



Daily Compliance Activity Report

Trade Date: 05/02/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	S	192,088	20.00	n/a	2-Dec	5,762.64	3.0
BRONSON POINT	036	AGCO	C	50,000	48.80	n/a	2-May	1,500.00	3.0
PRIMECAP MGMT	084	AMGN	S	6,000	71.16	n/a	n/a	240.00	4.0
THE JAY GOLDMAN	028	ANF	B	50,000	53.30	n/a	30-Apr	2,000.00	4.0
CAERUS GLOBAL	041	ARO	S	31,306	22.31	n/a	n/a	1,252.24	4.0
INVESCO	031	AVP	B	208,052	19.93	n/a	2-May	8,322.08	4.0
CRAMER ROSENTHAL	070	AXP	S	86,150	60.57	n/a	26-Apr	3,446.00	4.0
MILLENNIUM/KEYH-CATA	040	BTU	B	14,000	30.39	n/a	n/a	560.00	4.0
HOTCHKIS & WILEY	035	CAR	B	210,400	16.26	n/a	n/a	10,520.00	5.0
DELTEC ASSET MGMT.	040	CAT	B	2,217	101.15	n/a	26-Apr	110.85	5.0
NEUBERGER BERMAN	036	CYBX	B	11,500	37.91	n/a	n/a	460.00	4.0
HALCYON LLC	041	CYH	B	10,000	25.21	n/a	n/a	300.00	3.0
YORK CAPITAL	036	DELL	S	500,000	16.22	n/a	n/a	15,000.00	3.0
DELTEC ASSET MGMT.	040	DG	B	6,826	48.11	n/a	23-Mar	341.30	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	FDO	B	88,100	68.43	n/a	3-Apr	3,524.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	FDO	B	19,390	68.58	n/a	3-Apr	570.71	2.9
CRAMER ROSENTHAL	070	FL	S	100,400	31.26	n/a	7-Mar	4,016.00	4.0
ROSEDALE CAPITAL	046	GFI	B	15,000	12.77	n/a	n/a	600.00	4.0
IVORY CAPITAL	034	GLW	S	80,000	14.41	n/a	1-May	4,000.00	5.0
FIRST NY SEC/CHRIS	041	GM	SS	10,000	23.10	n/a	2-May	500.00	5.0
COUGAR TRADING	044	HSC	B	5,000	20.97	n/a	2-May	250.00	5.0
COUGAR TRADING	044	HSC	S	5,000	21.33	n/a	2-May	250.00	5.0
LONG OAR GLOBAL INV	040	HTZ	B	23,497	16.24	n/a	n/a	939.88	4.0
VERITION	028	HTZ	S	15,000	16.07	n/a	n/a	450.00	3.0
GRANAHAN INV	029	KEG	S	150,000	13.10	n/a	1-May	6,000.00	4.0
BASSWOOD PARTNERS	267	KEY	B	194,381	8.08	n/a	n/a	7,775.24	4.0
MARCATO CAPITAL MGMT.	029	LEA	B	40,000	40.84	n/a	2-May	1,200.00	3.0
PRIMECAP MGMT	084	LLY	S	5,000	41.42	n/a	n/a	200.00	4.0
KACELA CAPITAL	034	MDC	B	65,000	29.34	n/a	n/a	2,600.00	4.0
HALCYON LLC	041	MET	B	5,000	35.52	n/a	n/a	150.00	3.0
BNP PARIBAS SEC	040	M	S	50,000	41.33	n/a	30-Apr	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	NRG	S	17,000	16.80	n/a	n/a	510.00	3.0
ROTHSCHILD ASSET	040	NWE	B	23,117	35.16	n/a	n/a	924.68	4.0
WATERFRONT CAP	028	PHG	SS	101,500	18.70	n/a	n/a	4,060.00	4.0
ADAGE CAPITAL MGMT	030	PH	SS	65,000	87.88	n/a	25-Apr	1,950.00	3.0
COLUMBUS CIRCLE	036	PLXS	B	179	31.43	n/a	n/a	7.16	4.0
ROTHSCHILD ASSET	040	RBN	B	1,400	48.97	n/a	n/a	56.00	4.0
MOORE CAPITAL	041	RSH	SS	40,000	5.01	n/a	n/a	1,200.00	3.0
INVESCO	031	SPLS	B	125,514	15.27	n/a	n/a	5,020.56	4.0
ELM RIDGE ADVISORS	044	TWI	C	74,696	28.50	n/a	n/a	2,987.84	4.0
M&I FUNDS	047	UNT	B	28,297	40.90	n/a	1-May	1,131.88	4.0
FARALLON CAP MGMT	040	V	B	120,000	122.58	n/a	2-May	4,800.00	4.0
HALCYON LLC	041	WCRX	S	81,800	21.78	n/a	30-Apr	2,454.00	3.0
PRIMECAP MGMT	084	WSH	B	200	36.00	n/a	n/a	8.00	4.0
TUDOR INVESTORS	028	ZUMZ	B	13,800	37.14	n/a	n/a	414.00	3.0

TOTAL (Trade Date):

110,865.06

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/02	VERITION (VERTBAMLAC)	028	HTZ	S	15,000	16.07	n/a	n/a	450.00 3.0

TOTAL (AO, CXL, CRT) :	450.00
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TOTAL (Trade Date) :	110,865.06
TOTAL (AO, CXL, CRT) :	450.00

TOTAL (RUN DATE) / NFS:	111,315.06
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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