



Daily Compliance Activity Report

Trade Date: 05/17/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	ADM	B	32,000	32.25	n/a	1-May	1,280.00	4.0
MOORE CAPITAL	041	AIG	S	325,000	29.36	n/a	n/a	9,750.00	3.0
THIRD COAST CAPITAL	035	ANN	S	10,000	26.58	n/a	n/a	500.00	5.0
DC CAPITAL	044	ATI	B	50,000	34.70	n/a	11-May	2,000.00	4.0
MILLRACE FUND LP	028	AVAV	B	9,334	22.81	n/a	n/a	373.36	4.0
PERRY PARTNERS	085	BAC	B	100,000	7.11	n/a	16-May	3,000.00	3.0
IMPALA ASSET MMT	040	BC	S	302,593	21.34	n/a	n/a	12,103.72	4.0
GRANAHAN INV	029	CRR	S	48,830	80.71	n/a	9-May	1,953.20	4.0
AMBER CAPITAL	046	CVC	S	70,000	11.26	n/a	n/a	2,800.00	4.0
NEUBERGER BERMAN	036	CYBX	B	1,600	39.99	n/a	n/a	64.00	4.0
1798 CAP/LOMBARD ASSET	040	DAL	S	300,000	10.56	n/a	n/a	15,000.00	5.0
IMPALA ASSET MMT	040	DE	S	150,000	72.37	n/a	17-May	7,500.00	5.0
RBC CAPITAL MARKETS	040	DG	B	15,000	46.39	n/a	23-Mar	600.00	4.0
KAM ADVISORS LLC	041	EMN	S	87,100	44.82	n/a	n/a	2,613.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	EMN	S	6,367	44.99	n/a	n/a	254.68	4.0
SENATOR INVESTMENT GROUP	036	ETFC	B	110,000	8.79	n/a	n/a	3,300.00	3.0
LEVIN CAPITAL STRATEGIES	041	EXC	S	81,750	38.31	n/a	n/a	2,452.50	3.0
HALCYON LLC	041	GDX	B	35,000	41.62	n/a	n/a	700.00	2.0
CAMBIAR CAP	046	GES	S	43,370	25.28	n/a	9-May	1,734.80	4.0
IRIDIAN ASSET MGMT.	036	GLW	S	113,000	12.87	n/a	1-May	5,650.00	5.0
DSM CAPITAL PARTNERS	085	GOOG	S	602	632.56	n/a	n/a	30.10	5.0
SHEFFIELD ASSET MGMT	031	GPS	B	72,300	26.43	n/a	n/a	2,892.00	4.0
DAVIDSON INV ADV	035	HLF	B	43,930	46.45	n/a	n/a	1,757.20	4.0
LATEFF MGMT	035	HPQ	B	675	22.16	n/a	n/a	74.25	11.5
LATEFF MGMT	035	INTC	B	200	26.33	n/a	n/a	30.00	15.0
CSFB GLOBAL PROPRIETARY	041	IP	B	35,000	29.77	n/a	27-Apr	1,750.00	5.0
SCOPUS FUND	041	IP	S	35,700	29.32	n/a	27-Apr	1,428.00	4.0
DSM CAPITAL PARTNERS	085	ISRG	S	755	524.52	n/a	n/a	37.75	5.0
HALCYON LLC	041	IWM	B	50,000	76.11	n/a	n/a	1,000.00	2.0
Õ Yanai Frank		JBHT	S	5	1.5200	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	JPM	SS	20,000	34.40	n/a	16-May	600.00	3.0
TUDOR INVESTORS	028	KSU	B	2,000	65.61	n/a	n/a	60.00	3.0
DSM CAPITAL PARTNERS	085	LVS	S	9,600	48.19	n/a	13-Jun	480.00	5.0
TUDOR INVESTORS	028	MLM	B	5,000	68.32	n/a	n/a	150.00	3.0
DSM CAPITAL PARTNERS	085	MON	S	6,950	70.60	n/a	1-May	347.50	5.0
TALPION LLC	040	MRVL	B	13,500	13.35	n/a	n/a	540.00	4.0
COBALT	041	MTOR	S	202,249	5.21	n/a	n/a	6,067.47	3.0
SIMMONS VENTURES	041	M	B	5,000	36.70	n/a	10-May	200.00	4.0
HOLLIS CAPITAL	033	NFLX	B	3,000	73.78	n/a	n/a	150.00	5.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	2.82	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	26.68	n/a	11-May	400.00	4.0
LATEFF MGMT	035	NYB	S	200	12.79	n/a	18-Apr	30.00	15.0
LATEFF MGMT	035	OI	B	500	19.91	n/a	n/a	70.00	14.0
