



Daily Compliance Activity Report

Trade Date: 01/06/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	ANF	S	2,800	45.73	n/a	3-Jan	84.00	3.0
Ann Bettendorf Freeman		APPL	S	15420	8740	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	ARCO	S	107,000	19.36	n/a	6-Jan	4,280.00	4.0
TUDOR INVESTORS	028	ARII	B	5,643	25.80	n/a	n/a	169.29	3.0
TUDOR INVESTORS	028	AWI	S	10,000	47.14	n/a	n/a	300.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	17,500	11.51	n/a	6-Jan	875.00	5.0
WINSLOW CAPITAL	030	BEN	S	3,900	97.80	n/a	2-Mar	117.00	3.0
WINSLOW CAPITAL	030	BTU	S	2,900	35.86	n/a	n/a	87.00	3.0
BASIX	033	BWA	SS	13,000	65.35	n/a	6-Jan	390.00	3.0
FIRST NY SEC/CHRIS	041	BWA	SS	10,000	65.57	n/a	6-Jan	500.00	5.0
WINSLOW CAPITAL	030	BWA	S	4,800	65.50	n/a	6-Jan	144.00	3.0
TUDOR INVESTORS	028	CAT	B	5,000	95.50	n/a	21-Dec	150.00	3.0
TALPION LLC	040	CECO	B	4,131	7.24	n/a	n/a	123.93	3.0
TALPION LLC	040	CECO	S	4,131	8.00	n/a	n/a	123.93	3.0
NOMURA CAPITAL	029	CHMT	S	352	11.62	n/a	18-Feb	10.56	3.0
WINSLOW CAPITAL	030	CME	S	1,000	232.69	n/a	28-Apr	30.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CRM	S	3,800	98.76	n/a	n/a	114.00	3.0
SIMMONS VENTURES	041	CROX	B	5,000	15.06	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	DG	B	40,000	40.90	n/a	5-Dec	2,000.00	5.0
WINSLOW CAPITAL	030	DHR	S	17,100	48.14	n/a	n/a	513.00	3.0
BESSEMER INVESTMENT	085	DIS	S	340	39.88	n/a	n/a	13.60	4.0
BESSEMER INVESTMENT	085	ECL	S	335	58.03	n/a	3-Jan	13.40	4.0
WINSLOW CAPITAL	030	EW	S	4,900	71.93	n/a	n/a	147.00	3.0
PATTEN & PATTEN	025	FCX	B	850	39.06	n/a	n/a	42.50	5.0
TUDOR INVESTORS	028	FCX	S	5,000	39.56	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	FLR	S	7,100	52.17	n/a	n/a	213.00	3.0
BESSEMER INVESTMENT	085	GE	S	1,060	18.74	n/a	n/a	42.40	4.0
LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	22.49	n/a	6-Jan	600.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GM	S	24,000	22.84	n/a	6-Jan	0.00	0.0
TALPION LLC	040	HNT	S	5,000	32.04	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	IP	S	540	30.90	n/a	27-Oct	21.60	4.0
TUDOR INVESTORS	028	IP	SS	5,000	30.93	n/a	27-Oct	150.00	3.0
WINSLOW CAPITAL	030	ITW	S	5,700	47.72	n/a	5-Dec	171.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JET CAPITAL/CHRIS	041	IYR	C	80,700	56.72	n/a	n/a	2,421.00	3.0
BALLAST CAP	040	JAH	SS	11,800	29.91	n/a	n/a	590.00	5.0
BESSEMER INVESTMENT	085	JCI	S	300	33.16	n/a	4-Jan	12.00	4.0
BESSEMER INVESTMENT	085	JPM	S	350	35.60	n/a	6-Jan	14.00	4.0
WINSLOW CAPITAL	030	JPM	S	8,700	35.34	n/a	6-Jan	261.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	S	21,900	27.25	n/a	6-Jan	1,095.00	5.0
