



# Daily Compliance Activity Report

Trade Date: 05/14/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC/MILLENIUM	044	ASBC	SS	38,400	12.94	n/a	n/a	1,536.00	4.0
TALPION LLC	040	CACI	B	3,000	46.29	n/a	n/a	120.00	4.0
TUDOR INVESTORS	028	CROX	S	75,000	17.22	n/a	n/a	2,250.00	3.0
NEUBERGER BERMAN	036	CYBX	B	17,400	39.06	n/a	n/a	696.00	4.0
SANDLER O'NEILL ASSET	031	C	S	50,000	28.58	n/a	7-May	2,500.00	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	C	S	321,777	28.55	n/a	7-May	11,262.22	3.5
FRED ALGER MGMT	035	DE	S	156,435	77.63	n/a	18-Apr	5,631.66	3.6
RBC CAPITAL MARKETS	040	DG	B	5,000	47.15	n/a	23-Mar	200.00	4.0
LATEFF MGMT	035	DVN	B	100	64.01	n/a	9-May	30.00	30.0
PATTEN & PATTEN	025	EWA	B	2,500	22.36	n/a	n/a	125.00	5.0
PATTEN & PATTEN	025	FCX	S	2,000	34.94	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	F	S	2,000	10.43	n/a	2-May	100.00	5.0
LATEFF MGMT	035	GE	S	250	18.78	n/a	n/a	42.50	17.0
OZ MGMT	040	GM	C	100,000	21.85	n/a	4-May	3,000.00	3.0
CAERUS GLOBAL	041	HD	B	23,000	50.07	n/a	2-May	920.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	HME	B	10,000	62.18	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	HOG	SS	9,000	47.69	n/a	n/a	360.00	4.0
LATEFF MGMT	035	HPQ	B	150	23.08	n/a	n/a	30.00	20.0
CRAMER ROSENTHAL	070	IGT	B	220,500	14.90	n/a	13-Jun	8,820.00	4.0
COLUMBUS CIRCLE	036	IPGP	S	7,081	44.70	n/a	n/a	283.24	4.0
ARMATURE CAPITAL	041	IP	B	25,000	30.85	n/a	27-Apr	1,000.00	4.0
LATEFF MGMT	035	IP	B	1,700	31.05	n/a	27-Apr	186.00	14.0
PATTEN & PATTEN	025	JCI	S	2,000	31.79	n/a	27-Apr	100.00	5.0
ARCHON CAPITAL	035	JCP	B	18,500	34.13	n/a	19-Apr	555.00	3.0
STANDARD PACIFIC CAPITAL	084	JCP	B	100,000	33.92	n/a	19-Apr	5,000.00	5.0
PLATTE RIVER CAPITAL	240	JNJ	S	6,630	64.00	n/a	n/a	265.20	4.0
COBALT	041	JPM	S	198,700	35.99	n/a	11-May	7,948.00	4.0
DEVENNY CAP LLC/MILLENIU	044	KEY	B	64,500	7.70	n/a	n/a	2,580.00	4.0
ADAGE CAPITAL MGMT	030	KFT	B	40,000	39.24	n/a	n/a	1,200.00	3.0
PERSHING SQUARE	029	KFT	S	400,000	38.95	n/a	n/a	16,000.00	4.0
KLEINHEINZ CAP PART	031	KSS	S	125,000	47.80	n/a	11-May	6,250.00	5.0
PZENA INV ADV	044	MSFT	S	2,000	30.86	n/a	n/a	70.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	MWV	B	44,000	27.53	n/a	25-Apr	2,200.00	5.0
SIMMONS VENTURES	041	M	B	5,000	36.74	n/a	10-May	200.00	4.0
PZENA INV ADV	044	NOC	S	1,475	60.14	n/a	27-Apr	51.63	3.5
PATTEN & PATTEN	025	NSC	B	1,000	68.33	n/a	n/a	50.00	5.0
LATEFF MGMT	035	OLN	B	250	20.01	n/a	n/a	42.50	17.0
TUDOR INVESTORS	028	PCAR	B	5,000	39.16	n/a	25-Apr	150.00	3.0
PLATTE RIVER CAPITAL	240	PEP	B	40,000	66.59	n/a	n/a	1,600.00	4.0
COLUMBUS CIRCLE	036	PLXS	S	601	29.83	n/a	n/a	24.04	4.0
TUDOR INVESTORS	028	PNR	B	5,000	42.39	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	PRGO	B	500	100.49	n/a	14-May	25.00	5.0
STATE TEACHERS RET SYS	047	SBRA	B	15,000	14.75	n/a	n/a	750.00	5.0
PATTEN & PATTEN	025	SCJ	S	1,000	43.00	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	SDS	S	2,000	16.34	n/a	n/a	100.00	5.0
MAIRS AND POWER INV	030	SLB	B	10,000	67.00	n/a	n/a	500.00	5.0
Õ Alice Longley		SWN	S	700	30.0408	n/a	9-May	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	TEVA	S	1,200	40.98	n/a	14-May	60.00	5.0
TUDOR INVESTORS	028	TKR	S	5,000	53.01	n/a	n/a	150.00	3.0
NEUBERGER BERMAN	036	TXRH	B	17,000	18.30	n/a	n/a	680.00	4.0
LATEFF MGMT	035	T	S	300	33.53	n/a	n/a	51.00	17.0
SIMMONS VENTURES	041	WRC	B	5,000	45.40	n/a	9-May	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	XLB	SS	44,000	34.65	n/a	n/a	2,200.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>88,894.99</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									88,894.99
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									88,894.99

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