



Daily Compliance Activity Report

Trade Date: 03/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	041	ANF	S	14,000	51.50	n/a	16-Feb	420.00	3.0
HIGHBRIDGE CAP	041	AUY	B	32,000	16.10	n/a	n/a	960.00	3.0
DAVIDSON INV ADV	035	BWLD	S	8,700	94.04	n/a	n/a	348.00	4.0
DC CAPITAL	044	CFX	S	30,000	34.32	n/a	n/a	1,200.00	4.0
M&I FUNDS	047	CHK	S	25,411	24.28	n/a	n/a	858.33	17.9
MTB INV ADV	034	CHSI	B	20,600	63.85	n/a	n/a	669.50	3.3
RIVERPARK CAPITAL	025	COG	B	11,200	32.09	n/a	23-Mar	560.00	5.0
MERRILL ASSET/BLACKROCK	297	CSE	S	21,500	6.82	n/a	n/a	860.00	4.0
KLEINHEINZ CAP PART	031	DDS	B	46,300	63.51	n/a	n/a	2,315.00	5.0
1798 CAP/LOMBARD ASSET	040	DE	C	9,000	82.66	n/a	23-Feb	450.00	5.0
PATTEN & PATTEN	025	DIS	S	100	44.16	n/a	n/a	5.00	5.0
SUFFOLK CAPITAL MGMT	040	FINL	S	3,400	25.75	n/a	16-Feb	136.00	4.0
STANDARD PACIFIC CAPITAL	084	FIO	SS	175,000	29.48	n/a	n/a	8,750.00	5.0
MTB INV ADV	034	FTK	S	10,100	12.82	n/a	n/a	328.25	3.3

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON INV ADV	035	F	B	64,935	12.45	n/a	12-Mar	2,597.40	4.0
PATTEN & PATTEN	025	GLW	S	300	14.15	n/a	12-Mar	15.00	5.0
KINGDON ASSET MGMT	041	HD	S	25,000	49.93	n/a	21-Feb	1,000.00	4.0
HIGHBRIDGE CAP	041	HFC	S	15,000	34.29	n/a	n/a	450.00	3.0
ROTHSCHILD ASSET	040	HL	S	12,840	4.68	n/a	n/a	513.60	4.0
MERRILL ASSET/BLACKROCK	297	IACI	S	2,600	50.75	n/a	n/a	104.00	4.0
CATAPULT	040	JPM	S	10,000	45.89	n/a	26-Mar	400.00	4.0
MERRILL ASSET/BLACKROCK	297	JPM	B	37,470	45.97	n/a	26-Mar	1,498.80	4.0
VERITION	028	KORS	B	12,500	47.24	n/a	n/a	375.00	3.0
KINGDON ASSET MGMT	041	LOW	S	57,500	31.09	n/a	28-Feb	2,300.00	4.0
COLUMBUS CIRCLE	036	LSI	B	14,292	8.92	n/a	n/a	571.68	4.0
CYRUS CAPITAL	025	MWV	B	35,000	31.21	n/a	21-Mar	1,050.00	3.0
SIMMONS VENTURES	041	M	B	5,000	40.21	n/a	2-Mar	200.00	4.0
MERRILL ASSET/BLACKROCK	297	NBR	B	65,370	18.87	n/a	n/a	2,614.80	4.0
PATTEN & PATTEN	025	PEP	S	100	65.70	n/a	n/a	5.00	5.0
ACK ASSET	028	PNK	S	155,915	10.43	n/a	n/a	4,677.45	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	XOP	B	9,000	59.17	n/a	n/a	270.00	3.0
TOTAL (Trade Date):								36,502.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	03/26	RIVERPARK CAPITAL (RIVPBBHLGF)	025	COG	B	1,400	32.09	n/a 23-Mar	70.00 5.0
TOTAL (AO, CXL, CRT) :									70.00

TOTAL (Trade Date):	36,502.81
TOTAL (AO, CXL, CRT):	70.00

TOTAL (RUN DATE) / NFS:	36,572.81
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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