IMPALA ASSET MMT	040	OXY	S	150,000	79.07	n/a	n/a	7,500.00	5.0
LATEFF MGMT	035	PBCT	B	1,000	11.82	n/a	19-Apr	100.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	PCAR	S	150,400	38.03	n/a	25-Apr	6,016.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	15,000	29.88	n/a	24-Apr	750.00	5.0
DSM CAPITAL PARTNERS	085	PCLN	S	945	654.97	n/a	n/a	47.25	5.0
TUDOR INVESTORS	028	PCP	SS	5,000	169.50	n/a	30-Apr	150.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	26.95	n/a	18-Apr	2,500.00	5.0
COLUMBUS CIRCLE	036	PLXS	S	980	28.82	n/a	n/a	39.20	4.0
DSM CAPITAL PARTNERS	085	PM	S	6,850	84.64	n/a	n/a	342.50	5.0
WEINTRAUB CAPITAL MGT.	269	PPG	SS	25,000	99.94	n/a	9-Apr	1,000.00	4.0
TALPION LLC	040	PSSI	B	6,192	18.75	n/a	n/a	247.68	4.0
DSM CAPITAL PARTNERS	085	PX	S	3,350	107.93	n/a	3-May	167.50	5.0
RIVERPARK CAPITAL	025	RATE	B	10,800	19.19	n/a	n/a	540.00	5.0
LATEFF MGMT	035	RKT	B	150	53.67	n/a	26-Apr	33.00	22.0
RBC CAPITAL MARKETS	040	ROST	B	15,000	62.87	n/a	4-May	600.00	4.0
DSM CAPITAL PARTNERS	085	SLB	S	8,400	65.02	n/a	n/a	420.00	5.0
TUDOR INVESTORS	028	SPW	B	2,000	69.43	n/a	n/a	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	TEA	S	29,500	17.06	n/a	n/a	1,180.00	4.0
IMPALA ASSET MMT	040	TEX	S	400,000	16.93	n/a	27-Apr	16,000.00	4.0
COLUMBUS CIRCLE	036	TNGO	B	1,692	20.40	n/a	n/a	67.68	4.0
SONTERRA CAP	041	TRN	B	40,000	24.71	n/a	n/a	1,600.00	4.0
HALCYON LLC	041	TSO	B	20,000	22.51	n/a	n/a	600.00	3.0
1798 CAP/LOMBARD ASSET	040	UAL	S	102,300	22.26	n/a	n/a	5,115.00	5.0
TUDOR INVESTORS	028	UNP	B	2,000	108.03	n/a	n/a	60.00	3.0
CAPITAL RESEARCH GROUP		296	UPL	B	140,200	18.96	n/a	9-May	4,907.00 3.5
ARMATURE CAPITAL	041	URI	B	25,000	36.04	n/a	17-Apr	1,000.00	4.0
IMPALA ASSET MMT	040	URI	S	419,246	34.81	n/a	17-Apr	20,962.30	5.0
RBC CAPITAL MARKETS	040	VAC	B	5,000	31.23	n/a	n/a	200.00	4.0
DSM CAPITAL PARTNERS	085	V	S	7,900	117.28	n/a	2-May	395.00	5.0
IMPALA ASSET MMT	040	WHR	S	344,877	59.40	n/a	n/a	17,243.85	5.0
LEVIN CAPITAL STRATEGIES	041	WMB	B	104,310	30.02	n/a	n/a	3,129.30	3.0
1798 CAP/LOMBARD ASSET	040	WNC	S	30,000	6.77	n/a	n/a	1,200.00	4.0
HOLLIS CAPITAL	033	WPRT	B	2,000	23.17	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	WWW	SS	10,000	41.91	n/a	n/a	300.00	3.0
IMPALA ASSET MMT	040	WYNN	S	40,000	104.75	n/a	13-Jun	2,000.00	5.0
BALLAST CAP	040	WY	S	15,300	18.86	n/a	4-May	765.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	18.81	n/a	4-May	1,250.00	5.0
DSM CAPITAL PARTNERS	085	YUM	S	3,900	69.00	n/a	20-Apr	195.00	5.0
TOTAL (Trade Date):								191,306.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									191,306.79
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									191,306.79
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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