



## Daily Compliance Activity Report

Trade Date: 04/03/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
LATEFF MGMT	035	AA	B	250	10.04	n/a	n/a	30.00 12.0
DAVIDSON KEMPNER ADVISOR	040	ACAS	S	50,000	8.74	n/a	n/a	2,500.00 5.0
NOKOMIS PARTNERS	031	AOL	B	22,700	18.60	n/a	n/a	681.00 3.0
PATTEN & PATTEN	025	APA	B	100	98.72	n/a	7-Mar	5.00 5.0
LATEFF MGMT	035	AREPRE	B	350	24.72	n/a	n/a	35.00 10.0
GREEN ARROW DOUG	040	AXL	B	5,000	12.27	n/a	6-Feb	250.00 5.0
TUDOR INVESTORS	028	BGC	B	5,000	28.41	n/a	n/a	150.00 3.0
PATTEN & PATTEN	025	BTO	B	100	17.44	n/a	n/a	5.00 5.0
NWQ INVESTMENT MGMT CO	084	CA	S	7,500	27.42	n/a	n/a	225.00 3.0
STANDARD PACIFIC CAPITAL	084	CF	B	35,000	188.47	n/a	n/a	1,750.00 5.0
STATE TEACHERS RET SYS	047	CHSP	B	100	18.05	n/a	n/a	5.00 5.0
TUDOR INVESTORS	028	CHS	B	25,000	15.24	n/a	5-Feb	750.00 3.0
LATEFF MGMT	035	CMCSK	S	200	29.16	n/a	n/a	40.00 20.0
PATTEN & PATTEN	025	CMI	S	165	121.81	n/a	6-Feb	8.25 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	CNI	S	100	78.90	n/a	n/a	5.00	5.0
PHILADELPHIA FINANCIAL	033	CONN	SS	104,386	19.14	n/a	n/a	4,175.44	4.0
CRAMER ROSENTHAL	070	COO	S	1,200	81.25	n/a	n/a	48.00	4.0
PATTEN & PATTEN	025	COST	S	225	90.36	n/a	n/a	11.25	5.0
CRAMER ROSENTHAL	070	CRM	C	900	158.26	n/a	n/a	36.00	4.0
CRAMER ROSENTHAL	070	CROX	S	6,400	21.40	n/a	n/a	256.00	4.0
GREEN ARROW DOUG	040	CSL	B	5,000	52.49	n/a	n/a	250.00	5.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	50,000	12.86	n/a	n/a	2,500.00	5.0
DSG CAPITAL	030	DAN	B	20,000	16.35	n/a	22-Feb	600.00	3.0
BALYASNY ASSET MGMT	044	DPZ	SS	12,900	37.15	n/a	20-Mar	645.00	5.0
TUDOR INVESTORS	028	DSW	S	15,000	56.37	n/a	11-Feb	450.00	3.0
COLUMBUS CIRCLE	036	EDMC	S	9,071	14.48	n/a	n/a	362.84	4.0
CRAMER ROSENTHAL	070	EW	C	600	73.34	n/a	n/a	24.00	4.0
HARVEST MGMT (JMP)	029	FDO	B	10,000	63.59	n/a	3-Apr	400.00	4.0
SCOPUS FUND	041	FDO	B	25,000	63.56	n/a	3-Apr	1,000.00	4.0
GREEN ARROW DOUG	040	F	S	20,000	12.93	n/a	3-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	SS	100,000	12.67	n/a	3-Apr	3,000.00	3.0
OZ MGMT	040	F	S	150,000	12.77	n/a	3-Apr	4,500.00	3.0
SCOPUS FUND	041	F	SS	100,000	12.65	n/a	3-Apr	4,000.00	4.0
TRELLUS PARTNERS LP	028	F	SS	20,000	12.83	n/a	3-Apr	600.00	3.0
VERITION	028	GMCR	B	7,500	46.03	n/a	n/a	225.00	3.0
BALTHAZAR CAPITAL PARTNERS LTD085		GM	S	15,000	26.96	n/a	3-Apr	900.00	6.0
OZ MGMT	040	GM	C	182,928	26.19	n/a	3-Apr	5,487.84	3.0
PHILADELPHIA FINANCIAL	033	GM	B	48,000	26.91	n/a	3-Apr	1,920.00	4.0
GLENHILL CAPITAL	036	GNC	B	31,412	35.81	n/a	n/a	1,570.60	5.0
PATTEN & PATTEN	025	GOOG	B	25	642.62	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	HDV	B	100	57.15	n/a	n/a	5.00	5.0
RBC CAPITAL MARKETS	040	HD	B	10,000	50.11	n/a	21-Feb	400.00	4.0
GLENHILL CAPITAL	036	HNR	B	44,441	6.57	n/a	n/a	2,222.05	5.0
LATEFF MGMT	035	HON	S	150	60.55	n/a	23-Mar	37.50	25.0
BAIRD INVESTMENT	047	JCI	S	10,100	32.73	n/a	23-Mar	505.00	5.0
NEW JERSEY DIV OF INV.	030	JCP	B	30,000	35.25	n/a	27-Mar	1,200.00	4.0
