



## Daily Compliance Activity Report

Trade Date: 01/18/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAWW	B	7,000	41.75	n/a	n/a	210.00	3.0
BRONSON POINT	036	AGCO	SS	10,000	50.39	n/a	18-Jan	300.00	3.0
BALYASNY ASSET MGMT	044	ASNA	S	10,000	35.09	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	ASNA	B	10,000	34.74	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	BIG	B	50,000	38.83	n/a	2-Dec	2,500.00	5.0
BASSWOOD PARTNERS	267	BLK	S	4,285	187.93	n/a	n/a	171.40	4.0
MERRILL ASSET/BLACKROCK	297	BSX	B	167,050	5.54	n/a	n/a	6,682.00	4.0
MILLRACE FUND LP	028	BWA	SS	3,000	74.53	n/a	6-Jan	120.00	4.0
SONTERRA CAP	041	BXP	B	10,000	99.37	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	CAKE	B	15,000	29.66	n/a	6-Jan	600.00	4.0
IVORY CAPITAL	034	CIEN	S	100,000	15.07	n/a	n/a	5,000.00	5.0
TUDOR INVESTORS	028	COL	B	3,000	56.56	n/a	18-Jan	90.00	3.0
OHIO PERS	047	COP	B	120,000	71.56	n/a	n/a	3,600.00	3.0
RBC CAPITAL MARKETS	040	CPB	SS	10,000	32.02	n/a	n/a	400.00	4.0
THIRD COAST CAPITAL	035	CVO	S	26,600	3.19	n/a	n/a	1,330.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	CVX	S	80,000	106.41	n/a	n/a	2,400.00	3.0
FORTRESS INVESTMENT (US)	036	DOV	B	4,000	60.61	n/a	n/a	160.00	4.0
BALYASNY ASSET MGMT	044	DPZ	S	21,500	32.40	n/a	13-Jan	1,075.00	5.0
DECADE CAPITAL PARTNERS	040	DRI	B	11,000	45.43	n/a	6-Jan	440.00	4.0
LATEFF MGMT	035	DVN	B	2,500	64.31	n/a	6-Jan	250.00	10.0
TALPION LLC	040	FBRC	S	40,000	2.10	n/a	n/a	800.00	2.0
KAM ADVISORS LLC	041	FSLR	SS	41,700	42.74	n/a	n/a	1,251.00	3.0
TRELLUS PARTNERS LP	028	F	SS	75,000	12.18	n/a	6-Jan	3,750.00	5.0
LEVIN CAPITAL STRATEGIES	041	GE	B	20,000	19.02	n/a	n/a	600.00	3.0
DEVENNY CAP LLC	044	GM	SS	16,700	24.37	n/a	6-Jan	501.00	3.0
SABR GROUP LLP	025	GM	SS	20,000	24.27	n/a	6-Jan	800.00	4.0
DEVENNY CAP LLC	044	GNTX	B	10,000	30.75	n/a	21-Oct	300.00	3.0
FORTRESS INVESTMENT (US)	036	GT	SS	40,000	13.50	n/a	n/a	1,200.00	3.0
BASSWOOD PARTNERS	267	HBAN	S	205,700	6.00	n/a	n/a	8,228.00	4.0
TUDOR INVESTORS	028	HSC	B	10,000	20.07	n/a	31-Oct	300.00	3.0
BALYASNY ASSET MGMT	044	IP	S	50,000	32.07	n/a	27-Oct	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	B	35,000	31.66	n/a	27-Oct	1,750.00	5.0
FARBER/WEISS PECK	085	JCI	S	25,000	35.18	n/a	4-Jan	1,000.00	4.0
SCOPUS FUND	041	JCI	B	93,998	35.39	n/a	4-Jan	3,759.92	4.0
SF SENTRY	085	JCI	SS	10,000	35.05	n/a	4-Jan	500.00	5.0
DEVENNY CAP LLC	044	LEA	S	15,000	42.39	n/a	6-Jan	450.00	3.0
BRONSON POINT	036	LOW	S	25,000	27.37	n/a	7-Dec	750.00	3.0
FRED ALGER MGMT	035	LOW	S	176,510	27.10	n/a	7-Dec	6,354.36	3.6
TALPION LLC	040	MCD	S	5,000	101.03	n/a	6-Jan	200.00	4.0
TUDOR INVESTORS	028	MLM	B	3,000	78.25	n/a	n/a	90.00	3.0
ROYCE TRADING	031	MTX	B	2,271	62.15	n/a	n/a	113.55	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	SS	18,790	31.39	n/a	18-Jan	939.50	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	6,210	31.34	n/a	18-Jan	310.50	5.0
DEVENNY CAP LLC	044	MWV	B	2,500	30.68	n/a	18-Jan	75.00	3.0
