



Daily Compliance Activity Report

Trade Date: 05/24/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	035	ABC	B	62,800	36.35	n/a	n/a	2,260.80	3.6
EPOCH INV MGMT	030	ABT	B	555	62.25	n/a	n/a	16.65	3.0
BURL CAPITAL LLC	029	ACM	B	20,000	16.50	n/a	n/a	800.00	4.0
HOPLITE MGMT	025	AMD	SS	125,000	6.06	n/a	n/a	3,750.00	3.0
OHIO PERS	047	AOL	B	43,000	27.27	n/a	n/a	1,290.00	3.0
ADAGE CAPITAL MGMT	030	ARO	B	100,000	19.02	n/a	n/a	3,000.00	3.0
BALYASNY ASSET MGMT	044	ASNA	B	25,000	19.28	n/a	n/a	1,250.00	5.0
TUDOR INVESTORS	028	BGC	B	5,000	29.24	n/a	n/a	150.00	3.0
EPOCH INV MGMT	030	CCE	B	860	27.45	n/a	n/a	25.80	3.0
NEUBERGER BERMAN	036	CCE	S	10,000	27.48	n/a	n/a	400.00	4.0
LATEFF MGMT	035	CMCSK	S	150	28.82	n/a	n/a	30.00	20.0
WCG MANAGEMENT	044	CNX	SS	6,500	29.62	n/a	n/a	195.00	3.0
HIGHBRIDGE CAP	041	DAL	B	23,000	11.38	n/a	n/a	690.00	3.0
PERIMETER	273	DAN	B	171,158	13.43	n/a	26-Apr	5,134.74	3.0
WCG MANAGEMENT	044	DAN	SS	50,000	13.47	n/a	26-Apr	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	DBD	B	810	36.73	n/a	23-Mar	24.30	3.0
EPOCH INV MGMT	030	DD	B	1,265	48.69	n/a	21-May	37.95	3.0
HIGHBRIDGE CAP	041	DD	S	11,500	48.52	n/a	21-May	345.00	3.0
SCOUT/UMB	047	FDO	B	67,517	67.48	n/a	7-May	2,025.51	3.0
KINGDON ASSET MGMT	041	FDX	B	50,000	89.60	n/a	n/a	2,000.00	4.0
LATEFF MGMT	035	FDX	S	100	89.59	n/a	n/a	30.00	30.0
NEUBERGER BERMAN	036	FEIC	B	38,500	45.18	n/a	n/a	1,540.00	4.0
SIMMONS VENTURES	041	GIII	B	3,821	24.10	n/a	n/a	152.84	4.0
LATEFF MGMT	035	GIS	S	150	38.96	n/a	n/a	30.00	20.0
HIGHBRIDGE CAP	041	GT	S	25,000	10.23	n/a	n/a	750.00	3.0
HIGHBRIDGE CAP	041	GWW	B	3,000	196.83	n/a	19-Apr	90.00	3.0
NEUBERGER BERMAN	036	HITT	B	7,900	49.64	n/a	n/a	316.00	4.0
EPOCH INV MGMT	030	HNZ	B	405	53.23	n/a	n/a	12.15	3.0
ARSENAL ASSET MANAGEMENT	028	HXL	SS	20,000	24.97	n/a	24-Apr	600.00	3.0
WCG MANAGEMENT	044	IPI	B	50,000	19.42	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	IP	SS	15,000	30.02	n/a	27-Apr	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEVENNY CAP LLC/MILLENIU	044	IP	B	10,000	29.63	n/a	27-Apr	300.00	3.0
FIRST NY SEC/CHRIS	041	IP	B	15,000	30.20	n/a	27-Apr	450.00	3.0
ARSENAL ASSET MANAGEMENT	028	ITW	B	10,000	55.50	n/a	25-Apr	300.00	3.0
EPOCH INV MGMT	030	JNJ	B	505	63.12	n/a	n/a	15.15	3.0
BARROW HANLEY MEWHINNEY	031	JPM	B	119,000	34.27	n/a	24-May	4,165.00	3.5
WCG MANAGEMENT	044	KNX	SS	12,000	16.96	n/a	n/a	360.00	3.0
HIGHBRIDGE CAP	041	MDR	S	36,000	10.20	n/a	n/a	1,080.00	3.0