SIMMONS VENTURES	041	JNY	B	5,000	12.21	n/a	9-Feb	200.00	4.0
STANDARD PACIFIC CAPITAL	084	KLAC	B	130,000	54.45	n/a	n/a	6,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	KR	B	50,000	23.90	n/a	n/a	2,500.00	5.0
GEORGE WEISS	034	LOW	S	32,000	31.18	n/a	28-Feb	1,280.00	4.0
KINGDON ASSET MGMT	041	LOW	S	175,000	31.03	n/a	28-Feb	7,000.00	4.0
RBC CAPITAL MARKETS	040	LOW	B	10,000	31.21	n/a	28-Feb	400.00	4.0
CRAMER ROSENTHAL	070	LVS	S	1,200	58.61	n/a	13-Jun	48.00	4.0
CENTURION PARTNERS	041	MGM	B	20,000	13.82	n/a	13-Jun	800.00	4.0
STANDARD PACIFIC CAPITAL	084	MON	B	75,000	81.40	n/a	23-Mar	3,750.00	5.0
CRAMER ROSENTHAL	070	MSI	S	2,600	51.08	n/a	n/a	104.00	4.0
KENNEDY CAPITAL	046	NP	S	21,015	30.09	n/a	21-Feb	840.60	4.0
PATTEN & PATTEN	025	NSC	B	200	66.15	n/a	n/a	10.00	5.0
BNP PARIBAS SEC	040	OLN	SS	20,000	21.91	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	ORLY	S	100	93.09	n/a	n/a	5.00	5.0
TRELLUS PARTNERS LP	028	PAG	B	17,500	25.78	n/a	3-Apr	525.00	3.0
PATTEN & PATTEN	025	PG	S	150	66.95	n/a	2-Apr	7.50	5.0
CENTURION PARTNERS	041	RGC	B	10,000	13.41	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	297	ROC	B	9,700	53.88	n/a	n/a	388.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GEORGE WEISS	034	ROST	B	10,500	58.43	n/a	30-Mar	315.00	3.0
COHE & STEERS	041	RYN	S	19,876	44.28	n/a	26-Jan	795.04	4.0
STATE TEACHERS RET SYS	047	SBUX	B	40,000	56.71	n/a	9-Mar	2,000.00	5.0
PATTEN & PATTEN	025	SPY	B	25	140.64	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	SWN	S	250	29.89	n/a	23-Mar	12.50	5.0
STATE TEACHERS RET SYS	047	TE	B	50,000	17.40	n/a	n/a	2,500.00	5.0
CRAMER ROSENTHAL	070	TFX	C	800	62.85	n/a	n/a	32.00	4.0
PATTEN & PATTEN	025	TSCO	B	100	92.45	n/a	n/a	5.00	5.0
DONALD SMITH	088	UFS	S	22,252	99.26	n/a	n/a	667.56	3.0
MERRILL ASSET/BLACKROCK	297	UMBF	B	7,755	45.28	n/a	n/a	310.20	4.0
RBC CAPITAL MARKETS	040	URBN	B	10,000	30.29	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	WMB	S	300	31.05	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	WPX	S	100	18.32	n/a	n/a	5.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>77,588.67</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/02	FIRST NY SEC/CHRIS (FNYCHRIS)	041	ANN	B	9,000	28.70	n/a	n/a	450.00 5.0
AO,CRT	04/02	FIRST NY SEC/CHRIS (FNYCHRIS)	041	ANN	B	9,000	28.70	n/a	n/a	270.00 3.0
CRT	04/03	VERITION (VERTBAMLAC)	028	GMCR	B	7,500	46.03	n/a	n/a	225.00 3.0
AO,CXL	04/02	FIRST NY SEC/CHRIS (FNYCHRIS)	041	TGT	SS	15,000	58.20	n/a	1-Mar	750.00 5.0
AO,CRT	04/02	FIRST NY SEC/CHRIS (FNYCHRIS)	041	TGT	SS	15,000	58.20	n/a	1-Mar	450.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-255.00</b>
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TOTAL (Trade Date) :	77,588.67
TOTAL (AO, CXL, CRT) :	-255.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>77,333.67</b>
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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