



Daily Compliance Activity Report

Trade Date: 04/16/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	ALV	SS	35,000	64.16	n/a	2-Feb	1,050.00	3.0
BALYASNY ASSET MGMT	044	ASNA	B	20,000	20.91	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	297	BAM	S	338,293	31.05	n/a	n/a	13,531.72	4.0
NEWLAND CAPITAL MGT	025	BGC	B	10,000	27.95	n/a	n/a	400.00	4.0
IRIDIAN ASSET MGMT.	036	BLL	S	67,510	42.45	n/a	n/a	3,375.50	5.0
NEW JERSEY DIV OF INV.	030	BLL	S	150,000	42.40	n/a	n/a	6,000.00	4.0
MELLON/BANK OF NEW YORK	046	BMV	S	14,335	32.67	n/a	n/a	573.40	4.0
MELLON/BANK OF NEW YORK	046	CMCSA	B	385,328	29.66	n/a	n/a	15,413.12	4.0
TUDOR INVESTORS	028	COL	B	3,000	57.15	n/a	13-Apr	90.00	3.0
CORNERSTONE	030	DKS	S	16,430	49.41	n/a	9-Apr	492.90	3.0
CASTLEROCK	040	DRI	SS	24,415	50.29	n/a	13-Apr	976.60	4.0
CASTLEROCK	040	EAT	SS	43,581	28.15	n/a	13-Apr	1,743.24	4.0
COLUMBUS CIRCLE	036	EDMC	S	2,148	12.52	n/a	n/a	85.92	4.0
JET CAPITAL/CHRIS	041	EP	S	50,000	29.34	n/a	n/a	1,500.00	3.0
KACELA CAPITAL	034	EXPR	B	80,000	23.94	n/a	n/a	3,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	SS	200,000	11.96	n/a	4-Apr	6,000.00	3.0
OZ MGMT	040	GM	SS	417,944	23.59	n/a	4-Apr	12,538.32	3.0
MERRILL ASSET/BLACKROCK	297	HBHC	B	5,040	34.22	n/a	n/a	201.60	4.0
COOPER CREEK PART	028	HBI	B	10,000	26.96	n/a	27-Mar	400.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	HBI	B	4,000	26.94	n/a	27-Mar	200.00	5.0
SIMMONS VENTURES	041	HBI	B	7,500	27.10	n/a	27-Mar	300.00	4.0
TRELLUS PARTNERS LP	028	HBI	B	17,500	26.78	n/a	27-Mar	525.00	3.0
LATEFF MGMT	035	HD	S	225	51.74	n/a	21-Feb	33.75	15.0
LATEFF MGMT	035	HON	S	100	58.34	n/a	5-Apr	30.00	30.0
LATEFF MGMT	035	HPQ	S	225	24.47	n/a	n/a	31.50	14.0
SIMMONS VENTURES	041	HWD	B	10,000	13.90	n/a	n/a	400.00	4.0
LATEFF MGMT	035	INTC	S	425	28.40	n/a	n/a	72.50	17.5
CATAPULT	040	JWN	SS	14,682	55.24	n/a	30-Mar	587.28	4.0
1798 CAP/LOMBARD ASSET	040	KWK	SS	10,000	4.04	n/a	n/a	300.00	3.0
ROTHSCHILD ASSET	040	MAC	S	3,250	58.43	n/a	n/a	130.00	4.0
OSKIE CAPITAL MGMT	224	MWV	B	20,000	31.11	n/a	16-Apr	1,000.00	5.0
KLEINHEINZ CAP PART	031	M	S	50,000	39.71	n/a	9-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	NAV	S	19,000	36.53	n/a	13-Apr	570.00	3.0
LATEFF MGMT	035	NYB	S	250	13.26	n/a	30-Mar	30.00	12.0
LATEFF MGMT	035	OI	B	400	24.24	n/a	n/a	40.00	10.0
BNP PARIBAS SEC	040	PLCE	S	20,000	48.24	n/a	7-Mar	1,000.00	5.0
NEW JERSEY DIV OF INV.	030	PPG	B	67,000	96.45	n/a	9-Apr	2,680.00	4.0
STATE TEACHERS RET SYS	047	PSA	S	3,000	138.38	n/a	n/a	150.00	5.0
ASCEND PARTNERS	033	PVH	B	10,000	88.64	n/a	29-Mar	300.00	3.0
MAIRS AND POWER INV	030	SLB	B	20,000	68.26	n/a	n/a	1,000.00	5.0
SONTERRA CAP	041	SLE	B	20,000	21.43	n/a	n/a	800.00	4.0
WOODWAY FINANCIAL	031	SNPK	B	1,000	1.94	n/a	n/a	60.00	6.0
STATE TEACHERS RET SYS	047	SPG	S	3,000	146.35	n/a	n/a	150.00	5.0
ROTHSCHILD ASSET	040	SPW	S	2,120	76.17	n/a	n/a	84.80	4.0
FIRST NY SEC/CHRIS	041	SPY	SS	25,000	137.17	n/a	n/a	750.00	3.0
IVORY CAPITAL	034	SWY	S	55,000	21.46	n/a	n/a	2,750.00	5.0
DELTEC ASSET MGMT.	040	TEN	B	10,000	36.99	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	TEVA	S	75,220	44.16	n/a	16-Apr	3,761.00	5.0
LATEFF MGMT	035	UAL	S	200	22.34	n/a	n/a	30.00	15.0
CORNERSTONE	030	VFC	B	5,412	150.04	n/a	17-Feb	162.36	3.0
ROTHSCHILD ASSET	040	V	S	14,209	120.89	n/a	2-Apr	568.36	4.0
LATEFF MGMT	035	WRI	S	325	25.48	n/a	n/a	32.50	10.0
TOTAL (Trade Date):								90,101.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	04/16	SIMMONS VENTURES (SIMMJPM)	041	HBI	B	7,500	27.10	n/a 27-Mar	300.00 4.0

TOTAL (AO, CXL, CRT) :	300.00
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TOTAL (Trade Date) :	90,101.37
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TOTAL (AO, CXL, CRT) :	300.00
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TOTAL (RUN DATE) / NFS:	90,401.37
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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