THIRD COAST CAPITAL	035	NCR	S	10,000	16.77	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	OAS	B	15,700	34.10	n/a	n/a	628.00	4.0
DENVER INST. ADV	046	PLCE	B	131,134	50.14	n/a	18-Jan	5,245.36	4.0
CAPITAL GROWTH MGMT.	241	PM	S	300,000	74.19	n/a	n/a	15,000.00	5.0
TUDOR INVESTORS	028	PPG	B	2,000	89.87	n/a	14-Dec	60.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	PVH	B	18,700	74.33	n/a	12-Jan	561.00	3.0
CASTLE ARK	031	RL	B	53,580	145.27	n/a	9-Jan	2,679.00	5.0
HARVEST MGMT	029	RSH	SS	22,500	11.01	n/a	n/a	900.00	4.0
ROARING BLUE LION MGMT	031	SSI	S	18,600	14.41	n/a	n/a	744.00	4.0
NEUBERGER BERMAN	036	STNR	S	8,645	46.68	n/a	n/a	345.80	4.0
DECADE CAPITAL PARTNERS	040	TXRH	S	31,300	15.91	n/a	n/a	1,252.00	4.0
TUDOR INVESTORS	028	UNP	S	5,000	110.41	n/a	n/a	150.00	3.0
RBC CAPITAL MARKETS	040	URBN	S	15,600	24.95	n/a	n/a	624.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	S	31,981	42.05	n/a	n/a	959.43	3.0
EPOCH INV MGMT	030	VC	S	25,000	49.33	n/a	n/a	750.00	3.0
KAM ADVISORS LLC	041	WBC	B	42,200	47.70	n/a	4-Jan	1,266.00	3.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>WFC</b>	<b>S</b>	<b>2,000</b>	<b>30.15</b>	<b>n/a</b>	<b>17-Jan</b>	<b>80.00</b>	<b>4.0</b>
WEDBUSH/PACIFIC GROWTH EQTY LLC084		WPI	B	15,000	57.87		n/a 18-Jan	750.00	5.0
BNP PARIBAS SEC	040	WRC	B	5,000	52.42	n/a	13-Jan	250.00	5.0
COUGAR TRADING	044	WRC	B	5,000	54.10	n/a	13-Jan	250.00	5.0
VERITION	028	WSM	S	17,500	34.26	n/a	n/a	525.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	WSO	B	3,000	66.96	n/a	n/a	90.00	3.0
VISIUM/BALY BOBBY	044	XLI	C	15,000	35.65	n/a	n/a	750.00	5.0
LATEFF MGMT	035	XOM	S	500	86.34	n/a	n/a	60.00	12.0
TUDOR INVESTORS	028	ZUMZ	SS	1,100	30.00	n/a	n/a	33.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>97,603.82</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/17	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	DAN	S	70,400	14.75	n/a	13-Jan	3520.00 5.0
AO,CRT	01/17	GOLD SACHS SPECIAL SIT (GSSSGOLDMA)	030	DAN	S	70,400	14.75	n/a	13-Jan	3520.00 5.0
AO,CRT	01/17	MORTAR ROCK (MORTEOSJPM)	033	DAN	S	37,500	14.34	n/a	13-Jan	1500.00 4.0
AO,CXL	01/17	MORTAR ROCK (MORTGSEOSP)	033	DAN	S	37,500	14.34	n/a	13-Jan	1500.00 4.0
AO,CXL	01/17	MTB INV ADV (MTBIMAIN O)	034	TEN	S	200	30.21	n/a	n/a	8.00 4.0
AO,CRT	01/17	MTB INV ADV (MTBIMAIN O)	034	TEN	S	200	30.21	n/a	n/a	10.00 5.0
AO,CXL	01/17	MTB INV ADV (MTBISMCAP)	034	TEN	S	7,000	30.21	n/a	n/a	280.00 4.0
AO,CRT	01/17	MTB INV ADV (MTBISMCAP)	034	TEN	S	7,000	30.21	n/a	n/a	350.00 5.0
CRT	01/18	VERITION (VERTBAMLAC)	028	WSM	S	17,500	34.26	n/a	n/a	525.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>597.00</b>
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TOTAL (Trade Date) :	97,603.82
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TOTAL (AO, CXL, CRT) :	597.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>98,200.82</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