



## Daily Compliance Activity Report

Trade Date: 05/25/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	ATI	B	1,000	34.29	n/a	11-May	100.00	10.0
NEWLAND CAPITAL MGT	025	AXL	S	20,000	9.31	n/a	30-Apr	600.00	3.0
LATEFF MGMT	035	BDN	S	250	11.30	n/a	n/a	37.50	15.0
NEUBERGER BERMAN	036	CCE	S	20,000	27.58	n/a	n/a	800.00	4.0
LATEFF MGMT	035	CMCSK	S	2,000	28.66	n/a	n/a	200.00	10.0
DELTEC ASSET MGMT.	040	DAL	S	34,000	11.48	n/a	n/a	1,700.00	5.0
LATEFF MGMT	035	DOW	B	2,000	31.36	n/a	1-May	200.00	10.0
WEINTRAUB CAPITAL MGT.	269	EBAY	S	100,000	39.89	n/a	n/a	4,000.00	4.0
SCOUT/UMB	047	FDO	B	46,368	67.69	n/a	7-May	1,391.04	3.0
NEUBERGER BERMAN	036	FEIC	B	21,700	45.58	n/a	n/a	868.00	4.0
ROYCE TRADING	031	FINL	S	4,000	21.76	n/a	2-Apr	200.00	5.0
BASIX	033	FL	SS	10,000	32.53	n/a	18-May	300.00	3.0
ROYCE TRADING	031	FL	B	4,400	32.57	n/a	18-May	220.00	5.0
ROYCE TRADING	031	FRS	S	1,200	27.00	n/a	n/a	60.00	5.0
DECADE CAPITAL PARTNERS	040	GS	SS	10,300	96.85	n/a	24-May	412.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Yanai Frank		GWV	B	100195.7360		n/a	19-Apr	0.00	0.0
ROBERTSON STEVENS BC	084	HBI	B	37,500	26.90	n/a	25-May	1,500.00	4.0
ARSENAL ASSET MANAGEMENT	028	HON	S	20,000	56.98	n/a	3-May	600.00	3.0
ROYCE TRADING	031	HUBB	S	1,000	79.54	n/a	n/a	50.00	5.0
LIONEYE CAPITAL	040	LEN	SS	5,000	28.37	n/a	n/a	250.00	5.0
LONG OAR GLOBAL INV	040	LPX	B	75,000	9.53	n/a	7-May	2,250.00	3.0
TUDOR INVESTORS	028	MHK	B	5,000	70.07	n/a	n/a	150.00	3.0
ROYCE TRADING	031	MOV	S	5,647	28.98	n/a	n/a	282.35	5.0
SENATOR INVESTMENT GROUP	036	MPC	B	200,000	36.73	n/a	n/a	6,000.00	3.0
DECADE CAPITAL PARTNERS	040	MS	B	75,200	13.27	n/a	24-May	3,008.00	4.0
AMBER CAPITAL	046	NYX	SS	100,000	24.47	n/a	n/a	4,000.00	4.0
Õ Yanai Frank		PH	B	275 84.4050		n/a	25-Apr	0.00	0.0
Õ Yanai Frank		PX	B	230108.9140		n/a	3-May	0.00	0.0
LATEFF MGMT	035	RDSB	B	500	64.92	n/a	n/a	65.00	13.0
RAINIER INV MGMT	035	RJF	B	73,450	34.03	n/a	n/a	2,938.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	SBUX	B	30,000	54.69	n/a	27-Apr	1,500.00	5.0
LATEFF MGMT	035	SPLS	S	200	13.44	n/a	n/a	30.00	15.0
<b>Õ Yanai Frank</b>		<b>SPY</b>	<b>B</b>	<b>125132.4300</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	TSN	S	225	19.32	n/a	n/a	33.75	15.0
ROYCE TRADING	031	TW	S	1,200	60.75	n/a	n/a	60.00	5.0
LATEFF MGMT	035	T	S	2,500	33.68	n/a	n/a	250.00	10.0
WEINTRAUB CAPITAL MGT.	269	T	B	50,000	33.81	n/a	n/a	2,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	UNP	SS	15,000	112.18	n/a	n/a	450.00	3.0
<b>Õ Yanai Frank</b>		<b>VGK</b>	<b>B</b>	<b>600 40.0980</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	VOD	B	550,000	27.13	n/a	n/a	22,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	WLK	B	20,000	56.05	n/a	n/a	600.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>59,105.64</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):									59,105.64
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									59,105.64
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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