00	5.0
JANA CAPITAL	044	RKT	S	42,087	61.80	n/a	26-Jan	1,683.48	4.0
SCOPUS FUND	041	RKT	B	13,600	61.80	n/a	26-Jan	544.00	4.0
SHEFFIELD ASSET MGMT	031	RKT	B	47,300	61.83	n/a	26-Jan	1,892.00	4.0
SONTERRA CAP	041	RKT	B	30,000	60.61	n/a	26-Jan	1,200.00	4.0
SANDLER CAPITAL	028	ROK	S	105,000	78.34	n/a	n/a	5,250.00	5.0
PATTEN & PATTEN	025	RSG	B	450	28.85	n/a	n/a	22.50	5.0
NEWLAND CAPITAL MGT	025	SEE	S	29,000	20.19	n/a	2-Jun	1,160.00	4.0
TALPION LLC	040	SFLY	SS	9,000	24.83	n/a	n/a	360.00	4.0
MOORE CAPITAL	041	SHOO	S	7,800	40.66	n/a	n/a	234.00	3.0
SCOUT/UMB	047	SNDK	S	200,855	47.00	n/a	n/a	6,025.65	3.0
BRONSON POINT	036	SWY	C	25,000	22.68	n/a	n/a	750.00	3.0
FIRST NEW YORK LEDDY	035	S	B	20,000	2.26	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	TEVA	S	325	45.44	n/a	26-Jan	45.50	14.0
PATTEN & PATTEN	025	TEVA	B	325	45.59	n/a	26-Jan	16.25	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	17,100	67.75	n/a	9-Jan	855.00	5.0
FARALLON CAP MGMT	040	TPX	SS	45,000	68.89	n/a	n/a	1,800.00	4.0
LATEFF MGMT	035	TSN	S	300	19.10	n/a	n/a	36.00	12.0
MELLON/BANK OF NEW YORK	046	UNP	B	1,350	114.30	n/a	n/a	54.00	4.0
M&I FUNDS	047	UNT	B	25,300	45.11	n/a	6-Jan	1,012.00	4.0
CATAPULT	040	URI	B	1,151	38.18	n/a	n/a	46.04	4.0
CATAPULT	040	ZINC	B	3,521	11.34	n/a	n/a	140.84	4.0
TOTAL (Trade Date):								83,020.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/25	BRONSON POINT (BRONMS)	036	RS	B	10,000	54.94	n/a	n/a	300.00 3.0
AO,CXL	01/25	BRONSON POINT (BRONFBCO)	036	RS	B	10,000	54.94	n/a	n/a	300.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
-------------------------------	-------------

TOTAL (Trade Date) :	83,020.36
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	83,020.36
--------------------------------	------------------

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