



Daily Compliance Activity Report

Trade Date: 02/10/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	269	AMGN	B	55,000	67.32	n/a	n/a	2,200.00	4.0
PZENA INV ADV	044	APOL	B	475	53.90	n/a	n/a	16.63	3.5
STANDARD PACIFIC CAPITAL	084	ATVI	SS	300,000	12.50	n/a	n/a	12,000.00	4.0
PZENA INV ADV	044	BP	B	3,225	46.53	n/a	n/a	112.88	3.5
EDGEWOOD	085	COH	S	187,916	74.42	n/a	25-Jan	9,395.80	5.0
ROYCE TRADING	031	CYT	S	1,000	56.13	n/a	n/a	50.00	5.0
LATEFF MGMT	035	DAL	B	300	10.85	n/a	n/a	30.00	10.0
ROYCE TRADING	031	DLA	B	5,000	16.19	n/a	n/a	250.00	5.0
IRIDIAN ASSET MGMT.	036	DVN	S	58,550	64.96	n/a	6-Jan	2,927.50	5.0
LATEFF MGMT	035	DVN	B	4,625	64.53	n/a	6-Jan	718.50	21.4
RIVERPARK CAPITAL	025	ESRX	S	30,000	50.08	n/a	n/a	1,500.00	5.0
TUDOR INVESTORS	028	EXPD	B	3,000	42.95	n/a	n/a	90.00	3.0
ROYCE TRADING	031	FCS	S	2,500	15.07	n/a	n/a	125.00	5.0
FARBER/WEISS PECK	085	FINL	B	11,100	23.05	n/a	20-Jan	444.00	4.0
ROYCE TRADING	031	FNF	B	5,000	17.80	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	GWV	B	2,000	199.98	n/a	26-Jan	60.00	3.0
ROYCE TRADING	031	HXL	S	3,000	26.27	n/a	30-Jan	150.00	5.0
ROYCE TRADING	031	IN	S	5,000	7.69	n/a	n/a	250.00	5.0
BNP PARIBAS SEC	040	IP	B	20,000	31.44	n/a	2-Feb	1,000.00	5.0
COUGAR TRADING	044	IP	B	10,000	31.31	n/a	2-Feb	500.00	5.0
COUGAR TRADING	044	IP	S	10,000	31.75	n/a	2-Feb	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	250,000	31.85	n/a	2-Feb	12,500.00	5.0
DEVENNY CAP LLC	044	IP	SS	6,800	31.75	n/a	2-Feb	204.00	3.0
LATEFF MGMT	035	IP	B	125	31.52	n/a	2-Feb	31.25	25.0
MACQUARIE INVESTMENT MGMT.	040	IP	B	15,000	31.71	n/a	2-Feb	0.00	0.0
OZ MGMT	040	IP	B	100,000	31.65	n/a	2-Feb	3,000.00	3.0
SCOPUS FUND	041	IP	B	25,000	31.64	n/a	2-Feb	1,000.00	4.0
ROYCE TRADING	031	IRF	B	5,000	22.00	n/a	n/a	250.00	5.0
ROYCE TRADING	031	JNS	B	1,000	8.51	n/a	n/a	50.00	5.0
ROYCE TRADING	031	JNY	S	1,000	9.90	n/a	9-Feb	50.00	5.0
ROYCE TRADING	031	KEM	S	2,500	9.77	n/a	n/a	125.00	5.0
ROYCE TRADING	031	KKD	S	5,000	8.03	n/a	n/a	250.00	5.0
ROYCE TRADING	031	KND	S	500	12.49	n/a	n/a	25.00	5.0
ROYCE TRADING	031	KOP	S	3,500	39.22	n/a	n/a	175.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	KS	B	25,000	18.29	n/a	n/a	1,000.00	4.0
ROYCE TRADING	031	MTX	B	18,500	66.29	n/a	n/a	925.00	5.0
T. ROWE PRICE	033	NKE	B	15,200	105.02	n/a	9-Jan	608.00	4.0
TUDOR INVESTORS	028	NSC	SS	2,000	71.47	n/a	n/a	60.00	3.0
PRIMECAP MGMT	084	NUAN	B	20,000	26.43	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	N	B	13,400	45.63	n/a	n/a	536.00	4.0
ARSENAL ASSET MANAGEMENT	028	PAG	S	8,306	23.50	n/a	13-Jan	332.24	4.0
LATEFF MGMT	035	PBCT	B	250	12.50	n/a	20-Jan	30.00	12.0
COOPER CREEK PART	028	PKG	B	4,600	28.84	n/a	24-Jan	184.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	25,000	28.95	n/a	24-Jan	1,250.00	5.0
LATEFF MGMT	035	PSAPRR	B	150	26.55	n/a	n/a	30.00	20.0
TUDOR INVESTORS	028	RBC	B	5,000	67.99	n/a	n/a	150.00	3.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	20,100	67.46	n/a	26-Jan	1,005.00	5.0
WEINTRAUB CAPITAL MGT.	269	RSG	B	50,000	29.99	n/a	n/a	2,000.00	4.0
ELM RIDGE ADVISORS	044	RYN	B	33,987	45.05	n/a	26-Jan	1,359.48	4.0
TUDOR INVESTORS	028	SHOO	B	37,500	40.00	n/a	n/a	1,125.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	SPW	B	2,000	74.33	n/a	n/a	60.00	3.0
NEUBERGER BERMAN	036	SREV	B	18,900	16.52	n/a	n/a	756.00	4.0
LATEFF MGMT	035	TCB	S	100	10.82	n/a	n/a	25.00	25.0
TUDOR INVESTORS	028	TRN	B	3,000	32.87	n/a	n/a	90.00	3.0
TRUSTCO/SUNTRUST	098	UNP	S	14,695	111.18	n/a	n/a	514.34	3.5
VISIUM/BALY BOBBY	044	XLI	B	20,000	36.96	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date) :								64,070.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/09	TUDOR INVESTORS (TUDRMS)	028	AXL	SS	5,000	12.50	n/a	6-Feb	150.00 3.0
AO,CRT	02/09	TUDOR INVESTORS (TUDRJMPB)	028	AXL	SS	5,000	12.50	n/a	6-Feb	150.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	64,070.62
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	64,070.62
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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