



## Daily Compliance Activity Report

Trade Date: 04/23/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	ABB	B	106,000	19.76	n/a	n/a	2,120.00	2.0
PRIMECAP MGMT	084	ABFS	B	2,298	17.43	n/a	n/a	91.92	4.0
BRONSON POINT	036	AEO	S	25,000	17.80	n/a	2-Dec	750.00	3.0
BRONSON POINT	036	AGCO	C	17,100	44.42	n/a	18-Apr	513.00	3.0
TUDOR INVESTORS	028	ALSN	B	2,000	21.15	n/a	n/a	60.00	3.0
PATTEN & PATTEN	025	AMLX	B	700	16.67	n/a	n/a	35.00	5.0
HOLLIS CAPITAL	033	AMRN	B	5,000	10.11	n/a	n/a	250.00	5.0
DC CAPITAL	044	ATI	B	25,000	39.58	n/a	13-Apr	1,000.00	4.0
PATTEN & PATTEN	025	BHP	B	125	71.88	n/a	n/a	6.25	5.0
CAPITAL RESEARCH GROUP	296	BMX	S	174,800	34.03		n/a	n/a	6,118.00 3.5
PRIMECAP MGMT	084	BWC	S	30,000	23.04	n/a	n/a	1,200.00	4.0
RBC CAPITAL MARKETS	040	CCL	SS	5,000	31.46	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	COH	B	12,500	74.80	n/a	19-Apr	500.00	4.0
GLENHILL CAPITAL	036	COST	B	42,500	87.11	n/a	n/a	2,125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	CP	S	600	74.74	n/a	n/a	24.00	4.0
PATTEN & PATTEN	025	DD	S	200	51.74	n/a	19-Apr	10.00	5.0
COHE & STEERS	041	DEI	S	88,983	22.74	n/a	n/a	2,669.49	3.0
WEINTRAUB CAPITAL MGT.	269	DRI	SS	50,000	49.44	n/a	13-Apr	2,000.00	4.0
PATTEN & PATTEN	025	DVY	B	160	55.39	n/a	n/a	8.00	5.0
BASIX	033	EAT	S	29,300	30.85	n/a	23-Apr	879.00	3.0
PATTEN & PATTEN	025	EEM	B	225	41.43	n/a	n/a	11.25	5.0
TUDOR INVESTORS	028	EMR	S	5,000	49.88	n/a	n/a	150.00	3.0
BALTHAZAR CAPITAL PARTNERS LTD085		ETN	B	10,000	47.12	n/a	23-Apr	500.00	5.0
PATTEN & PATTEN	025	EWA	B	139	23.23	n/a	n/a	6.95	5.0
RBC CAPITAL MARKETS	040	FL	B	5,000	30.15	n/a	7-Mar	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	50,000	14.99	n/a	16-Apr	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	269	GRA	SS	25,000	54.89	n/a	n/a	1,000.00	4.0
WADDELL AND REED	047	GRPN	S	250,000	11.52	n/a	n/a	10,000.00	4.0
ROXBURY CAPITAL MGMT	035	HBI	B	86,480	28.99	n/a	20-Apr	2,594.40	3.0