EPOCH INV MGMT	030	MRK	B	910	37.54	n/a	n/a	27.30	3.0
BURL CAPITAL LLC	029	MSCI	B	10,000	33.75	n/a	n/a	400.00	4.0
TUDOR INVESTORS	028	MT	S	15,000	14.34	n/a	n/a	450.00	3.0
WCG MANAGEMENT	044	MT	SS	14,000	14.27	n/a	n/a	420.00	3.0
LATEFF MGMT	035	NYB	S	350	12.59	n/a	18-Apr	35.00	10.0
FRED ALGER MGMT	035	OC	S	25,500	30.22	n/a	n/a	918.00	3.6
YORK CAPITAL	036	ORCL	SS	100,000	26.38	n/a	n/a	3,000.00	3.0
EPOCH INV MGMT	030	PGN	B	915	55.13	n/a	n/a	27.45	3.0
EPOCH INV MGMT	030	PPL	B	860	27.52	n/a	n/a	25.80	3.0
EPOCH INV MGMT	030	RAI	B	1,565	41.71	n/a	n/a	46.95	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	RJF	B	36,580	33.73	n/a	n/a	1,463.20	4.0
CATAPULT	040	ROC	B	10,000	47.25	n/a	n/a	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	ROP	B	5,000	100.39	n/a	n/a	150.00	3.0
EPOCH INV MGMT	030	SCG	B	605	46.36	n/a	n/a	18.15	3.0
SIMMONS VENTURES	041	SKS	SS	20,000	10.18	n/a	n/a	800.00	4.0
WCG MANAGEMENT	044	SPW	B	5,000	74.12	n/a	n/a	150.00	3.0
WCG MANAGEMENT	044	TEX	B	20,000	17.76	n/a	24-May	600.00	3.0
EPOCH INV MGMT	030	TE	B	2,225	17.32	n/a	n/a	66.75	3.0
OHIO PERS	047	TKR	B	15,850	50.77	n/a	n/a	475.50	3.0
NWQ INVESTMENT MGMT CO	084	TLM	S	75,000	9.84	n/a	n/a	2,250.00	3.0
HIGHBRIDGE CAP	041	UAL	B	23,000	23.54	n/a	n/a	690.00	3.0
LATEFF MGMT	035	UAL	S	100	23.56	n/a	n/a	30.00	30.0
TUDOR INVESTORS	028	UPS	B	10,000	75.60	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	VVC	B	1,210	28.98	n/a	n/a	36.30	3.0
SENATOR INVESTMENT GROUP	036	WLP	B	100,000	68.59	n/a	n/a	3,000.00	3.0
EPOCH INV MGMT	030	WM	B	910	33.18	n/a	n/a	27.30	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	XLE	C	64,700	65.05	n/a	n/a	1,941.00	3.0
HIGHBRIDGE CAP	041	X	B	16,400	21.40	n/a	n/a	492.00	3.0
TOTAL (Trade Date):								55,607.59	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/22	ADAGE CAPITAL MGMT (ADAGCSFB)	030	AEO	B	95,418	19.95	n/a	2-Dec	2862.54 3.0
AO,CRT	05/22	ADAGE CAPITAL MGMT (ADAGESHORT)	030	AEO	B	95,418	19.95	n/a	2-Dec	2862.54 3.0
AO,CXL	05/23	CONIFER/ISF (CONIISFJPM)	025	HPQ	B	16,000	21.02	n/a	n/a	640.00 4.0
AO,CRT	05/23	CONIFER/ISF (CONIISFJPM)	025	HPQ	B	16,000	21.02	n/a	n/a	640.00 4.0
AO,CXL	05/23	CONIFER/ISF (CONILSUFS)	025	HPQ	B	9,000	21.02	n/a	n/a	360.00 4.0
AO,CRT	05/23	CONIFER/ISF (CONIPERFLP)	025	HPQ	B	9,000	21.02	n/a	n/a	360.00 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (RUN DATE) / NFS :	55,607.59
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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