



Daily Compliance Activity Report

Trade Date: 05/16/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
SUN AMERICA ASSET MGMT	030	AAPL	S	4,781	553.57	n/a	n/a	191.24 4.0
NORTHWESTERN MUTUAL LIFE	047	ADP	S	74,700	53.35	n/a	n/a	2,988.00 4.0
PZENA INV ADV	044	AHL	B	1,175	28.00	n/a	n/a	41.13 3.5
COBALT	041	APC	B	50,000	66.98	n/a	15-May	2,000.00 4.0
SUN AMERICA ASSET MGMT	030	BEAM	B	15,122	57.56	n/a	n/a	604.88 4.0
HARVEST MGMT (JMP)	029	BWLD	B	5,000	88.65	n/a	n/a	200.00 4.0
RBC CAPITAL MARKETS	040	CLX	B	5,000	68.72	n/a	2-May	200.00 4.0
NORTHWESTERN MUTUAL LIFE	047	CTL	S	102,950	38.57	n/a	n/a	4,118.00 4.0
AMBER CAPITAL	046	CVC	S	203,134	11.54	n/a	n/a	8,125.36 4.0
MATRIX ASSET ADV.	091	CVS	S	2,000	45.60	n/a	n/a	80.00 4.0
NEUBERGER BERMAN	036	CYBX	B	12,673	39.76	n/a	n/a	506.92 4.0
KINGDON ASSET MGMT	041	C	S	100,000	28.24	n/a	16-May	4,000.00 4.0
RBC CAPITAL MARKETS	040	DNKN	B	5,000	32.54	n/a	n/a	200.00 4.0
RBC CAPITAL MARKETS	040	DRI	SS	18,000	53.55	n/a	13-Apr	720.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM-ANDEW	031	ETN	B	30,000	43.99	n/a	3-May	1,500.00	5.0
IRIDIAN ASSET MGMT.	036	GD	S	4,390	65.35	n/a	26-Apr	219.50	5.0
CAMBIAR CAP	046	GES	S	230,294	25.94	n/a	9-May	9,211.76	4.0
SIMMONS VENTURES	041	GES	B	5,000	25.82	n/a	9-May	200.00	4.0
BASSWOOD PARTNERS	267	GE	C	72,600	19.10	n/a	n/a	2,904.00	4.0
SCOPUS FUND	041	GM	B	2,000	22.42	n/a	4-May	80.00	4.0
WELLSPRING CAPITAL	093	HBI	SS	50,000	26.27	n/a	20-Apr	2,000.00	4.0
BNP PARIBAS SEC	040	IP	B	20,000	31.01	n/a	27-Apr	1,000.00	5.0
FINDLAY PARK PART	085	JCI	B	228,000	31.48	n/a	27-Apr	10,766.26	0.0
ADAGE CAPITAL MGMT	030	JCP	S	100,000	28.26	n/a	16-May	3,000.00	3.0
PALESTRA	040	JCP	SS	11,000	27.76	n/a	16-May	330.00	3.0
ROARING BLUE LION MGMT	031	JCP	B	17,050	28.33	n/a	16-May	682.00	4.0
LATEFF MGMT	035	KMB	S	1,750	79.97	n/a	23-Apr	210.00	12.0
SUN AMERICA ASSET MGMT	030	KORS	B	25,195	40.58	n/a	n/a	1,007.80	4.0
COLUMBUS CIRCLE	036	NVLS	S	8,700	43.90	n/a	n/a	348.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	15,000	30.28	n/a	24-Apr	750.00	5.0
COLUMBUS CIRCLE	036	PLXS	S	581	29.58	n/a	n/a	23.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	028	ROK	B	70,000	76.78	n/a	n/a	3,500.00	5.0
STATE TEACHERS RET SYS	047	RPAI	B	20,000	9.05	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	TEA	S	45,219	18.08	n/a	n/a	1,808.76	4.0
CATAPULT	040	TLM	B	25,000	9.85	n/a	n/a	1,000.00	4.0
COLUMBUS CIRCLE	036	TNGO	B	254	20.46	n/a	n/a	10.16	4.0
BALYASNY ASSET MGMT	044	URBN	S	20,000	26.90	n/a	n/a	1,000.00	5.0
SUN AMERICA ASSET MGMT	030	V	B	7,874	118.04	n/a	2-May	314.96	4.0
IMPALA ASSET MMT	040	WHR	S	10,000	61.61	n/a	n/a	500.00	5.0
HALCYON LLC	041	WSM	SS	5,000	36.62	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	WYNN	S	30,000	105.17	n/a	13-Jun	1,500.00	5.0
IMPALA ASSET MMT	040	WYN	S	20,000	49.98	n/a	n/a	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	19.42	n/a	4-May	1,250.00	5.0
TOTAL (Trade Date):								71,241.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/15	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	269	PHM	B	150,000	9.84	n/a	n/a	6000.00 4.0
AO,CRT	05/15	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	269	PHM	B	150,000	9.84	n/a	n/a	4500.00 3.0

TOTAL (AO, CXL, CRT) :	-1,500.00
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TOTAL (Trade Date) :	71,241.97
TOTAL (AO, CXL, CRT) :	-1,500.00

TOTAL (RUN DATE) / NFS:	69,741.97
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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