



## Daily Compliance Activity Report

Trade Date: 03/23/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ICS-SAYAN GHOSH028		ACI	SS	86,500	11.71	n/a	n/a	3,460.00	4.0
MILLENNIUM-ICS-SAYAN GHOSH028		ANR	B	62,500	16.15	n/a	n/a	2,500.00	4.0
NOKOMIS PARTNERS	031	AOL	B	8,396	17.52	n/a	n/a	251.88	3.0
CATAPULT	040	ARO	S	755	20.69	n/a	n/a	30.20	4.0
TUDOR INVESTORS	028	BGC	B	10,000	28.55	n/a	n/a	300.00	3.0
PROSPECTOR PARTNERS LLC	036	BRKB	S	5,000	81.30	n/a	n/a	200.00	4.0
CATAPULT	040	CBS	S	175	31.60	n/a	n/a	7.00	4.0
MILLENNIUM-ICS-SAYAN GHOSH028		CLF	B	25,700	70.59	n/a	n/a	1,028.00	4.0
CATAPULT	040	DIS	B	2,278	43.07	n/a	n/a	91.12	4.0
CATAPULT	040	DKS	S	949	48.71	n/a	7-Mar	37.96	4.0
MERRILL ASSET/BLACKROCK	297	DRE	S	32,000	14.22	n/a	n/a	1,280.00	4.0
CATAPULT	040	ETH	B	2,270	25.36	n/a	n/a	90.80	4.0
TUDOR INVESTORS	028	FCX	B	5,000	38.44	n/a	n/a	150.00	3.0
MERRILL ASSET/BLACKROCK	297	FX	S	6,759	14.63	n/a	n/a	270.36	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	GFI	B	20,000	13.87	n/a	n/a	600.00	3.0
PROSPECTOR PARTNERS LLC	036	GFI	S	10,000	13.87	n/a	n/a	300.00	3.0
UNITED STATES PENSION	085	GOOG	B	39,000	645.72	n/a	n/a	1,950.00	5.0
CATAPULT	040	HBI	B	2,483	29.13	n/a	16-Feb	99.32	4.0
RBC CAPITAL MARKETS	040	HD	B	10,000	49.35	n/a	21-Feb	400.00	4.0
CATAPULT	040	HOG	B	943	48.39	n/a	n/a	37.72	4.0
TOCQUEVILLE	035	HSC	B	50,000	22.73	n/a	23-Mar	2,500.00	5.0
LATEFF MGMT	035	INTC	S	1,825	27.88	n/a	n/a	182.50	10.0
MOORE CAPITAL	041	ITB	S	35,000	14.65	n/a	n/a	1,050.00	3.0
TUDOR INVESTORS	028	JJC	SS	5,000	48.58	n/a	n/a	150.00	3.0
SIMMONS VENTURES	041	JNY	B	15,000	11.06	n/a	9-Feb	600.00	4.0
JAT CAPITAL MANAGEMENT	041	KBH	B	330,000	10.25	n/a	n/a	13,200.00	4.0
CATAPULT	040	KCG	SS	15,000	13.35	n/a	n/a	600.00	4.0
PATTEN & PATTEN	025	KRE	B	500	28.21	n/a	n/a	25.00	5.0
CATAPULT	040	LEG	B	6,015	22.39	n/a	n/a	240.60	4.0
TUDOR INVESTORS	028	LEN	B	5,000	25.53	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	LOW	S	24,305	30.20	n/a	28-Feb	972.20	4.0
DSG CAPITAL	030	LPX	B	30,000	9.43	n/a	7-Feb	900.00	3.0
CATAPULT	040	MAN	B	1,713	45.49	n/a	n/a	68.52	4.0
BALYASNY ASSET MGMT	044	OI	SS	10,000	23.42	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	PBCT	S	20,000	13.24	n/a	28-Feb	800.00	4.0
PATTEN & PATTEN	025	PEP	S	1,500	65.71	n/a	n/a	75.00	5.0
STANDARD PACIFIC CAPITAL	084	PHM	B	150,000	8.69	n/a	n/a	6,000.00	4.0
ACK ASSET	028	PNK	S	100,000	10.36	n/a	n/a	3,000.00	3.0
ASCEND PARTNERS	033	PVH	S	15,000	89.31	n/a	29-Feb	450.00	3.0
CATAPULT	040	RDEN	B	1,163	35.47	n/a	20-Mar	46.52	4.0
CATAPULT	040	RF	B	5,000	6.42	n/a	n/a	200.00	4.0
CATAPULT	040	RGC	B	571	14.08	n/a	n/a	22.84	4.0
ARMATURE CAPITAL	041	RKT	SS	45,000	67.48	n/a	19-Mar	1,800.00	4.0
CATAPULT	040	SPLS	B	1,162	16.55	n/a	n/a	46.48	4.0
GEORGE WEISS	034	STMP	SS	10,900	27.85	n/a	n/a	327.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM-ICS-SAYAN GHOSH028		SXC	SS	36,400	14.02	n/a	n/a	1,456.00	4.0
PATTEN & PATTEN	025	TSCO	B	250	86.36	n/a	n/a	12.50	5.0
CAERUS GLOBAL	041	URBN	B	12,400	28.68	n/a	n/a	496.00	4.0
PATTEN & PATTEN	025	UTX	S	421	82.07	n/a	n/a	21.05	5.0
BRONSON POINT	036	VAC	B	11,000	27.53	n/a	n/a	330.00	3.0
CATAPULT	040	VSI	B	2,254	43.46	n/a	n/a	90.16	4.0
MILLENNIUM-ICS-SAYAN GHOSH028		WLT	B	23,800	62.85	n/a	n/a	952.00	4.0
PROSPECTOR PARTNERS LLC	036	WMT	S	5,000	60.72	n/a	22-Feb	200.00	4.0
RIDGECREST INV MGMT LLC	028	WRC	B	5,000	57.18	n/a	23-Mar	250.00	5.0
TRELLUS PARTNERS LP	028	WRC	C	10,400	57.22	n/a	23-Mar	312.00	3.0
PATTEN & PATTEN	025	XOM	S	500	85.90	n/a	n/a	25.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>51,135.73</b>	

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):									51,135.73
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									51,135.73
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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