



## Daily Compliance Activity Report

Trade Date: 02/17/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	AEO	S	10,000	14.47	n/a	2-Dec	300.00	3.0
SIMMONS VENTURES	041	AVP	B	10,000	19.09	n/a	16-Feb	400.00	4.0
PZENA INV ADV	044	AVT	B	2,600	35.85	n/a	n/a	91.00	3.5
ARSENAL ASSET MANAGEMENT	028	CBE	S	15,000	60.63	n/a	25-Jan	600.00	4.0
NEWLAND CAPITAL MGT	025	CJES	S	25,000	20.60	n/a	n/a	1,000.00	4.0
SURVEYOR CAPITAL	251	CMI	S	7,000	121.85	n/a	6-Feb	210.00	3.0
PZENA INV ADV	044	CSC	B	17,900	33.19	n/a	n/a	626.50	3.5
CAMBIAR CAP	046	DBD	S	121,689	38.54	n/a	14-Feb	4,867.56	4.0
WATERFRONT CAP	028	DHI	S	200	14.34	n/a	n/a	8.00	4.0
CATAPULT	040	DVN	SS	25,000	74.93	n/a	15-Feb	1,000.00	4.0
COLUMBUS CAP MGMT LLC	084	EBF	SS	7,000	17.05	n/a	n/a	350.00	5.0
MOORE CAPITAL	041	EXPR	S	12,860	23.00	n/a	n/a	385.80	3.0
TUDOR INVESTORS	028	FDX	S	5,000	93.33	n/a	n/a	150.00	3.0
STANDARD PACIFIC CAPITAL	084	GM	B	210,000	27.37	n/a	17-Feb	10,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	GNW	S	39	9.13	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	GT	B	50,000	13.46	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	251	HON	S	3,000	59.94	n/a	8-Feb	90.00	3.0
PZENA INV ADV	044	IM	B	3,900	19.62	n/a	n/a	136.50	3.5
CSFB GLOBAL PROPRIETARY	041	IP	S	125,000	33.41	n/a	2-Feb	6,250.00	5.0
COBALT	041	JCI	B	100,000	35.17	n/a	13-Feb	4,000.00	4.0
SURVEYOR CAPITAL	251	JOY	B	4,500	86.64	n/a	25-Jan	135.00	3.0
TUDOR INVESTORS	028	KDN	S	10,000	35.40	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	KSS	S	50,000	51.99	n/a	3-Feb	2,500.00	5.0
WATERFRONT CAP	028	LEN	S	10,000	23.34	n/a	n/a	400.00	4.0
MOORE CAPITAL	041	LIZ	B	10,000	10.00	n/a	7-Oct	300.00	3.0
SURVEYOR CAPITAL	251	LNN	SS	1,500	64.61	n/a	n/a	45.00	3.0
HOPLITE MGMT	025	LOW	S	20,000	27.74	n/a	8-Feb	800.00	4.0
TRUSTCO/SUNTRUST	040	LOW	S	50,800	27.63	n/a	8-Feb	1,778.00	3.5
WATERFRONT CAP	028	MDC	S	10,000	25.78	n/a	n/a	400.00	4.0
ROYCE TRADING	031	MTX	B	4,798	66.81	n/a	n/a	239.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IVORY CAPITAL	034	PFG	SS	85,000	27.36	n/a	n/a	4,250.00	5.0
WATERFRONT CAP	028	PHM	S	50,000	8.91	n/a	n/a	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV041		RKT	B	2,000	67.49	n/a	26-Jan	100.00	5.0
MA CAPITAL MGMT/MELLON ADV041		RKT	SS	2,000	68.78	n/a	26-Jan	100.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>RKT</b>	<b>S</b>	<b>2,000</b>	<b>68.78</b>	<b>n/a</b>	<b>26-Jan</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	SBUX	S	286,630	48.65	n/a	27-Jan	11,465.20	4.0
KLEINHEINZ CAP PART	031	TGT	B	75,000	52.63	n/a	8-Feb	3,750.00	5.0
SONTERRA CAP	041	TOWR	S	22,703	13.98	n/a	n/a	908.12	4.0
TUDOR INVESTORS	028	TYC	B	10,000	49.62	n/a	2-Feb	300.00	3.0
BRONSON POINT	036	UPS	SS	25,000	76.47	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	UPS	B	5,000	76.64	n/a	n/a	150.00	3.0
<b>TOTAL (Trade Date):</b>								<b>63,636.58</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/17	SIMMONS VENTURES (SIMMJPM)	041	AVP	B	10,000	19.09	n/a	16-Feb	400.00 4.0
AO,	02/14	BRANDWINE (BWAM4825)	028	GE	B	2,200	18.92	n/a	n/a	88.00 4.0
AO,	02/14	BRANDWINE (BWAM4886)	028	GE	B	9,900	18.92	n/a	n/a	396.00 4.0
AO,	02/14	BRANDWINE (BWAM4885)	028	GE	B	8,100	18.92	n/a	n/a	324.00 4.0
AO,	02/14	BRANDWINE (BWAM4884)	028	GE	B	7,800	18.92	n/a	n/a	312.00 4.0
AO,	02/14	BRANDWINE (BWAM4875)	028	GE	B	1,500	18.92	n/a	n/a	60.00 4.0
AO,	02/14	BRANDWINE (BWAM4863)	028	GE	B	15,500	18.92	n/a	n/a	620.00 4.0
AO,	02/14	BRANDWINE (BWAM4858)	028	GE	B	2,500	18.92	n/a	n/a	100.00 4.0
AO,	02/14	BRANDWINE (BWAM4853)	028	GE	B	1,000	18.92	n/a	n/a	40.00 4.0
AO,	02/14	BRANDWINE (BWAM4821)	028	GE	B	2,300	18.92	n/a	n/a	92.00 4.0
AO,	02/14	BRANDWINE (BWAM4854)	028	GE	B	5,200	18.92	n/a	n/a	208.00 4.0
AO,CRT	02/16	LISTED ERR (LISTED ERR)	097	GNW	B	39	8.89	n/a	n/a	0.00 0.0

**TOTAL (AO, CXL, CRT) :****2,640.00**

TOTAL (Trade Date):

63,636.58

TOTAL (AO, CXL, CRT):

2,640.00

**TOTAL (RUN DATE) / NFS:****66,276.58**

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