



Daily Compliance Activity Report

Trade Date: 01/19/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACWX	S	510	38.26	n/a	n/a	20.40	4.0
GALT INVESTMENT	041	AEO	B	4,021	13.52	n/a	2-Dec	160.84	4.0
MOORE CAPITAL	041	AMZN	B	2,500	195.23	n/a	n/a	75.00	3.0
ARMATURE CAPITAL	041	BA	S	50,000	75.69	n/a	19-Jan	2,000.00	4.0
MOORE CAPITAL	041	BBBY	B	3,000	62.84	n/a	n/a	90.00	3.0
TALKOT CAPITAL LLC	084	BIN	S	10,000	20.76	n/a	n/a	400.00	4.0
TOCQUEVILLE	035	BK	B	200,000	20.71	n/a	19-Jan	10,000.00	5.0
HOPLITE MGMT	025	BSBR	C	201,493	9.25	n/a	n/a	6,044.79	3.0
NCM CAPITAL MGMT	035	BUD	B	27,940	62.13	n/a	9-Jan	1,117.60	4.0
SCOPUS FUND	041	BUD	B	50,000	62.15	n/a	9-Jan	2,000.00	4.0
BESSEMER INVESTMENT	085	CCL	S	445	31.25	n/a	n/a	17.80	4.0
TUDOR INVESTORS	028	CFX	B	2,000	32.79	n/a	n/a	60.00	3.0
BESSEMER INVESTMENT	085	CMCSA	B	435	25.79	n/a	n/a	17.40	4.0
BAIRD INVESTMENT	047	COG	S	7,925	62.53	n/a	6-Jan	396.25	5.0
TUDOR INVESTORS	028	COL	SS	2,000	60.60	n/a	19-Jan	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	CTB	S	3,100	14.45	n/a	n/a	155.00	5.0
BESSEMER INVESTMENT	085	CVS	B	250	42.60	n/a	n/a	10.00	4.0
MOORE CAPITAL	041	DECK	B	3,000	85.43	n/a	n/a	90.00	3.0
M&I FUNDS	047	DKS	B	6,025	41.11	n/a	12-Jan	241.00	4.0
BRONSON POINT	036	ETN	S	10,000	49.92	n/a	19-Jan	300.00	3.0
TALPION LLC	040	FBRC	S	8,400	2.09	n/a	n/a	168.00	2.0
CATAPULT	040	FTI	B	25,000	53.80	n/a	n/a	1,000.00	4.0
TRELLUS PARTNERS LP	028	F	SS	37,500	12.59	n/a	6-Jan	1,875.00	5.0
CAERUS GLOBAL	041	GET	S	10,000	28.03	n/a	n/a	400.00	4.0
FARBER/WEISS PECK	085	GM	SS	33,500	24.82	n/a	19-Jan	1,340.00	4.0
BNP PARIBAS SEC	040	GNC	B	28,900	28.80	n/a	n/a	1,445.00	5.0
BALYASNY ASSET MGMT	044	HAR	SS	25,000	44.27	n/a	3-Feb	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	HSNI	S	47,500	36.66	n/a	n/a	1,900.00	4.0
1798 CAP/LOMBARD ASSET	040	HTZ	B	15,000	13.18	n/a	n/a	750.00	5.0
PZENA INV ADV	044	IM	B	6,600	18.90	n/a	n/a	231.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	INTC	S	380,050	25.61	n/a	n/a	15,202.00	4.0
DEVENNY CAP LLC	044	ITW	S	7,300	51.09	n/a	5-Dec	219.00	3.0
CASTLE ARK	031	JCI	S	285,116	32.93	n/a	19-Jan	14,255.80	5.0
DC CAPITAL	044	JCI	B	50,000	32.75	n/a	19-Jan	2,000.00	4.0
SUN AMERICA ASSET MGMT	030	JNY	S	30,200	9.19	n/a	11-Jan	1,208.00	4.0
ARSENAL ASSET MANAGEMENT	028	KMT	SS	10,000	43.13	n/a	28-Oct	400.00	4.0
NCM CAPITAL MGMT	035	KO	S	13,800	67.42	n/a	9-Jan	552.00	4.0
MOORE CAPITAL	041	KSU	B	3,500	73.53	n/a	n/a	105.00	3.0
DEVENNY CAP LLC	044	LEA	S	6,891	43.19	n/a	19-Jan	206.73	3.0
SANDLER CAPITAL	028	LII	S	130,000	37.87	n/a	n/a	6,500.00	5.0
MOORE CAPITAL	041	LOW	S	20,000	27.15	n/a	7-Dec	600.00	3.0
ARSENAL ASSET MANAGEMENT	028	MGA	B	20,000	42.10	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	MRO	B	250	31.90	n/a	n/a	10.00	4.0
