



Daily Compliance Activity Report

Trade Date: 04/25/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLRACE FUND LP	028	ABG	B	4,624	27.23	n/a	18-Apr	184.96	4.0
WINSLOW CAPITAL	030	ADSK	S	1,900	39.06	n/a	n/a	76.00	4.0
BASSWOOD PARTNERS	267	AIT	C	23,000	39.63	n/a	n/a	920.00	4.0
WINSLOW CAPITAL	030	AMTD	S	3,400	18.53	n/a	n/a	136.00	4.0
WINSLOW CAPITAL	030	AMZN	S	600	193.71	n/a	n/a	24.00	4.0
CHARTER OAK	033	ATI	B	25,000	41.85	n/a	13-Apr	1,250.00	5.0
LONG OAR GLOBAL INV	040	ATI	B	57,706	42.44	n/a	13-Apr	2,308.24	4.0
PERRY PARTNERS	085	AVP	S	100,000	21.82	n/a	25-Apr	5,000.00	5.0
MUTUAL OF AMERICA CAPITAL	029	AXL	B	20,400	10.52	n/a	18-Apr	816.00	4.0
LEVIN CAPITAL STRATEGIES	041	A	SS	10,000	41.14	n/a	n/a	300.00	3.0
MILLENNIUM-ICS-SAYAN GHOSH	028	BHP	B	68,600	73.24	n/a	n/a	2,744.00	4.0
WINSLOW CAPITAL	030	BIIB	S	900	130.17	n/a	n/a	36.00	4.0
WINSLOW CAPITAL	030	CELG	S	1,300	78.13	n/a	n/a	52.00	4.0
HIGHBRIDGE CAP	041	CE	S	10,000	47.52	n/a	20-May	300.00	3.0
HIGHBRIDGE CAP	041	CHRW	SS	4,000	60.93	n/a	n/a	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ICS-SAYAN GHOSH	028	CLF	S	22,400	66.09	n/a	n/a	896.00	4.0
TUDOR INVESTORS	028	CMI	SS	2,000	115.25	n/a	18-Apr	60.00	3.0
SCOPUS FUND	041	COH	B	10,000	71.95	n/a	25-Apr	400.00	4.0
WINSLOW CAPITAL	030	COST	S	1,000	87.21	n/a	n/a	40.00	4.0
PRIMECAP MGMT	084	CPHD	S	5,800	37.21	n/a	n/a	232.00	4.0
MERRILL ASSET/BLACKROCK	297	CRZO	B	12,600	26.63	n/a	n/a	504.00	4.0
NEWLAND CAPITAL MGT	025	CSX	B	20,000	22.12	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	CTSH	S	2,800	72.05	n/a	n/a	112.00	4.0
HIGHBRIDGE CAP	041	CX	B	109,000	6.93	n/a	n/a	2,180.00	2.0
HIGHBRIDGE CAP	041	DAL	S	49,000	10.36	n/a	n/a	1,470.00	3.0
IMPALA ASSET MMT	040	DAL	B	220,000	10.47	n/a	n/a	6,600.00	3.0
SENATOR INVESTMENT GROUP	036	DAL	B	27,385	10.32	n/a	n/a	821.55	3.0
LEVIN CAPITAL STRATEGIES	041	DHR	C	33,500	53.44	n/a	n/a	1,005.00	3.0
MILLRACE FUND LP	028	DIOD	B	7,400	21.63	n/a	n/a	296.00	4.0
WINSLOW CAPITAL	030	EBAY	S	100	39.77	n/a	n/a	4.00	4.0
NEWLAND CAPITAL MGT	025	EMR	B	35,000	51.40	n/a	n/a	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JANA CAPITAL	044	EP	S	64,089	29.19	n/a	n/a	2,563.56	4.0
T. ROWE PRICE	033	ESIO	B	2,657	14.10	n/a	n/a	106.28	4.0
WINSLOW CAPITAL	030	ESRX	S	2,400	57.26	n/a	n/a	96.00	4.0
ROSEDALE CAPITAL	046	FITB	B	25,000	14.17	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	FOSL	S	500	127.97	n/a	n/a	20.00	4.0
LEVIN CAPITAL STRATEGIES	041	F	C	15,000	11.49	n/a	18-Apr	450.00	3.0
OZ MGMT	040	F	C	96,373	11.65	n/a	18-Apr	2,891.19	3.0
MERRILL ASSET/BLACKROCK	297	GDP	B	13,000	16.31	n/a	n/a	520.00	4.0
WINSLOW CAPITAL	030	GOOG	S	300	607.47	n/a	n/a	12.00	4.0
HIGHBRIDGE CAP	041	GT	B	22,000	11.43	n/a	n/a	660.00	3.0
LEVIN CAPITAL STRATEGIES	041	HON	C	10,000	60.32	n/a	5-Apr	300.00	3.0
WAGONHOUND/NICOLAS	033	HSC	S	47,745	22.17	n/a	11-Apr	1,909.80	4.0
WINSLOW CAPITAL	030	INTU	S	1,300	57.39	n/a	n/a	52.00	4.0
WINSLOW CAPITAL	030	ISRG	S	200	575.77	n/a	n/a	8.00	4.0
BASSWOOD PARTNERS	267	JCI	B	10,900	31.54	n/a	23-Apr	436.00	4.0
CENTURION PARTNERS	041	JNY	B	10,000	11.22	n/a	19-Apr	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	KORS	S	800	41.08	n/a	n/a	32.00	4.0
PRIMECAP MGMT	084	LIFE	B	5,000	45.35	n/a	n/a	200.00	4.0
PRIMECAP MGMT	084	LLY	S	3,000	40.46	n/a	n/a	120.00	4.0
