



Daily Compliance Activity Report

Trade Date: 04/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	AEO	S	18,900	16.87	n/a	2-Dec	756.00	4.0
NWQ INVESTMENT MGMT CO	084	AON	S	2,450	48.61	n/a	n/a	73.50	3.0
NWQ INVESTMENT MGMT CO	084	APA	S	1,200	93.75	n/a	7-Mar	36.00	3.0
VERITION	028	ARO	B	5,000	21.11	n/a	n/a	150.00	3.0
DC CAPITAL	044	ATI	B	8,500	40.28	n/a	13-Apr	340.00	4.0
NWQ INVESTMENT MGMT CO	084	AU	S	3,400	33.95	n/a	n/a	102.00	3.0
MERRILL ASSET/BLACKROCK	297	BAM	S	45,300	31.00	n/a	n/a	1,812.00	4.0
NWQ INVESTMENT MGMT CO	084	CA	B	25,000	26.87	n/a	n/a	750.00	3.0
COLUMBUS CIRCLE	036	CBOU	S	3,005	16.96	n/a	n/a	120.20	4.0
PALESTRA	040	CBS	B	2,000	32.23	n/a	n/a	100.00	5.0
CATAPULT	040	CCJ	B	22,000	20.71	n/a	n/a	880.00	4.0
BARON ASSET MGMT*	085	CHD	S	10,000	50.01	n/a	20-Mar	500.00	5.0
MELLON/BANK OF NEW YORK	046	CMCSA	B	256,950	29.69	n/a	n/a	10,278.00	4.0
MELLON/BANK OF NEW YORK	046	CMCSA	S	7,150	29.59	n/a	n/a	286.00	4.0
NWQ INVESTMENT MGMT CO	084	CNQ	S	2,950	32.41	n/a	n/a	88.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Michael Ehrlich		COSI	B	5000	0.9600	n/a	n/a	0.00	0.0
CATAPULT	040	CSX	B	12,551	22.01	n/a	n/a	502.04	4.0
SANDLER CAPITAL	028	CTSH	SS	130,000	74.64	n/a	n/a	5,200.00	4.0
NWQ INVESTMENT MGMT CO	084	CVS	S	1,450	43.51	n/a	n/a	43.50	3.0
NWQ INVESTMENT MGMT CO	084	DEL	B	8,870	59.92	n/a	n/a	354.80	4.0
CATAPULT	040	DOW	B	59,778	33.44	n/a	21-Mar	2,391.12	4.0
BRONSON POINT	036	EAT	C	80,000	27.97	n/a	13-Apr	2,400.00	3.0
COLUMBUS CIRCLE	036	EDMC	S	4,540	12.76	n/a	n/a	181.60	4.0
NEWLAND CAPITAL MGT	025	EMN	S	10,000	52.47	n/a	n/a	400.00	4.0
SENATOR INVESTMENT GROUP	036	EMR	B	50,000	50.27	n/a	n/a	1,500.00	3.0
WATERFRONT CAP	028	EWQ	SS	50,000	20.27	n/a	n/a	2,000.00	4.0
PALESTRA	040	EXP	SS	4,000	32.93	n/a	n/a	200.00	5.0
CATAPULT	040	FAST	SS	13,871	48.11	n/a	n/a	554.84	4.0
CATAPULT	040	GE	S	32,112	18.96	n/a	n/a	1,284.48	4.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	23.81	n/a	4-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	SS	86,713	23.66	n/a	4-Apr	2,601.39	3.0
NWQ INVESTMENT MGMT CO	084	GNW	S	6,100	7.59	n/a	n/a	183.00	3.0
GEORGE WEISS	034	HD	SS	11,000	51.14	n/a	21-Feb	440.00	4.0
NICOLAS APPLGATE	084	HD	B	90,500	50.78	n/a	21-Feb	1,810.00	2.0
NWQ INVESTMENT MGMT CO	084	HIG	S	6,100	20.08	n/a	n/a	183.00	3.0
NWQ INVESTMENT MGMT CO	084	HPQ	S	2,800	24.51	n/a	n/a	84.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	33.05	n/a	4-Apr	1,250.00	5.0
