



## Daily Compliance Activity Report

Trade Date: 04/10/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	S	100	630.68	n/a	n/a	5.00	5.0
NWQ INVESTMENT MGMT CO	084	ABX	S	3,800	41.07	n/a	n/a	114.00	3.0
KINGDON ASSET MGMT	041	AEO	S	145,000	16.61	n/a	2-Dec	5,800.00	4.0
RBC CAPITAL MARKETS	040	AEO	B	9,801	16.29	n/a	2-Dec	392.04	4.0
SIMMONS VENTURES	041	AEO	B	10,000	16.74	n/a	2-Dec	400.00	4.0
STELLIAM INV ADV	034	AMTD	SS	50,000	18.73	n/a	n/a	2,500.00	5.0
SENATOR INVESTMENT GROUP	036	APC	B	50,000	76.05	n/a	14-Mar	1,500.00	3.0
DC CAPITAL	044	ATI	B	16,500	38.23	n/a	5-Apr	660.00	4.0
MOORE CAPITAL	041	AXL	SS	50,000	10.58	n/a	6-Feb	1,500.00	3.0
KINGDON ASSET MGMT	041	BJRI	S	18,000	48.25	n/a	n/a	720.00	4.0
CATAPULT	040	BKE	SS	16,348	45.57	n/a	n/a	653.92	4.0
KINGDON ASSET MGMT	041	BWLD	S	14,500	86.18	n/a	n/a	580.00	4.0
SAGE ASSET MGMT	025	BZ	S	34,000	7.27	n/a	n/a	1,360.00	4.0
CAPITAL RESEARCH GROUP	296	CCL	B	100,000	30.49		n/a	n/a	3,500.00 3.5
KINGDON ASSET MGMT	041	COH	S	14,750	74.64	n/a	2-Mar	590.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	COH	SS	5,000	74.46	n/a	2-Mar	200.00	4.0
SCOPUS FUND	041	COH	B	14,619	73.41	n/a	2-Mar	584.76	4.0
KINGDON ASSET MGMT	041	CPB	S	4,075	33.21	n/a	n/a	163.00	4.0
COLUMBUS CIRCLE	036	CREE	B	2,658	30.16	n/a	n/a	106.32	4.0
ROARING BLUE LION MGMT	031	CROX	S	14,700	19.59	n/a	n/a	588.00	4.0
PATTEN & PATTEN	025	CVX	S	50	101.73	n/a	n/a	2.50	5.0
SCOPUS FUND	041	DAN	S	22,500	14.41	n/a	22-Feb	900.00	4.0
NWQ INVESTMENT MGMT CO	084	DEL	B	16,685	59.74	n/a	n/a	667.40	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	10,190	14.98	n/a	23-Feb	509.50	5.0
OZ MGMT	040	F	C	113,590	11.76	n/a	4-Apr	3,407.70	3.0
ROSEDALE CAPITAL	046	F	B	15,000	11.85	n/a	4-Apr	600.00	4.0
ROSEDALE CAPITAL	046	GFI	B	20,000	12.72	n/a	n/a	800.00	4.0
KLEINHEINZ CAP PART	031	GIL	S	25,000	26.92	n/a	9-Feb	1,250.00	5.0
AVENUE CAPITAL MGMT	070	GM	S	50,000	23.46	n/a	4-Apr	2,000.00	4.0
OZ MGMT	040	GM	C	57,809	23.41	n/a	4-Apr	1,734.27	3.0
RAINIER INV MGMT	035	GPI	B	143,170	55.81	n/a	3-Apr	5,726.80	4.0
BASIX	033	HSC	B	19,000	21.47	n/a	10-Apr	570.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	251	IGT	S	72,142	16.00	n/a	13-Jun	2,164.26	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	32.99	n/a	4-Apr	2,500.00	5.0
TUDOR INVESTORS	028	IR	SS	5,000	38.92	n/a	4-Apr	150.00	3.0
T. ROWE PRICE	033	JNPR	B	188,144	21.00	n/a	n/a	7,525.76	4.0
MFP INVESTORS	085	JNS	B	25,000	8.11	n/a	n/a	1,000.00	4.0
FIRST NY SEC/CHRIS	041	JNY	B	10,000	11.62	n/a	9-Feb	300.00	3.0
SIMMONS VENTURES	041	JNY	B	5,000	11.73	n/a	9-Feb	250.00	5.0
