



Daily Compliance Activity Report

Trade Date: 04/24/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Ann Bettendorf Freeman		AAPL	S	10555.6800		n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	AAPL	B	34	560.80	n/a	n/a	1.70	5.0
MILLRACE FUND LP	028	ABG	B	20,000	25.82	n/a	18-Apr	800.00	4.0
PRIMECAP MGMT	084	AMGN	S	2,500	68.85	n/a	n/a	100.00	4.0
CADIAN CAPITAL	041	ANF	S	50,000	47.34	n/a	16-Feb	1,500.00	3.0
TUDOR INVESTORS	028	APD	B	5,000	84.98	n/a	24-Apr	150.00	3.0
TUDOR INVESTORS	028	ASH	S	5,000	64.80	n/a	24-Apr	150.00	3.0
PATTEN & PATTEN	025	BBY	S	250	21.75	n/a	n/a	12.50	5.0
LATEFF MGMT	035	BLL	S	225	42.89	n/a	n/a	45.00	20.0
PRIMECAP MGMT	084	BWC	S	4,200	23.25	n/a	n/a	168.00	4.0
CATAPULT	040	CAKE	B	21,000	30.89	n/a	13-Apr	840.00	4.0
PRIMECAP MGMT	084	CAM	S	10,101	49.29	n/a	n/a	404.04	4.0
PATTEN & PATTEN	025	CSJ	S	50	105.01	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	CVX	S	25	102.64	n/a	n/a	1.25	5.0
MILLRACE FUND LP	028	DAN	B	28,000	13.96	n/a	18-Apr	1,120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	ENR	B	100	71.11	n/a	20-Mar	25.00	25.0
JET CAPITAL/CHRIS	041	EP	B	100,000	28.91	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	025	EWC	S	200	27.67	n/a	n/a	10.00	5.0
OZ MGMT	040	F	C	70,342	11.52	n/a	18-Apr	2,110.26	3.0
LATEFF MGMT	035	GE	S	250	19.54	n/a	n/a	37.50	15.0
LATEFF MGMT	035	GLW	S	750	13.37	n/a	11-Apr	75.00	10.0
OZ MGMT	040	GM	C	110,743	23.29	n/a	18-Apr	3,322.29	3.0
PRIMECAP MGMT	084	GVA	S	2,500	27.07	n/a	n/a	100.00	4.0
LATEFF MGMT	035	HD	S	250	51.12	n/a	21-Feb	50.00	20.0
EGS ASSOCIATES LP	091	JNY	SS	5,000	12.49	n/a	19-Apr	300.00	6.0
NEWLAND CAPITAL MGT	025	JOY	B	25,000	71.92	n/a	18-Apr	1,000.00	4.0
PRIMECAP MGMT	084	LLY	S	5,000	39.80	n/a	n/a	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	MDT	B	112,070	37.00	n/a	n/a	3,362.10	3.0
ROSEDALE CAPITAL	046	MTOR	B	10,000	6.41	n/a	n/a	300.00	3.0
DAVIDSON INV ADV	035	NILE	B	1,010	29.46	n/a	n/a	40.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	OII	S	21,003	51.64	n/a	n/a	840.12	4.0
TRELLUS PARTNERS LP	028	PAG	B	1,000	26.14	n/a	18-Apr	30.00	3.0
TRELLUS PARTNERS LP	028	PAG	S	1,000	26.51	n/a	18-Apr	30.00	3.0
NEWLAND CAPITAL MGT	025	PCAR	S	10,000	42.30	n/a	18-Apr	400.00	4.0
PATTEN & PATTEN	025	PHO	S	650	18.54	n/a	n/a	32.50	5.0
TUDOR INVESTORS	028	PNR	SS	4,000	44.22	n/a	n/a	120.00	3.0
COLUMBUS CIRCLE	036	PVTB	B	4,700	16.25	n/a	n/a	168.36	3.0
Õ Ann Bettendorf Freeman		QCOM	S	100	61.4200	n/a	n/a	0.00	0.0
LATEFF MGMT	035	SPLS	S	500	15.21	n/a	n/a	50.00	10.0
RBC CAPITAL MARKETS	040	TPX	B	6,700	64.61	n/a	n/a	268.00	4.0
PATTEN & PATTEN	025	V	S	25	118.60	n/a	2-Apr	1.25	5.0
FORTRESS INVESTMENT (US)	036	WFT	B	107,000	14.16	n/a	n/a	2,140.00	2.0
TUDOR INVESTORS	028	WLT	S	3,000	66.74	n/a	n/a	90.00	3.0
LATEFF MGMT	035	WRI	S	300	25.75	n/a	n/a	36.00	12.0
PRIMECAP MGMT	084	WSH	B	9,000	36.20	n/a	n/a	360.00	4.0
PATTEN & PATTEN	025	XOM	S	50	86.04	n/a	n/a	2.50	5.0

TOTAL (Trade Date):

23,796.27

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/23	NOMURA CAPITAL (NOMUGMJA)	029	LYB	S	718	43.57	n/a	n/a	21.54 3.0
AO,CRT	04/23	NOMURA CAPITAL (NOMUL3)	029	LYB	S	167	43.57	n/a	n/a	5.01 3.0
AO,	04/23	NOMURA CAPITAL (NOMULASERS)	029	LYB	S	426	43.57	n/a	n/a	12.78 3.0
AO,	04/23	NOMURA CAPITAL (NOMUSPH)	029	LYB	S	189	43.57	n/a	n/a	5.67 3.0
AO,CXL	04/23	NOMURA CAPITAL (NOMUBSMAIN)	029	LYB	S	1,500	43.57	n/a	n/a	45.00 3.0
AO,CXL	04/16	WOODWAY FINANCIAL (WOODMAIN)	031	SNPK	B	1,000	1.94	n/a	n/a	60.00 6.0
AO,CRT	04/16	WOODWAY FINANCIAL (WOODMAIN)	031	SNPK	B	1,000	1.94	n/a	n/a	60.00 6.0
AO,CXL	04/18	GLG PARTNERS (GLGPNAOPF)	034	WMT	SS	10,000	62.08	n/a	23-Apr	300.00 3.0
AO,	04/18	GLG PARTNERS (GLGPNAOPMS)	034	WMT	SS	10,000	62.08	n/a	23-Apr	300.00 3.0

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

TOTAL (Trade Date) :

23,796.27

TOTAL (AO, CXL, CRT) :

0.00

TOTAL (RUN DATE) / NFS :**23,796.27**

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