



Daily Compliance Activity Report

Trade Date: 03/14/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	300	10.30	n/a	n/a	30.00	10.0
SEVEN LOCKS CAPITAL	025	ABT	B	35,000	58.82	n/a	n/a	1,050.00	3.0
SENATOR INVESTMENT GROUP	036	AET	SS	60,000	45.91	n/a	n/a	1,800.00	3.0
PARKWEST	084	ALGN	B	63,516	26.86	n/a	n/a	2,540.64	4.0
SUN AMERICA ASSET MGMT	030	AMAT	B	1,800	12.57	n/a	n/a	72.00	4.0
CAERUS GLOBAL	041	ARCO	B	10,000	18.92	n/a	6-Mar	400.00	4.0
RBC CAPITAL MARKETS	040	BBBY	SS	15,000	64.63	n/a	n/a	600.00	4.0
DAVIDSON INV ADV	035	BHI	B	19,910	48.37	n/a	n/a	796.40	4.0
WEISS PECK - ROBECO INV		040	BWS	S	59,200	9.32	n/a	n/a	2,368.00 4.0
CAERUS GLOBAL	041	CBL	S	10,000	18.15	n/a	n/a	400.00	4.0
STANDARD PACIFIC CAPITAL	084	CE	S	104,203	46.63	n/a	20-May	5,210.15	5.0
LATEFF MGMT	035	CMCSK	S	250	29.21	n/a	n/a	30.00	12.0
RAINIER INV MGMT	035	CRR	S	56,300	103.35	n/a	1-Mar	2,252.00	4.0
MERRILL ASSET/BLACKROCK	297	CRZO	B	15,200	29.33	n/a	n/a	608.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	C	B	250,000	35.52	n/a	14-Mar	12,500.00	5.0
MERRILL ASSET/BLACKROCK	297	DFS	S	16,100	32.39	n/a	14-Mar	644.00	4.0
BESSEMER INVESTMENT	085	DOV	S	980	64.33	n/a	n/a	39.20	4.0
ACK ASSET	028	DRI	SS	30,000	52.47	n/a	27-Feb	900.00	3.0
FIRST NEW YORK LEDDY	035	DRI	SS	15,000	52.47	n/a	27-Feb	600.00	4.0
MILLRACE FUND LP	028	DRI	SS	14,500	52.47	n/a	27-Feb	580.00	4.0
TRELLUS PARTNERS LP	028	DRI	SS	10,000	52.46	n/a	27-Feb	300.00	3.0
LATEFF MGMT	035	DVN	S	300	71.80	n/a	1-Mar	51.00	17.0
AMBER CAPITAL	046	ECA	B	100,000	19.90	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	EWA	B	500	23.16	n/a	n/a	25.00	5.0
SCOPUS FUND	041	FOSL	S	25,000	127.95	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	297	GEOI	S	12,900	32.94	n/a	n/a	516.00	4.0
PATTEN & PATTEN	025	GLW	S	400	14.01	n/a	12-Mar	20.00	5.0
RBC CAPITAL MARKETS	040	HD	B	10,000	49.61	n/a	21-Feb	400.00	4.0
LATEFF MGMT	035	HPQ	B	1,050	24.33	n/a	n/a	116.00	11.3
GEORGE WEISS	034	HSY	S	20,000	60.34	n/a	n/a	800.00	4.0
SEVEN LOCKS CAPITAL	025	ICON	S	16,500	17.50	n/a	n/a	495.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	JCI	B	3,675	32.01	n/a	8-Mar	367.50	10.0
KLEINHEINZ CAP PART	031	JCP	SS	50,000	36.81	n/a	27-Feb	2,500.00	5.0
LATEFF MGMT	035	JNJ	S	500	65.07	n/a	n/a	60.00	12.0
PATTEN & PATTEN	025	KRE	B	400	28.26	n/a	n/a	20.00	5.0
MOORE CAPITAL	041	LIZ	B	16,500	12.27	n/a	7-Oct	495.00	3.0
LATEFF MGMT	035	LOW	S	375	30.49	n/a	28-Feb	48.75	13.0
SCOPUS FUND	041	LPX	S	175,553	9.35	n/a	7-Feb	7,022.12	4.0
SUN AMERICA ASSET MGMT	030	LRCX	B	1,000	43.22	n/a	n/a	40.00	4.0
ADAGE CAPITAL MGMT	030	LTD	SS	70,000	47.06	n/a	n/a	2,100.00	3.0
ST OF MICHIAN	047	MRK	S	184,900	38.32	n/a	n/a	5,547.00	3.0
PROSPECTOR PARTNERS LLC	036	MSFT	S	5,500	32.79	n/a	n/a	220.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	30.06	n/a	21-Feb	400.00	4.0
LATEFF MGMT	035	NYB	S	300	13.14	n/a	25-Jan	30.00	10.0
LATEFF MGMT	035	OI	B	300	24.20	n/a	n/a	39.00	13.0
LATEFF MGMT	035	OI	S	400	24.20	n/a	n/a	44.00	11.0
CAERUS GLOBAL	041	PFCB	S	10,000	39.78	n/a	16-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	PSAPRR	B	500	26.60	n/a	n/a	50.00	10.0
EMPYREAN CAPITAL	084	RKT	B	72,000	72.30	n/a	26-Jan	3,600.00	5.0
GEORGE WEISS	034	ROST	B	17,000	56.63	n/a	2-Mar	510.00	3.0
MILLRACE FUND LP	028	SBUX	B	13,000	52.82	n/a	9-Mar	520.00	4.0
THE JAY GOLDMAN	028	SBUX	S	10,000	52.54	n/a	9-Mar	400.00	4.0
PATTEN & PATTEN	025	SCJ	S	250	45.17	n/a	n/a	12.50	5.0
BNP PARIBAS SEC	040	SHW	B	5,000	107.30	n/a	26-Jan	250.00	5.0
SONTERRA CAP	041	SLE	B	25,000	21.36	n/a	n/a	1,000.00	4.0
CATAPULT	040	SPLS	B	29,350	15.75	n/a	n/a	1,174.00	4.0
VERITION	028	SPLS	B	15,000	15.80	n/a	n/a	450.00	3.0
LATEFF MGMT	035	TEVA	B	125	43.78	n/a	12-Mar	31.25	25.0
LATEFF MGMT	035	UAL	B	1,050	19.41	n/a	n/a	111.00	11.0
RBC CAPITAL MARKETS	040	URBN	B	15,000	28.23	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	XHB	B	25,000	21.46	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								70,185.51	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/13	STANDARD PACIFIC CAPITAL (SPACMS)	084	AKS	SS	100,000	7.26	n/a	n/a	5000.00 5.0
AO,CRT	03/13	STANDARD PACIFIC CAPITAL (SPACMS)	084	AKS	SS	100,000	7.26	n/a	n/a	4000.00 4.0
AO,	03/13	COLUMBUS CIRCLE (COLC3040)	036	EXP	B	8,600	34.91	n/a	n/a	344.00 4.0
AO,CXL	03/13	MFP INVESTORS (MFPIGS)	085	XYL	S	50,000	27.91	n/a	n/a	2000.00 4.0
AO,CRT	03/13	MFP INVESTORS (MFPIGS)	085	XYL	S	50,000	27.91	n/a	n/a	2500.00 5.0

TOTAL (AO, CXL, CRT) :	-156.00
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TOTAL (Trade Date) :	70,185.51
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TOTAL (RUN DATE) / NFS :	70,029.51
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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