RBC CAPITAL MARKETS	040	KORS	B	5,000	45.17	n/a	n/a	200.00	4.0
SURVEYOR CAPITAL	251	KR	SS	21,413	23.31	n/a	n/a	642.39	3.0
IRIDIAN ASSET MGMT.	036	KSS	B	7,660	49.40	n/a	30-Mar	383.00	5.0
LEVIN CAPITAL STRATEGIES	041	KSS	SS	17,000	49.45	n/a	30-Mar	510.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	SS	61,508	26.57	n/a	4-Apr	3,075.40	5.0
LEVIN CAPITAL STRATEGIES	041	LIZ	B	25,600	12.49	n/a	7-Oct	768.00	3.0
KINGDON ASSET MGMT	041	LULU	S	17,625	75.56	n/a	10-Apr	705.00	4.0
MOORE CAPITAL	041	MAS	SS	40,000	12.05	n/a	n/a	1,200.00	3.0
NWQ INVESTMENT MGMT CO	084	MET	S	4,800	35.08	n/a	n/a	144.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	MWA	B	25,000	3.19	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	MWV	B	5,000	30.22	n/a	21-Mar	150.00	3.0
KLEINHEINZ CAP PART	031	M	S	25,000	39.05	n/a	9-Apr	1,250.00	5.0
STELLIAM INV ADV	034	OIH	B	25,000	38.54	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	OI	C	25,000	22.51	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	64.79	n/a	4-Apr	750.00	5.0
GEORGE WEISS	034	ROST	S	63,984	57.90	n/a	9-Apr	1,919.52	3.0
DONALD SMITH	088	RSH	B	500,000	5.94	n/a	n/a	10,000.00	2.0
SANDLER CAPITAL	028	SAH	S	150,000	17.18	n/a	n/a	7,500.00	5.0
PATTEN & PATTEN	025	SDS	S	4,500	16.08	n/a	n/a	225.00	5.0
SURVEYOR CAPITAL	251	SKS	SS	41,274	10.39	n/a	n/a	1,238.22	3.0
SOROS	036	SLE	B	20,000	21.30	n/a	n/a	800.00	4.0
SENATOR INVESTMENT GROUP	036	TLM	S	150,000	12.11	n/a	n/a	4,500.00	3.0
KINGDON ASSET MGMT	041	TUP	S	35,600	61.74	n/a	n/a	1,424.00	4.0
BALLAST CAP	040	VIAB	B	10,200	46.28	n/a	n/a	510.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SEVEN LOCKS CAPITAL	025	WAG	S	81,000	32.19	n/a	n/a	2,430.00	3.0
RBC CAPITAL MARKETS	040	WMT	B	7,000	60.15	n/a	10-Apr	280.00	4.0
SURVEYOR CAPITAL	251	WMT	B	65,100	60.00	n/a	10-Apr	1,953.00	3.0
DONALD SMITH	088	WPX	B	48,000	16.61	n/a	n/a	1,440.00	3.0
LEVIN CAPITAL STRATEGIES	041	WRC	B	10,200	55.60	n/a	23-Mar	306.00	3.0
BESSEMER INVESTMENT	085	XOM	S	610	82.29	n/a	n/a	24.40	4.0
PROSPECTOR PARTNERS LLC	036	XRX	S	10,000	7.75	n/a	n/a	400.00	4.0
<b>TOTAL (Trade Date):</b>								<b>101,953.16</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/10	ROSEDALE CAPITAL (ROSEJPM)	046	F	B	15,000	11.85	n/a	4-Apr	600.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>600.00</b>
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TOTAL (Trade Date) :	101,953.16
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TOTAL (AO, CXL, CRT) :	600.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>102,553.16</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