NWQ INVESTMENT MGMT CO	084	IR	S	1,600	39.80	n/a	4-Apr	48.00	3.0
NWQ INVESTMENT MGMT CO	084	LNC	S	1,000	24.16	n/a	n/a	30.00	3.0
LATEFF MGMT	035	LOW	S	375	31.77	n/a	28-Feb	52.50	14.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	8.49	n/a	7-Feb	2,500.00	5.0
CATAPULT	040	LVS	SS	8,300	60.72	n/a	13-Jun	332.00	4.0
NWQ INVESTMENT MGMT CO	084	L	S	2,500	39.06	n/a	n/a	75.00	3.0
CATAPULT	040	MCD	SS	15,250	97.65	n/a	13-Apr	610.00	4.0
NWQ INVESTMENT MGMT CO	084	MET	S	1,500	35.59	n/a	n/a	45.00	3.0
NWQ INVESTMENT MGMT CO	084	MRK	S	1,800	37.97	n/a	n/a	54.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	MW	S	17,746	36.83	n/a	n/a	709.84	4.0
NWQ INVESTMENT MGMT CO	084	NBL	S	1,000	94.63	n/a	n/a	30.00	3.0
CATAPULT	040	PCP	B	8,000	170.39	n/a	13-Apr	320.00	4.0
CATAPULT	040	PCX	B	30,961	6.02	n/a	n/a	1,238.44	4.0
TUDOR INVESTORS	028	PNR	SS	2,000	44.07	n/a	n/a	60.00	3.0
SCOPUS FUND	041	PVH	S	20,000	89.10	n/a	29-Mar	800.00	4.0
EMPYREAN CAPITAL	084	RKT	B	73,000	63.95	n/a	4-Apr	3,650.00	5.0
CATAPULT	040	ROK	SS	12,367	77.88	n/a	n/a	494.68	4.0
DONALD SMITH	088	RSH	B	30,000	5.96	n/a	n/a	600.00	2.0
NWQ INVESTMENT MGMT CO	084	RTN	S	1,600	52.75	n/a	13-Apr	48.00	3.0
NWQ INVESTMENT MGMT CO	084	SNY	S	2,400	36.27	n/a	n/a	72.00	3.0
SANDLER O'NEILL ASSET	031	STI	S	40,000	22.69	n/a	n/a	2,000.00	5.0
GEORGE WEISS	034	TJX	B	25,000	39.91	n/a	9-Apr	1,000.00	4.0
NWQ INVESTMENT MGMT CO	084	TWX	S	2,700	35.77	n/a	n/a	81.00	3.0
NWQ INVESTMENT MGMT CO	084	UNM	S	2,700	23.40	n/a	n/a	81.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	VC	S	5,000	47.35	n/a	n/a	150.00	3.0
NWQ INVESTMENT MGMT CO	084	WFC	S	4,500	33.28	n/a	4-Apr	135.00	3.0
EPOCH INV MGMT	030	WRC	S	176,588	54.33	n/a	23-Mar	5,297.64	3.0
CATAPULT	040	XLB	SS	38,173	36.33	n/a	n/a	1,526.92	4.0
CATAPULT	040	XLF	SS	37,600	15.43	n/a	n/a	1,504.00	4.0
CATAPULT	040	XLF	S	134,000	15.43	n/a	n/a	5,360.00	4.0
CATAPULT	040	XOP	B	17,600	54.08	n/a	n/a	704.00	4.0
TOTAL (Trade Date):								71,944.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/12	NEWLAND CAPITAL MGT (NEWLGS)	025	HW	B	38,900	3.95	n/a	n/a	1556.00 4.0
AO,CRT	04/12	NEWLAND CAPITAL MGT (NEWLGS)	025	HW	B	38,900	3.95	n/a	n/a	778.00 2.0

TOTAL (AO, CXL, CRT) :	-778.00
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TOTAL (Trade Date) :	71,944.99
TOTAL (AO, CXL, CRT) :	-778.00

TOTAL (RUN DATE) / NFS:	71,166.99
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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