



## Daily Compliance Activity Report

Trade Date: 02/22/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	AOS	B	54,700	46.31	n/a	27-Jan	1,914.50	3.5
RAINIER INV MGMT	035	BBBY	B	134,240	59.46	n/a	n/a	5,369.60	4.0
KOHALA CAPITAL PARTNERS	035	CAB	S	1,390	33.15	n/a	n/a	55.60	4.0
SANDLER O'NEILL ASSET	031	COF	B	15,000	48.43	n/a	22-Feb	750.00	5.0
NORTHWESTERN MUTUAL LIFE	047	CTL	S	152,550	39.35	n/a	n/a	6,102.00	4.0
HOPLITE MGMT	025	C	S	100,000	32.46	n/a	16-Feb	4,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	EXP	S	5,000	31.70	n/a	n/a	200.00	4.0
ASCEND PARTNERS	033	FINL	B	34,200	23.45	n/a	16-Feb	1,026.00	3.0
NORTHWESTERN MUTUAL LIFE	047	ITW	S	16,411	56.39	n/a	1-Feb	656.44	4.0
CATAPULT	040	KEG	B	25,000	17.03	n/a	17-Feb	1,000.00	4.0
SCOPUS FUND	041	LAD	S	39,700	24.10	n/a	n/a	1,588.00	4.0
KOHALA CAPITAL PARTNERS	035	LL	B	9,800	19.74	n/a	n/a	392.00	4.0
VERITION	028	MAR	S	15,000	34.36	n/a	13-Jun	450.00	3.0
NORTHWESTERN MUTUAL LIFE	047	MSFT	S	191,100	31.42	n/a	n/a	7,644.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	MTX	B	7,500	66.32	n/a	n/a	375.00	5.0
NICOLAS APPLGATE	084	NOV	B	60,100	86.01	n/a	n/a	1,202.00	2.0
KOHALA CAPITAL PARTNERS	035	PEB	S	2,280	21.82	n/a	n/a	91.20	4.0
VERITION	028	PFCB	B	10,000	37.24	n/a	16-Feb	300.00	3.0
CATAPULT	040	PKG	B	5,000	28.91	n/a	22-Feb	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	36,300	29.01	n/a	22-Feb	1,815.00	5.0
CHESAPEAKE PARTNERS	028	PSS	B	10,000	17.20	n/a	n/a	300.00	3.0
KOHALA CAPITAL PARTNERS	035	SHOO	S	2,500	42.08	n/a	n/a	100.00	4.0
VERITION	028	SHOO	B	3,500	42.45	n/a	n/a	105.00	3.0
VERITION	028	SMG	S	7,500	47.43	n/a	13-Feb	225.00	3.0
ASCEND PARTNERS	033	TGT	SS	89,300	52.95	n/a	8-Feb	2,679.00	3.0
KAM ADVISORS LLC	041	VZ	B	103,100	38.24	n/a	n/a	3,093.00	3.0
VERITION	028	WFM	B	10,000	80.52	n/a	n/a	300.00	3.0
METROPOLITAN CAPITAL	044	WMT	B	7,460	58.71	n/a	22-Feb	373.00	5.0
SCOPUS FUND	041	WMT	S	50,000	58.67	n/a	22-Feb	2,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>44,306.34</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/21	TUDOR INVESTORS (TUDRMAIN)	028	SHOO	SS	26,727	42.25	n/a	n/a	801.81 3.0
AO,CRT	02/21	TUDOR INVESTORS (TUDRMAIN)	028	SHOO	SS	26,727	42.25	n/a	n/a	801.81 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date):	44,306.34
TOTAL (AO, CXL, CRT):	0.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>44,306.34</b>
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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