<b>Account</b>	<b>RR #</b>	<b>Symbol</b>	<b>B/S</b>	<b>Shares</b>	<b>Price</b>	<b>MRI</b>	<b>Research</b>	<b>Comm.¢/Shr.</b>	
SIMMONS VENTURES	041	HBI	B	10,000	29.49	n/a	20-Apr	400.00	4.0
RBC CAPITAL MARKETS	040	HLF	B	5,000	71.09	n/a	n/a	200.00	4.0
CAERUS GLOBAL	041	HMIN	B	10,100	24.52	n/a	n/a	404.00	4.0
BASSWOOD PARTNERS	267	IEX	C	17,728	40.63	n/a	n/a	709.12	4.0
WADDELL AND REED	047	INTC	B	550,100	27.44	n/a	n/a	22,004.00	4.0
PATTEN & PATTEN	025	IXN	B	200	67.20	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	IYG	B	360	54.18	n/a	n/a	18.00	5.0
PRIMECAP MGMT	084	JEC	B	5,000	42.38	n/a	n/a	200.00	4.0
MFP INVESTORS	085	JNS	B	175,000	7.94	n/a	n/a	7,000.00	4.0
SIMMONS VENTURES	041	JNY	B	20,000	12.50	n/a	19-Apr	800.00	4.0
RBC CAPITAL MARKETS	040	KFT	B	15,000	38.05	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	KORS	B	1,300	40.21	n/a	n/a	52.00	4.0
PATTEN & PATTEN	025	KRE	B	725	27.48	n/a	n/a	36.25	5.0
PRIMECAP MGMT	084	LIFE	B	7,000	45.75	n/a	n/a	280.00	4.0
NOMURA CAPITAL	029	LYB	S	1,500	43.57	n/a	n/a	45.00	3.0
PRIMECAP MGMT	084	MDR	S	10,700	11.10	n/a	n/a	428.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	MDT	S	4,000	37.20	n/a	n/a	160.00	4.0
SCOPUS FUND	041	MFB	B	25,000	22.55	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	025	MO	S	300	31.64	n/a	n/a	15.00	5.0
PRIMECAP MGMT	084	NBL	S	13,000	93.70	n/a	n/a	520.00	4.0
PRIMECAP MGMT	084	NOV	S	14,000	77.69	n/a	n/a	560.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	28.09	n/a	16-Apr	400.00	4.0
PATTEN & PATTEN	025	NSC	B	130	68.99	n/a	n/a	6.50	5.0
PRIMECAP MGMT	084	NVDA	S	29,300	13.20	n/a	n/a	1,172.00	4.0
PRIMECAP MGMT	084	OII	S	119,400	51.07	n/a	n/a	4,776.00	4.0
COUGAR TRADING	044	OZM	S	5,000	8.21	n/a	n/a	200.00	4.0
COOPER CREEK PART	028	PAG	B	12,255	26.26	n/a	18-Apr	490.20	4.0
PRIMECAP MGMT	084	QGEN	B	13,000	15.47	n/a	n/a	520.00	4.0
BASSWOOD PARTNERS	267	ROP	C	9,500	98.84	n/a	n/a	380.00	4.0
VERITION	028	SBUX	B	12,500	58.14	n/a	23-Apr	375.00	3.0
PATTEN & PATTEN	025	SDS	S	3,500	15.96	n/a	n/a	175.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	SPY	B	170	136.53	n/a	n/a	8.50	5.0
PROSPECTOR PARTNERS LLC	036	SYX	B	10,000	28.54	n/a	n/a	400.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>TBT</b>	<b>B</b>	<b>250</b>	<b>18.2880</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAERUS GLOBAL	041	TGT	B	9,000	56.39	n/a	9-Apr	360.00	4.0
RBC CAPITAL MARKETS	040	TPX	B	10,000	64.82	n/a	n/a	400.00	4.0
CATAPULT	040	TXRH	B	12,162	16.26	n/a	n/a	486.48	4.0
RBC CAPITAL MARKETS	040	VFC	B	5,000	149.46	n/a	19-Apr	200.00	4.0
STANDARD PACIFIC CAPITAL	084	VLO	S	275,000	23.43	n/a	n/a	13,750.00	5.0
MERRILL ASSET/BLACKROCK	297	WBS	S	13,742	21.26	n/a	n/a	549.68	4.0
PRIMECAP MGMT	084	WHR	S	1,600	63.77	n/a	n/a	64.00	4.0
TUDOR INVESTORS	028	WLT	B	2,000	63.15	n/a	n/a	60.00	3.0
BNP PARIBAS SEC	040	WMT	B	100,000	59.74	n/a	23-Apr	5,000.00	5.0
FIRST NEW YORK FRAN	028	WMT	B	15,000	59.50	n/a	23-Apr	600.00	4.0
OZ MGMT	040	WMT	B	75,000	59.79	n/a	23-Apr	2,250.00	3.0
TUDOR INVESTORS	028	WNC	B	8,700	8.35	n/a	n/a	261.00	3.0
BNP PARIBAS SEC	040	WRC	B	10,000	52.82	n/a	19-Apr	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	WSH	B	8,000	36.10	n/a	n/a	320.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	100,000	20.15	n/a	16-Apr	5,000.00	5.0
MA CAPITAL MGMT/MELLON ADV041		WY	B	5,000	20.20	n/a	16-Apr	250.00	5.0
NEWLAND CAPITAL MGT	025	XLE	B	25,000	67.91	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	025	X	S	10,000	27.93	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	ZIP	SS	16,300	13.53	n/a	n/a	815.00	5.0
<b>TOTAL (Trade Date):</b>							<b>114,132.99</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	------	--------	-----	--------	-------	--------------	-------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (Trade Date):									114,132.99
---------------------	--	--	--	--	--	--	--	--	------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									114,132.99
-------------------------	--	--	--	--	--	--	--	--	------------

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