



## Daily Compliance Activity Report

Trade Date: 03/21/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	CAT	SS	15,000	109.25	n/a	27-Jan	600.00	4.0
SCOPUS FUND	041	COST	B	125,000	90.72	n/a	n/a	5,000.00	4.0
COHE & STEERS	041	DDR	S	209,587	14.98	n/a	n/a	6,287.61	3.0
TUDOR INVESTORS	028	DOW	SS	5,000	34.97	n/a	21-Mar	150.00	3.0
CAPITAL RESEARCH GROUP	084	FTI	B	144,000	49.65		n/a	n/a	5,040.00 3.5
MERRILL ASSET/BLACKROCK	297	FX	S	8,300	14.88	n/a	n/a	332.00	4.0
KINGDON ASSET MGMT	041	GPS	B	20,000	26.24	n/a	n/a	800.00	4.0
KINGDON ASSET MGMT	041	HD	S	40,000	49.57	n/a	21-Feb	1,600.00	4.0
ROTHSCHILD ASSET	040	HLX	B	17,071	18.17	n/a	n/a	682.84	4.0
MOORE CAPITAL	041	ITB	S	26,500	15.01	n/a	n/a	795.00	3.0
NUVEEN - US BANCORP	030	KBR	B	23,771	37.12		n/a	n/a	1,069.70 4.5
MTB INV ADV	034	KEX	B	3,125	67.64	n/a	n/a	101.56	3.3
NUVEEN - US BANCORP	030	LYB	B	10,094	43.25		n/a	n/a	454.24 4.5
COLUMBUS CIRCLE	036	MCD	S	7,300	97.12	n/a	8-Mar	292.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	MDR	S	5,000	12.89	n/a	n/a	200.00	4.0
ARSENAL ASSET MANAGEMENT	028	MWV	B	5,000	31.05	n/a	21-Mar	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	30.69	n/a	21-Mar	1,250.00	5.0
DAVIDSON INV ADV	035	NKE	S	23,524	111.38	n/a	13-Mar	940.96	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.33	n/a	n/a	800.00	4.0
KACELA CAPITAL	034	ORCL	S	60,000	29.83	n/a	n/a	2,400.00	4.0
ROTHSCHILD ASSET	040	PFCB	B	13,373	40.68	n/a	16-Feb	534.92	4.0
KINGDON ASSET MGMT	041	PG	SS	20,000	67.10	n/a	20-Mar	800.00	4.0
NUVEEN - US BANCORP		030	POT	B	4,328	46.74	n/a	n/a	194.77 4.5
SCOUT/UMB	047	PXD	S	26,554	104.29	n/a	1-Mar	796.62	3.0
PLATTE RIVER CAPITAL	240	SWN	B	39,290	33.51	n/a	1-Mar	1,571.60	4.0
MTB INV ADV	034	TEN	S	15,425	38.75	n/a	n/a	501.31	3.3
MTB INV ADV	034	TRW	S	37,050	46.50	n/a	n/a	1,204.13	3.3
RIDGECREST INV MGMT LLC	028	WRC	SS	5,000	57.95	n/a	29-Feb	250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>34,849.26</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/19	CRAMER ROSENTHAL (CRSB3461)	070	GIS	S	2,300	38.64	n/a	n/a	92.00 4.0
AO,CXL	03/19	CRAMER ROSENTHAL (CRSB3461)	070	GIS	S	20,700	38.64	n/a	n/a	828.00 4.0
AO,	03/19	CRAMER ROSENTHAL (CRSB3461)	070	GIS	S	20,700	38.64	n/a	n/a	828.00 4.0
AO,CRT	03/19	CRAMER ROSENTHAL (CRSB860000)	070	GIS	S	2,300	38.64	n/a	n/a	92.00 4.0

**TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (Trade Date) :

34,849.26

TOTAL (AO, CXL, CRT) :

0.00

**TOTAL (RUN DATE) / NFS:****34,849.26**

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