



## Daily Compliance Activity Report

Trade Date: 01/24/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
JENNISON	070	ALTR	B	542,929	39.81	n/a	n/a	20,088.41 3.7
T. ROWE PRICE	033	ALXN	B	32,300	74.01	n/a	n/a	1,292.00 4.0
EDGEWOOD	085	AMT	S	10,819	61.90	n/a	n/a	540.95 5.0
BALYASNY ASSET MGMT	044	ANN	C	25,000	23.99	n/a	n/a	1,250.00 5.0
SENATOR INVESTMENT GROUP	036	AOS	S	32,800	41.17	n/a	21-Oct	984.00 3.0
MTB INV ADV	034	AT	S	9,205	14.70	n/a	n/a	460.25 5.0
BALYASNY ASSET MGMT	044	BMS	B	15,000	30.01	n/a	n/a	750.00 5.0
SURVEYOR CAPITAL	251	BMJ	SS	75,000	32.31	n/a	n/a	2,250.00 3.0
MERRILL ASSET/BLACKROCK	297	BOH	S	29,420	46.13	n/a	n/a	1,176.80 4.0
DAVIDSON INV ADV	035	CCL	B	58,580	31.81	n/a	n/a	2,343.20 4.0
WOODWAY FINANCIAL	031	CHK	S	600	22.32	n/a	n/a	36.00 6.0
EDGEWOOD	085	COH	S	11,087	67.65	n/a	23-Jan	554.35 5.0
M&I FUNDS	047	COH	S	5,419	68.83	n/a	23-Jan	216.76 4.0
MTB INV ADV	034	CTB	B	5,175	15.57	n/a	n/a	258.75 5.0
RBC CAPITAL MARKETS	040	FDO	SS	5,000	56.12	n/a	9-Jan	200.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	FINL	B	5,000	20.68	n/a	20-Jan	250.00	5.0
ROARING BLUE LION MGMT	031	FL	S	9,800	26.09	n/a	9-Jan	392.00	4.0
DEVENNY CAP LLC	044	GM	SS	10,000	24.76	n/a	19-Jan	300.00	3.0
RBC CAPITAL MARKETS	040	HAS	SS	5,000	34.19	n/a	n/a	200.00	4.0
EDGEWOOD	085	ILMN	S	16,753	37.48	n/a	n/a	837.65	5.0
BALYASNY ASSET MGMT	044	IP	SS	30,000	32.24	n/a	23-Jan	1,500.00	5.0
MERCHANTS GATE CAP LP	036	IWM	C	28,700	78.47	n/a	n/a	1,148.00	4.0
TOCQUEVILLE	035	KIM	S	58,000	18.31	n/a	n/a	2,900.00	5.0
DEVENNY CAP LLC	044	LKQX	SS	3,900	32.59	n/a	n/a	117.00	3.0
STRONG/MARK GRONET	030	MDRX	B	200,000	18.55	n/a	n/a	8,000.00	4.0
ROYCE TRADING	031	MLI	B	4,770	42.17	n/a	26-Oct	238.50	5.0
ROYCE TRADING	031	MTX	B	6,139	64.22	n/a	n/a	306.95	5.0
DEVENNY CAP LLC	044	NAV	S	5,000	42.83	n/a	10-Jan	150.00	3.0
DAVIDSON INV ADV	035	NKE	S	16,810	101.79	n/a	9-Jan	672.40	4.0
EDGEWOOD	085	ORCL	S	22,568	28.56	n/a	n/a	1,128.40	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Nilsa Vazquez		PBR	??	300	31.2910	n/a	n/a	0.00	0.0
COLUMBUS CAP MGMT LLC	084	PG	SS	21,000	64.36	n/a	24-Jan	1,050.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	27,512	28.00	n/a	24-Jan	1,375.60	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	35,188	27.65	n/a	24-Jan	1,759.40	5.0
THE JAY GOLDMAN	028	PLCE	B	50,000	50.88	n/a	18-Jan	2,000.00	4.0
BNP PARIBAS SEC	040	PVH	S	15,000	77.93	n/a	23-Jan	750.00	5.0
EDGEWOOD	085	PWR	S	26,847	20.80	n/a	n/a	1,342.35	5.0
LISTED ERR	099	PWR	B	360	20.80	n/a	n/a	0.00	0.0
EDGEWOOD	085	QCOM	S	18,837	58.20	n/a	n/a	941.85	5.0
DEVENNY CAP LLC	044	RKT	S	8,500	66.64	n/a	23-Jan	255.00	3.0
CSFB GLOBAL PROPRIETARY	041	RYN	S	15,000	46.12	n/a	23-Jan	750.00	5.0
NEWLAND CAPITAL MGT	025	SEE	S	25,000	19.91	n/a	2-Jun	1,000.00	4.0
ROARING BLUE LION MGMT	031	SSI	S	12,300	15.36	n/a	n/a	492.00	4.0
FARALLON CAP MGMT	040	TPX	SS	400	61.28	n/a	n/a	16.00	4.0
NICOLAS APPLGATE	084	TXT	S	21,200	21.66	n/a	n/a	424.00	2.0
EDGEWOOD	085	VIAB	B	17,000	47.67	n/a	n/a	850.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	VOD	B	15,000	27.49	n/a	n/a	750.00	5.0
ROYCE TRADING	031	VSH	S	20,000	12.04	n/a	n/a	1,000.00	5.0
M&I FUNDS	047	WHR	S	8,899	54.12	n/a	n/a	355.96	4.0
YORK CAPITAL	036	WMB	S	100,000	29.02	n/a	n/a	3,000.00	3.0
BNP PARIBAS SEC	040	WRC	S	20,280	55.41	n/a	23-Jan	1,014.00	5.0
SONTERRA CAP	041	WSM	B	19,404	34.68	n/a	n/a	776.16	4.0
MILLENIU SUB A/C NEW VERNON	085	Z	S	10,000	27.55	n/a	n/a	400.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>70,844.69</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									70,844.69
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									70,844.69

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