



Daily Compliance Activity Report

Trade Date: 02/09/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AAP	SS	20,000	80.08	n/a	n/a	1,000.00	5.0
TUDOR INVESTORS	028	ABH	B	15,000	15.32	n/a	n/a	450.00	3.0
PZENA INV ADV	044	ABT	B	575	55.19	n/a	n/a	20.13	3.5
PRIMECAP MGMT	084	AKAM	S	5,000	38.00	n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	AXL	SS	20,000	12.56	n/a	6-Feb	600.00	3.0
PZENA INV ADV	044	BEN	B	250	116.98	n/a	2-Mar	8.75	3.5
PROSPECTOR PARTNERS LLC	036	BRKB	S	5,000	79.27	n/a	n/a	200.00	4.0
PARKWEST	084	CAP	S	16,400	19.19	n/a	n/a	656.00	4.0
EDGEWOOD	085	COH	B	58,670	74.12	n/a	25-Jan	2,933.50	5.0
MACQUARIE INVESTMENT MGMT.	040	CRK	S	10,000	12.35	n/a	n/a	0.00	0.0
ST OF MICHIAN	047	CSCO	S	306,082	20.28	n/a	n/a	9,182.46	3.0
SANDLER CAPITAL	028	DCI	S	107,000	75.13	n/a	n/a	5,350.00	5.0
IRIDIAN ASSET MGMT.	036	DVN	S	58,070	66.22	n/a	6-Jan	2,903.50	5.0
PZENA INV ADV	044	ETR	B	675	68.27	n/a	n/a	23.63	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARBER/WEISS PECK	085	FINL	B	23,900	23.00	n/a	20-Jan	956.00	4.0
MACQUARIE INVESTMENT MGMT.	040	FINL	B	20,000	22.82	n/a	20-Jan	0.00	0.0
RIDGECREST INV MGMT LLC	028	FINL	B	10,000	23.19	n/a	20-Jan	500.00	5.0
SURVEYOR CAPITAL	251	FINL	SS	25,000	23.12	n/a	20-Jan	750.00	3.0
GEORGE WEISS	034	FL	S	145,402	26.66	n/a	9-Jan	5,816.08	4.0
TUDOR INVESTORS	028	GD	B	5,000	71.18	n/a	27-Jan	150.00	3.0
VISIUM/BALY BOBBY	044	GE	S	25,000	19.21	n/a	n/a	1,250.00	5.0
BRONSON POINT	036	GT	B	25,000	14.20	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	GWW	SS	2,000	201.25	n/a	26-Jan	60.00	3.0
SONTERRA CAP	041	HES	SS	40,000	61.59	n/a	n/a	1,600.00	4.0
PZENA INV ADV	044	HPQ	B	1,325	29.15	n/a	n/a	46.38	3.5
SIMMONS VENTURES	041	HWD	B	5,000	12.00	n/a	n/a	200.00	4.0
DELTEC ASSET MGMT.	040	IR	S	16,550	38.00	n/a	8-Feb	827.50	5.0
PATTEN & PATTEN	025	IYF	B	56,900	54.83	n/a	n/a	2,845.00	5.0
RAINIER INV MGMT	035	KO	B	67,290	68.01	n/a	7-Feb	2,691.60	4.0
DAVIDSON INV ADV	035	LL	S	21,250	22.51	n/a	n/a	850.00	4.0
SMITH MGMT LLC	029	LNKD	SS	131,000	76.56	n/a	n/a	3,930.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOPLITE MGMT	025	LPX	B	25,000	7.95	n/a	7-Feb	750.00	3.0
PZENA INV ADV	044	MET	B	875	37.44	n/a	n/a	30.63	3.5
SURVEYOR CAPITAL	251	MGM	B	34,459	14.51	n/a	13-Jun	1,033.77	3.0
PROSPECTOR PARTNERS LLC	036	MRO	S	10,000	32.48	n/a	n/a	400.00	4.0
PZENA INV ADV	044	MSFT	B	925	30.77	n/a	n/a	32.38	3.5
PZENA INV ADV	044	MS	B	1,425	20.37	n/a	6-Feb	49.88	3.5
ACK ASSET	028	MTRN	B	25,738	30.53	n/a	n/a	772.14	3.0
ROYCE TRADING	031	MTX	B	10,018	67.42	n/a	n/a	500.90	5.0
TUDOR INVESTORS	028	OC	B	5,000	34.51	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	OC	SS	5,000	35.06	n/a	n/a	150.00	3.0
COOPER CREEK PART	028	PLCE	S	13,300	51.37	n/a	18-Jan	532.00	4.0
LISTED ERR	099	PLCE	B	4,270	51.25	n/a	18-Jan	0.00	0.0
LISTED ERR	099	PLCE	S	4,270	51.30	n/a	18-Jan	0.00	0.0
PROSPECTOR PARTNERS LLC	036	PPS	S	10,000	45.28	n/a	n/a	400.00	4.0
PRIMECAP MGMT	084	QCOM	B	2,200	61.47	n/a	n/a	88.00	4.0
BNP PARIBAS SEC	040	RKT	S	20,000	67.26	n/a	26-Jan	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	66.66	n/a	26-Jan	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ROC	S	10,266	54.52	n/a	n/a	410.64	4.0
LISTED ERR	099	RRGB	B	1,500	33.27	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	RTN	SS	5,000	49.92	n/a	31-Jan	150.00	3.0
ELM RIDGE ADVISORS	044	RYN	B	7,300	45.06	n/a	26-Jan	292.00	4.0
ACK ASSET	028	R	B	30,000	54.23	n/a	n/a	900.00	3.0
SENATOR INVESTMENT GROUP	036	SBUX	B	300,000	49.05	n/a	27-Jan	9,000.00	3.0
PZENA INV ADV	044	SPLS	B	3,525	14.70	n/a	n/a	123.38	3.5
TUDOR INVESTORS	028	SPW	B	3,000	74.59	n/a	n/a	90.00	3.0
MASTERS CAPITAL MANAGE	025	SWN	B	200,000	33.58	n/a	6-Jan	8,000.00	4.0
MELLON/BANK OF NEW YORK	046	TDW	B	58,300	58.42	n/a	n/a	2,332.00	4.0
1798 CAP/LOMBARD ASSET	040	TKR	S	7,500	51.20	n/a	n/a	375.00	5.0
EDGEWOOD	085	YUM	B	52,181	64.70	n/a	8-Feb	2,609.05	5.0
TOTAL (Trade Date) :								77,672.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/07	SCOUT/UMB (SUMBMIDCAP)	047	GIL	S	91,775	21.32	n/a	9-Feb	2753.25 3.0
AO,CRT	02/07	SCOUT/UMB (SUMBMIDCAP)	047	GIL	S	91,775	21.32	n/a	9-Feb	2753.25 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	77,672.30
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	77,672.30
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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