FIRST NY SEC/CHRIS	041	LEA	B	10,000	42.66	n/a	6-Jan	500.00	5.0
SCOPUS FUND	041	LPX	B	50,000	8.34	n/a	7-Nov	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	MET	S	10,000	32.86	n/a	n/a	300.00	3.0
BRONSON POINT	036	MGA	SS	30,000	36.24	n/a	n/a	900.00	3.0
TUDOR INVESTORS	028	MHK	B	5,000	59.87	n/a	n/a	150.00	3.0
WINSLOW CAPITAL	030	MON	S	7,800	77.36	n/a	6-Jan	234.00	3.0
ACK ASSET	028	MWV	SS	100,000	29.54	n/a	26-Oct	3,000.00	3.0
ARMATURE CAPITAL	041	MWV	SS	50,000	29.70	n/a	26-Oct	2,000.00	4.0
M&I FUNDS	047	M	B	60,483	34.44	n/a	6-Jan	2,419.32	4.0
TUDOR INVESTORS	028	NUE	B	8,000	41.12	n/a	n/a	240.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PFE	S	795	21.66	n/a	n/a	31.80	4.0
Õ Ann Bettendorf Freeman		QCOM	S	50	56.1400	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	RKT	S	5,300	61.46	n/a	5-Jan	159.00	3.0
SENATOR INVESTMENT GROUP	036	RKT	B	18,080	59.45	n/a	5-Jan	542.40	3.0
TRELLUS PARTNERS LP	028	RKT	B	300	58.75	n/a	5-Jan	15.00	5.0
WEINTRAUB CAPITAL MGT.	269	RKT	S	15,000	61.78	n/a	5-Jan	600.00	4.0
THIRD COAST CAPITAL	035	SEAC	S	40,000	6.78	n/a	n/a	2,000.00	5.0
TALPION LLC	040	SLM	S	7,500	13.88	n/a	5-Jan	300.00	4.0
SANDLER O'NEILL ASSET	031	STT	SS	15,000	41.30	n/a	6-Jan	750.00	5.0
TUDOR INVESTORS	028	SXC	B	7,725	11.91	n/a	n/a	231.75	3.0
FIRST NY SEC/CHRIS	041	UFS	SS	5,000	86.98	n/a	n/a	250.00	5.0
WINSLOW CAPITAL	030	UNH	S	16,200	52.78	n/a	n/a	486.00	3.0
WINSLOW CAPITAL	030	UNP	S	9,400	107.28	n/a	n/a	282.00	3.0
WINSLOW CAPITAL	030	V	S	9,000	100.51	n/a	5-Jan	270.00	3.0
WINSLOW CAPITAL	030	YUM	S	4,900	59.40	n/a	6-Jan	147.00	3.0
TOTAL (Trade Date) :								34,177.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/03	HAMILTON CAP PART FIN (HCPFNBC)	031	C	B	4,760	27.85	n/a	6-Jan	190.40 4.0
AO,CRT	01/03	HAMILTON CAP PART FIN (HCPFNBC)	031	C	B	15,240	27.85	n/a	6-Jan	609.60 4.0
AO,CXL	01/03	HAMILTON CAP PART FIN (HCPFCIBC)	031	C	B	15,240	27.85	n/a	6-Jan	609.60 4.0
AO,CRT	01/03	HAMILTON CAP PART FIN (HCPFCIBC)	031	C	B	4,760	27.85	n/a	6-Jan	190.40 4.0
AO,	01/05	PLATTE RIVER CAPITAL (PLAT07CALT)	240	WFC	B	7,600	28.71	n/a	6-Jan	304.00 4.0
AO,	01/05	PLATTE RIVER CAPITAL (PLAT15OWCA)	240	WFC	B	11,000	28.71	n/a	6-Jan	440.00 4.0
AO,	01/05	PLATTE RIVER CAPITAL (PLAT27TOC)	240	WFC	B	9,000	28.71	n/a	6-Jan	360.00 4.0
TOTAL (AO, CXL, CRT) :										1,104.00
TOTAL (Trade Date) :										34,177.48
TOTAL (AO, CXL, CRT) :										1,104.00
TOTAL (RUN DATE) / NFS :										35,281.48

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