



Daily Compliance Activity Report

Trade Date: 05/09/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	ABG	B	1,700	25.74	n/a	27-Apr	51.00	3.0
LEVIN CAPITAL STRATEGIES	041	ACCO	SS	25,000	10.19	n/a	n/a	750.00	3.0
STATE TEACHERS RET SYS	047	AEP	B	65,000	38.06	n/a	n/a	3,250.00	5.0
SMITH MGMT LLC	029	BZH	B	1,000,000	2.79	n/a	n/a	30,000.00	3.0
STATE TEACHERS RET SYS	047	COV	B	80,832	54.37	n/a	n/a	4,041.60	5.0
EPOCH INV MGMT	030	CPO	B	1,750	54.32	n/a	n/a	52.50	3.0
BRANDWINE	028	CSCO	B	8,200	18.70	n/a	n/a	328.00	4.0
PECONIC PARTNERS	036	CTXS	B	60,000	82.16	n/a	n/a	3,000.00	5.0
NEUBERGER BERMAN	036	CYBX	B	15,902	38.54	n/a	n/a	636.08	4.0
EPOCH INV MGMT	030	DBD	B	1,900	37.63	n/a	23-Mar	57.00	3.0
ROTHSCHILD ASSET	040	DCT	B	64,100	5.93	n/a	n/a	2,564.00	4.0
STATE TEACHERS RET SYS	047	DVN	S	10,000	64.10	n/a	9-May	500.00	5.0
MATRIX ASSET ADV.	091	EMR	B	2,000	48.06	n/a	n/a	80.00	4.0
BRANDWINE	028	FITB	B	5,100	13.96	n/a	n/a	204.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THIRD COAST CAPITAL	035	FL	S	20,000	28.77	n/a	8-May	1,000.00	5.0
EPOCH INV MGMT	030	FORR	B	2,100	34.24	n/a	n/a	63.00	3.0
ARSENAL ASSET MANAGEMENT	028	F	B	50,000	10.67	n/a	2-May	1,500.00	3.0
BRANDWINE	028	GE	B	12,900	18.83	n/a	n/a	516.00	4.0
DELTEC ASSET MGMT.	040	GE	B	20,000	18.89	n/a	n/a	1,000.00	5.0
BRANDWINE	028	GM	B	22,800	22.14	n/a	4-May	912.00	4.0
EPOCH INV MGMT	030	GWR	B	1,100	55.35	n/a	n/a	33.00	3.0
EPOCH INV MGMT	030	HAE	B	900	70.54	n/a	n/a	27.00	3.0
BRANDWINE	028	HIG	B	4,100	19.34	n/a	n/a	164.00	4.0
EPOCH INV MGMT	030	HSC	B	3,100	19.19	n/a	4-May	93.00	3.0
EPOCH INV MGMT	030	HXL	B	2,800	26.39	n/a	24-Apr	84.00	3.0
EPOCH INV MGMT	030	IWM	B	400	78.11	n/a	n/a	12.00	3.0
EPOCH INV MGMT	030	IWN	B	350	69.18	n/a	n/a	10.50	3.0
ARCHON CAPITAL	035	JCP	B	2,500	33.29	n/a	19-Apr	75.00	3.0
EPOCH INV MGMT	030	JOSB	B	1,050	46.44	n/a	n/a	31.50	3.0
MOORE CAPITAL	041	JPM	S	150,000	40.28	n/a	7-May	4,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	KDN	B	1,150	23.20	n/a	n/a	34.50	3.0
NCM CAPITAL MGMT	035	LEAP	S	50,750	5.87	n/a	n/a	2,030.00	4.0
EPOCH INV MGMT	030	LMOS	B	2,750	9.36	n/a	n/a	82.50	3.0
COOPER CREEK PART	028	LPX	SS	20,000	9.34	n/a	7-May	800.00	4.0
BALLAST CAP	040	MET	S	6,000	33.45	n/a	n/a	300.00	5.0
BRANDWINE	028	MT	B	3,300	15.66	n/a	n/a	132.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	27.50	n/a	25-Apr	1,250.00	5.0
KLEINHEINZ CAP PART	031	M	B	50,000	38.06	n/a	4-May	2,500.00	5.0
TROUBH PART	070	M	S	10,000	37.99	n/a	4-May	500.00	5.0
MERRILL ASSET/BLACKROCK	297	NFP	S	30,700	13.87	n/a	n/a	1,228.00	4.0
BRANDWINE	028	NLY	B	7,000	16.48	n/a	n/a	280.00	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	3.18	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	NSR	B	2,700	34.57	n/a	n/a	81.00	3.0
STANDARD PACIFIC CAPITAL	084	OC	B	115,000	32.88	n/a	n/a	5,750.00	5.0
STATE TEACHERS RET SYS	047	OXY	B	10,000	84.64	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	297	PDC	S	18,800	7.91	n/a	n/a	752.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	RECN	B	2,750	12.39	n/a	n/a	82.50	3.0
EPOCH INV MGMT	030	SAH	B	3,250	14.92	n/a	n/a	97.50	3.0
BRANDWINE	028	SCHW	B	8,800	13.04	n/a	n/a	352.00	4.0
THIRD COAST CAPITAL	035	SKS	S	7,000	10.10	n/a	n/a	350.00	5.0
PATTEN & PATTEN	025	SLB	B	100	70.30	n/a	n/a	5.00	5.0
BRANDWINE	028	SPLS	B	5,400	14.85	n/a	n/a	216.00	4.0
PATTEN & PATTEN	025	TEVA	S	300	42.31	n/a	9-May	15.00	5.0
EPOCH INV MGMT	030	TFX	B	1,150	60.95	n/a	n/a	34.50	3.0
COLUMBUS CIRCLE	036	TNGO	B	4,309	21.26	n/a	n/a	172.36	4.0
SENATOR INVESTMENT GROUP	036	UPL	B	150,000	20.62	n/a	9-May	4,500.00	3.0
EPOCH INV MGMT	030	VC	B	800	45.01	n/a	n/a	24.00	3.0
JENNISON	070	VIAB	S	517,476	47.13	n/a	n/a	19,146.61	3.7
EGS ASSOCIATES LP	091	WEN	SS	7,500	4.55	n/a	9-May	375.00	5.0
MOORE CAPITAL	041	WFC	S	100,000	32.51	n/a	7-May	3,000.00	3.0
PRIMECAP MGMT	084	WSH	B	2,000	35.74	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	WWD	B	2,500	38.60	n/a	n/a	75.00	3.0
BALLAST CAP	040	WY	B	50,700	19.88	n/a	4-May	2,535.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	75,000	19.49	n/a	4-May	3,750.00	5.0
MASTERS CAPITAL MANAGE	025	WY	B	100,000	19.82	n/a	4-May	4,000.00	4.0
SENATOR INVESTMENT GROUP	036	XLI	SS	200,000	35.64	n/a	n/a	6,000.00	3.0
VISIUM/BALY BOBBY	044	XLI	SS	30,000	35.93	n/a	n/a	1,500.00	5.0
BRANDWINE	028	ZION	B	13,800	19.54	n/a	n/a	552.00	4.0
TOTAL (Trade Date):							119,417.65		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/08	COLUMBUS CIRCLE (COLC3050)	036	VSI	B	4,503	51.26	n/a	n/a	180.12 4.0
TOTAL (AO, CXL, CRT) :										180.12

TOTAL (Trade Date):	119,417.65
TOTAL (AO, CXL, CRT):	180.12

TOTAL (RUN DATE) / NFS:	119,597.77
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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