ROSEDALE CAPITAL	046	MTW	B	25,000	11.80	n/a	26-Oct	1,000.00	4.0
ROYCE TRADING	031	MTX	B	6,500	63.60	n/a	n/a	325.00	5.0
ARSENAL ASSET MANAGEMENT	028	NAV	B	5,000	40.07	n/a	10-Jan	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	NAV	S	16,950	38.99	n/a	10-Jan	847.50	5.0
TUDOR INVESTORS	028	NAV	B	5,000	39.01	n/a	10-Jan	150.00	3.0
SONTERRA CAP	041	NBR	S	50,000	17.09	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	NEM	B	260	60.01	n/a	n/a	10.40	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	5.76	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	NVE	S	60,000	15.70	n/a	n/a	2,400.00	4.0
NCM CAPITAL MGMT	035	PG	S	12,090	66.02	n/a	10-Jan	483.60	4.0
1798 CAP/LOMBARD ASSET	040	PH	C	6,000	85.18	n/a	19-Jan	300.00	5.0
CAERUS GLOBAL	041	PVH	SS	10,000	76.68	n/a	12-Jan	400.00	4.0
COOPER CREEK PART	028	RUE	S	10,000	25.04	n/a	n/a	400.00	4.0
GALT INVESTMENT	041	RUE	S	10,000	24.87	n/a	n/a	500.00	5.0
CHESAPEAKE PARTNERS	028	SEMG	B	10,000	27.25	n/a	n/a	300.00	3.0
THOMAS WEISEL ASSET MGMT	035	SGMS	S	25,979	11.88	n/a	n/a	779.37	3.0
SIMMONS VENTURES	041	SKUL	B	5,000	12.10	n/a	n/a	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	STI	S	10,000	20.26	n/a	n/a	300.00	3.0
ROSEDALE CAPITAL	046	STI	B	20,000	20.46	n/a	n/a	1,000.00	5.0
SANDLER O'NEILL ASSET	031	STT	B	50,000	40.44	n/a	18-Jan	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	TEN	S	2,050	29.99	n/a	n/a	102.50	5.0
TOCQUEVILLE	035	TER	S	100,000	15.76	n/a	n/a	5,000.00	5.0
COLUMBUS CIRCLE	036	UNP	B	1,000	113.20	n/a	n/a	40.00	4.0
SURVEYOR CAPITAL	251	UNP	B	4,438	113.04	n/a	n/a	133.14	3.0
BMO NESBITT BURNS	041	USG	SS	25,000	14.42	n/a	21-Oct	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	USG	SS	10,000	14.26	n/a	21-Oct	500.00	5.0
MOORE CAPITAL	041	VAL	S	3,000	42.55	n/a	n/a	90.00	3.0
EPOCH INV MGMT	030	VC	S	25,000	49.92	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	WU	B	415	18.77	n/a	n/a	16.60	4.0
BESSEMER INVESTMENT	085	YUM	B	290	62.53	n/a	6-Jan	11.60	4.0
TUDOR INVESTORS	028	ZUMZ	SS	14,800	30.18	n/a	n/a	444.00	3.0
TOTAL (Trade Date) :								98,907.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/18	THIRD COAST CAPITAL (3CAPPBOA)	035	CVO	S	26,600	3.19	n/a	n/a	1330.00 5.0
AO,CRT	01/18	THIRD COAST CAPITAL (3CAPPBOA)	035	CVO	S	26,600	3.19	n/a	n/a	798.00 3.0
AO,CXL	01/17	MTB INV ADV (MTBIMAIN O)	034	QLTY	S	289	12.03	n/a	n/a	14.45 5.0
AO,CRT	01/17	MTB INV ADV (MTBIMAIN O)	034	QLTY	S	289	12.03	n/a	n/a	11.56 4.0
TOTAL (AO, CXL, CRT) :										-534.89

TOTAL (Trade Date) :	98,907.32
TOTAL (AO, CXL, CRT) :	-534.89

TOTAL (RUN DATE) / NFS :	98,372.43
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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