



Daily Compliance Activity Report

Trade Date: 04/17/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LIONEYE CAPITAL	040	AOL	B	10,000	25.75	n/a	n/a	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	APC	B	5,000	74.14	n/a	14-Mar	150.00	3.0
1798 CAP/LOMBARD ASSET	040	ASH	B	32,000	63.79	n/a	16-Mar	1,600.00	5.0
PRIMECAP MGMT	084	ASNA	S	20,000	21.38	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	297	BAM	S	334,103	31.40	n/a	n/a	13,364.12	4.0
PZENA INV ADV	044	BDX	B	6,925	76.69	n/a	n/a	242.38	3.5
THE JAY GOLDMAN	028	BWA	SS	11,000	83.59	n/a	15-Feb	440.00	4.0
LEVIN CAPITAL STRATEGIES	041	CI	B	10,000	48.17	n/a	n/a	300.00	3.0
KINGDON ASSET MGMT	041	COH	S	25,000	75.15	n/a	2-Mar	1,000.00	4.0
ROTHSCHILD ASSET	040	COH	S	38,891	75.25	n/a	2-Mar	1,555.64	4.0
SUN AMERICA ASSET MGMT	030	COH	S	9,043	74.25	n/a	2-Mar	361.72	4.0
PRIMECAP MGMT	084	CP	S	20,000	76.04	n/a	n/a	800.00	4.0
DELTEC ASSET MGMT.	040	C	S	10,000	34.59	n/a	17-Apr	500.00	5.0
COLUMBUS CIRCLE	036	EDMC	S	3,030	12.59	n/a	n/a	121.20	4.0
FIRST NY SEC/CHRIS	041	EXPR	B	15,000	24.41	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	F	C	110,385	11.99	n/a	4-Apr	3,311.55	3.0
THE JAY GOLDMAN	028	F	B	48,500	11.94	n/a	4-Apr	1,940.00	4.0
THE JAY GOLDMAN	028	GM	SS	50,000	24.37	n/a	4-Apr	2,000.00	4.0
THE JAY GOLDMAN	028	GM	S	37,500	24.37	n/a	4-Apr	1,500.00	4.0
TUDOR INVESTORS	028	GWV	SS	2,000	212.23	n/a	17-Apr	60.00	3.0
ROSEDALE CAPITAL	046	HCBK	B	20,000	6.73	n/a	25-Jan	600.00	3.0
BASIX	033	HSC	B	18,000	22.57	n/a	11-Apr	540.00	3.0
TUDOR INVESTORS	028	HUBB	B	5,000	78.59	n/a	n/a	150.00	3.0
MFP INVESTORS	085	JNS	B	75,000	8.28	n/a	n/a	3,000.00	4.0
DAVIDSON INV ADV	035	JPM	S	60,900	43.71	n/a	13-Apr	2,436.00	4.0
RBC CAPITAL MARKETS	040	KR	B	25,000	23.84	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	KSS	SS	20,000	51.31	n/a	30-Mar	1,000.00	5.0
BRONSON POINT	036	KSS	S	50,000	50.98	n/a	30-Mar	1,500.00	3.0
KLEINHEINZ CAP PART	031	KSS	B	75,000	51.05	n/a	30-Mar	3,750.00	5.0
LONG OAR GLOBAL INV	040	KSU	B	40,135	74.13	n/a	n/a	1,605.40	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	20,000	26.06	n/a	4-Apr	1,000.00	5.0
LISTED ERR	099	LAZ	B	952	26.52	n/a	4-Apr	0.00	0.0
LISTED ERR	099	LAZ	SS	952	26.05	n/a	4-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	LPX	B	30,000	8.42	n/a	16-Apr	1,500.00	5.0
VERITION	028	LVS	B	17,500	58.47	n/a	13-Jun	525.00	3.0
JP MORGAN VENTURES	046	M	B	20,000	40.39	n/a	9-Apr	800.00	4.0
TRELLUS PARTNERS LP	028	PFCB	B	12,520	39.51	n/a	13-Apr	375.60	3.0
PRIMECAP MGMT	084	SCHW	B	50,000	13.96	n/a	n/a	2,000.00	4.0
SIMMONS VENTURES	041	SKS	SS	5,000	10.80	n/a	n/a	200.00	4.0
PRIMECAP MGMT	084	SNE	S	600	17.47	n/a	n/a	24.00	4.0
FIRST NY SEC/CHRIS	041	SPY	SS	20,000	139.15	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	041	STI	B	8,000	23.50	n/a	n/a	240.00	3.0
GLOBAL 56 LLC	060	SWSH	B	5,000	2.39	n/a	n/a	150.00	3.0
M&I FUNDS	047	TYC	S	6,622	55.13	n/a	28-Mar	264.88	4.0
TUDOR INVESTORS	028	URI	S	5,000	40.99	n/a	17-Apr	150.00	3.0
OZ MGMT	040	USG	B	12,200	16.74	n/a	17-Apr	366.00	3.0
SCHOTTENFELD ASSOC	041	USG	S	50,000	17.16	n/a	17-Apr	1,500.00	3.0
GLENHILL CAPITAL	036	WAG	SS	125,000	34.89	n/a	n/a	6,250.00	5.0
GLENHILL CAPITAL	036	WEN	B	37,847	4.82	n/a	13-Apr	1,135.41	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
WEISS PECK - ROBECO INV		040	WNC	B	53,280	8.71	n/a	n/a	2,131.20	4.0
MA CAPITAL MGMT/MELLON ADV041		XLF	B	4,000	15.42	n/a	n/a	160.00	4.0	
MA CAPITAL MGMT/MELLON ADV041		XLF	S	4,000	15.41	n/a	n/a	160.00	4.0	
TOTAL (Trade Date) :								66,410.10		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/12	RIVERPARK CAPITAL (RIVPLONGS)	025	BX	B	10,200	14.78	n/a	n/a	510.00 5.0
AO,CXL	04/12	RIVERPARK CAPITAL (RIVPWEDGE)	025	BX	B	10,200	14.78	n/a	n/a	510.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	66,410.10
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	66,410.10
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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