



Daily Compliance Activity Report

Trade Date: 02/08/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	APA	B	30,000	105.00	n/a	23-Jan	900.00	3.0
BALYASNY ASSET MGMT	044	ARCO	C	24,200	21.00	n/a	6-Feb	1,210.00	5.0
EPOCH INV MGMT	030	ARCO	B	4,155	20.48	n/a	6-Feb	124.65	3.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	2,500	20.60	n/a	6-Feb	0.00	0.0
ETON PARK CAPITAL	041	BAC	SS	1,000,000	8.07	n/a	6-Feb	40,000.00	4.0
Õ Nilsa Vazquez		BZH	S	4000	3.8810	n/a	n/a	0.00	0.0
PARKWEST	084	CAP	S	13,300	19.10	n/a	n/a	532.00	4.0
CATAPULT CAP/DEFRANCO	040	CMP	B	31,658	75.73	n/a	n/a	1,266.32	4.0
PRIMECAP MGMT	084	CSCO	S	70,700	20.31	n/a	n/a	2,828.00	4.0
CATAPULT	040	CVI	S	25,000	27.15	n/a	n/a	1,000.00	4.0
FARALLON CAP MGMT	040	FIS	S	29,800	28.92	n/a	n/a	1,192.00	4.0
ROYCE TRADING	031	GB	S	1,500	24.74	n/a	n/a	75.00	5.0
TUDOR INVESTORS	028	GMT	SS	5,000	43.23	n/a	n/a	150.00	3.0
DEVENNY CAP LLC	044	GM	SS	15,900	25.79	n/a	2-Feb	477.00	3.0
OZ MGMT	040	GM	SS	50,000	26.08	n/a	2-Feb	1,500.00	3.0
PHILADELPHIA FINANCIAL	033	GM	SS	25,000	26.30	n/a	2-Feb	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	GM	SS	15,000	26.23	n/a	2-Feb	750.00	5.0
PARKWEST	084	GNTX	B	25,000	26.23	n/a	1-Feb	1,000.00	4.0
ROYCE TRADING	031	GY	B	15,000	5.54	n/a	n/a	750.00	5.0
ROYCE TRADING	031	HAR	S	2,000	46.38	n/a	3-Feb	100.00	5.0
RBC CAPITAL MARKETS	040	HD	S	10,000	45.34	n/a	8-Feb	400.00	4.0
ROYCE TRADING	031	HXL	S	4,500	26.36	n/a	30-Jan	225.00	5.0
ROYCE TRADING	031	IN	S	5,000	7.98	n/a	n/a	250.00	5.0
ROYCE TRADING	031	IRF	B	5,000	22.19	n/a	n/a	250.00	5.0
DSG CAPITAL	030	JCI	B	10,000	32.52	n/a	19-Jan	300.00	3.0
ROYCE TRADING	031	KAMN	S	1,000	33.11	n/a	n/a	50.00	5.0
ROYCE TRADING	031	KEM	S	5,000	9.81	n/a	n/a	250.00	5.0
ROYCE TRADING	031	KMPR	B	5,000	28.87	n/a	n/a	250.00	5.0
ROYCE TRADING	031	KWR	S	1,800	46.38	n/a	n/a	90.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	26.58	n/a	6-Feb	500.00	5.0
DAVIDSON INV ADV	035	LL	S	3,200	22.32	n/a	n/a	128.00	4.0
SANDLER O'NEILL ASSET	031	MS	S	50,000	20.25	n/a	6-Feb	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	MTW	S	10,000	16.11	n/a	2-Feb	500.00	5.0
ROYCE TRADING	031	MTX	B	6,101	67.81	n/a	n/a	305.05	5.0
SASCO	033	NBR	B	396,255	19.55	n/a	n/a	13,868.93	3.5
JENNISON	070	NTAP	B	314,148	39.71	n/a	n/a	11,623.46	3.7
ROYCE TRADING	031	PKE	S	1,000	30.55	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	RDC	B	18,350	36.97	n/a	n/a	917.50	5.0
LISTED ERR	099	RRGB	SS	1,500	33.28	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SPG	B	4,500	136.94	n/a	n/a	180.00	4.0
TUDOR INVESTORS	028	SPW	B	3,000	72.31	n/a	n/a	90.00	3.0
NOKOMIS PARTNERS	031	STX	S	30,000	26.79	n/a	n/a	900.00	3.0
BNP PARIBAS SEC	040	TGT	SS	50,000	52.32	n/a	8-Feb	2,500.00	5.0
DAVIDSON INV ADV	035	TRLG	B	22,015	36.96	n/a	n/a	880.60	4.0
IRIDIAN ASSET MGMT.	036	TYC	B	20,680	50.19	n/a	2-Feb	1,034.00	5.0
BRONSON POINT	036	UTX	C	25,000	81.63	n/a	n/a	750.00	3.0
MERRILL ASSET/BLACKROCK	297	WBS	B	29,400	22.99	n/a	n/a	1,176.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	WMT	B	25,130	61.49	n/a	8-Feb	879.57	3.5
KLEINHEINZ CAP PART	031	YUM	B	50,000	65.44	n/a	8-Feb	2,500.00	5.0
SIMMONS VENTURES	041	ZUMZ	SS	5,000	29.25	n/a	n/a	200.00	4.0
TOTAL (Trade Date):								98,403.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/07	SCOUT/UMB (SUMBMAIN)	047	GIL	S	800	21.32	n/a	23-Jan	24.00 3.0
AO,CXL	02/07	SCOUT/UMB (SUMBM&INV)	047	GIL	S	800	21.32	n/a	23-Jan	24.00 3.0
AO,CXL	02/07	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	JCP	B	20,000	42.10	n/a	27-Jan	1000.00 5.0
AO,CXL	02/07	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	JCP	B	50,000	41.51	n/a	27-Jan	2500.00 5.0
AO,CRT	02/07	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	JCP	B	70,000	41.68	n/a	27-Jan	3500.00 5.0
AO,CXL	02/07	DAVIDSON INV ADV (DADAWAYNE)	035	LL	S	34,010	22.57	n/a	n/a	1360.40 4.0
AO,CRT	02/07	DAVIDSON INV ADV (DADAWAYNE)	035	LL	S	1,690	22.57	n/a	n/a	67.60 4.0
AO,CXL	02/07	DAVIDSON INV ADV (DADAMAIN)	035	LL	S	1,690	22.57	n/a	n/a	67.60 4.0
AO,CRT	02/07	DAVIDSON INV ADV (DADAMAIN)	035	LL	S	34,010	22.57	n/a	n/a	1360.40 4.0
AO,	02/07	ROYCE TRADING (ROYC189)	031	MTX	B	1,000	67.68	n/a	n/a	50.00 5.0
AO,	02/07	ROYCE TRADING (ROYC89)	031	MTX	B	2,500	67.68	n/a	n/a	125.00 5.0
AO,	02/07	ROYCE TRADING (ROYC67)	031	MTX	B	8,881	67.71	n/a	n/a	444.05 5.0
AO,	02/07	ROYCE TRADING (ROYC4)	031	MTX	B	4,500	67.68	n/a	n/a	225.00 5.0

TOTAL (AO, CXL, CRT) :**844.05**

TOTAL (Trade Date):

98,403.08

TOTAL (AO, CXL, CRT):

844.05

TOTAL (RUN DATE) / NFS:**99,247.13**

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