NEWLAND CAPITAL MGT	025	LMT	B	25,000	90.92	n/a	13-Apr	1,000.00	4.0
WINSLOW CAPITAL	030	LNKD	S	600	100.86	n/a	n/a	24.00	4.0
FARALLON CAP MGMT	040	MA	B	15,000	443.06	n/a	2-Apr	600.00	4.0
NORTHWESTERN MUTUAL LIFE	047	MSFT	B	178,100	32.22	n/a	n/a	7,124.00	4.0
WINSLOW CAPITAL	030	MSFT	S	3,600	32.20	n/a	n/a	144.00	4.0
HIGHBRIDGE CAP	041	MTW	S	18,000	14.40	n/a	18-Apr	540.00	3.0
HIGHBRIDGE CAP	041	NOV	SS	7,000	75.64	n/a	n/a	210.00	3.0
WINSLOW CAPITAL	030	NTAP	S	2,200	38.87	n/a	n/a	88.00	4.0
PRIMECAP MGMT	084	NVS	S	2,000	54.57	n/a	n/a	80.00	4.0
SENATOR INVESTMENT GROUP	036	OC	B	85,000	33.38	n/a	n/a	2,550.00	3.0
HIGHBRIDGE CAP	041	OII	B	10,000	51.41	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	ORCL	S	5,400	28.62	n/a	n/a	216.00	4.0
WINSLOW CAPITAL	030	ORLY	S	100	95.65	n/a	n/a	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	PAG	B	7,800	26.38	n/a	18-Apr	234.00	3.0
WINSLOW CAPITAL	030	PCLN	S	200	708.26	n/a	n/a	8.00	4.0
OZ MGMT	040	PFCB	S	28,331	39.99	n/a	13-Apr	849.93	3.0
RBC CAPITAL MARKETS	040	PIR	SS	10,000	17.30	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	PRGO	S	700	104.73	n/a	24-Apr	28.00	4.0
WINSLOW CAPITAL	030	QCOM	S	4,400	62.91	n/a	n/a	176.00	4.0
PRIMECAP MGMT	084	QGEN	B	24,000	16.38	n/a	n/a	960.00	4.0
TUDOR INVESTORS	028	RKT	S	6,000	62.45	n/a	16-Apr	180.00	3.0
GALT INVESTMENT	041	SAH	S	25,000	17.01	n/a	n/a	1,250.00	5.0
VERITION	028	SBUX	B	5,000	58.69	n/a	23-Apr	150.00	3.0
WINSLOW CAPITAL	030	SBUX	S	2,300	59.22	n/a	23-Apr	92.00	4.0
WINSLOW CAPITAL	030	SHPGY	S	900	97.43	n/a	24-Apr	36.00	4.0
HIGHBRIDGE CAP	041	SPN	B	12,000	25.44	n/a	n/a	360.00	3.0
COLUMBUS CIRCLE	036	SSYS	B	9,800	51.05	n/a	n/a	365.36	3.0
MUTUAL OF AMERICA CAPITAL	029	STWD	B	15,000	20.46	n/a	n/a	600.00	4.0
MERRILL ASSET/BLACKROCK	297	SWM	B	3,500	67.79	n/a	n/a	140.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	TEX	B	25,000	24.02	n/a	18-Apr	1,000.00	4.0
LONG OAR GLOBAL INV	040	TS	B	37,500	36.96	n/a	n/a	1,500.00	4.0
DELTEC ASSET MGMT.	040	TUP	S	8,000	63.94	n/a	n/a	400.00	5.0
WINSLOW CAPITAL	030	ULTA	S	400	89.37	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	VRSN	S	1,300	41.66	n/a	n/a	52.00	4.0
BASSWOOD PARTNERS	267	WHR	B	4,200	68.87	n/a	n/a	168.00	4.0
NEWLAND CAPITAL MGT	025	WLL	S	5,000	55.01	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	297	WPP	S	21,000	8.94	n/a	n/a	840.00	4.0
CYPRESS CAP MGMT LLC	040	WSM	S	11,500	38.10	n/a	n/a	460.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	20.54	n/a	16-Apr	2,500.00	5.0
HIGHBRIDGE CAP	041	XOP	SS	10,000	54.55	n/a	n/a	200.00	2.0
TOTAL (Trade Date) :								68,909.87	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/25	HIGHBRIDGE CAP (HIBCCSFB)	041	CX	B	109,000	6.93	n/a	n/a	2180.00 2.0
AO,	04/24	OZ MGMT (OZFFJPMBS)	040	GM	SS	5,058	23.07	n/a	18-Apr	252.90 5.0
AO,	04/24	OZ MGMT (OZFFCSFB)	040	GM	SS	1,270	23.07	n/a	18-Apr	63.50 5.0
AO,	04/24	OZ MGMT (OZFFMS)	040	GM	SS	1,239	23.07	n/a	18-Apr	61.95 5.0
AO,	04/24	OZ MGMT (OZFFGS)	040	GM	SS	48,460	23.07	n/a	18-Apr	2423.00 5.0
CRT	04/25	HIGHBRIDGE CAP (HIBCCSFB)	041	XOP	SS	10,000	54.55	n/a	n/a	200.00 2.0

TOTAL (AO, CXL, CRT) :**5,181.35**

TOTAL (Trade Date) :

68,909.87

TOTAL (AO, CXL, CRT) :

5,181.35

TOTAL (RUN DATE) / NFS:**74,091.22**

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