



## Daily Compliance Activity Report

Trade Date: 02/03/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAWW	S	5,000	50.26	n/a	n/a	150.00	3.0
NOMURA CAPITAL	029	ACW	S	7,000	7.82	n/a	n/a	210.00	3.0
KAYNE ANDERSON ADV	084	ANSS	B	10,000	63.95	n/a	n/a	400.00	4.0
ROARING BLUE LION MGMT	031	AN	B	25,200	37.09	n/a	27-Jan	1,008.00	4.0
KAYNE ANDERSON ADV	084	CCMP	B	8,300	52.63	n/a	n/a	332.00	4.0
ROARING BLUE LION MGMT	031	CROX	S	15,200	20.37	n/a	n/a	608.00	4.0
OHIO PERS	047	CTCT	S	88,053	29.22	n/a	n/a	2,641.59	3.0
BNP PARIBAS SEC	040	DLTR	B	10,000	85.61	n/a	27-Jan	500.00	5.0
TALPION LLC	040	EL	S	10,000	54.79	n/a	3-Feb	400.00	4.0
ROYCE TRADING	031	EXAR	B	30,000	6.89	n/a	n/a	1,500.00	5.0
BALLAST CAP	040	EXP	SS	12,600	31.95	n/a	n/a	630.00	5.0
CAERUS GLOBAL	041	FDO	B	4,044	57.67	n/a	9-Jan	161.76	4.0
SMITH MGMT LLC	029	FINL	B	150,000	22.15	n/a	20-Jan	4,500.00	3.0
FARALLON CAP MGMT	040	FIS	S	25,000	29.23	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	GM	C	50,000	25.98	n/a	2-Feb	2,500.00	5.0
HOPLITE MGMT	025	GM	B	79,023	25.83	n/a	2-Feb	3,160.92	4.0
OZ MGMT	040	GM	C	28,920	25.22	n/a	2-Feb	867.60	3.0
PHILADELPHIA FINANCIAL	033	GM	SS	48,825	25.74	n/a	2-Feb	1,953.00	4.0
MASTERS CAPITAL MANAGE	025	GNW	S	50,000	9.23	n/a	n/a	2,000.00	4.0
ROYCE TRADING	031	HXL	S	500	26.39	n/a	30-Jan	25.00	5.0
THE JAY GOLDMAN	028	JCP	B	30,000	41.61	n/a	27-Jan	1,200.00	4.0
SANDLER CAPITAL	028	JOSB	B	180,000	49.05	n/a	n/a	7,200.00	4.0
DENVER INST. ADV	046	JWN	S	253,337	50.17	n/a	3-Feb	10,133.48	4.0
ROYCE TRADING	031	KAMN	S	1,000	33.42	n/a	n/a	50.00	5.0
THE JAY GOLDMAN	028	KSS	S	30,000	48.34	n/a	3-Feb	1,200.00	4.0
ROYCE TRADING	031	KWR	S	300	47.41	n/a	n/a	15.00	5.0
ROYCE TRADING	031	LAD	B	200	23.93	n/a	n/a	10.00	5.0
ROYCE TRADING	031	LHO	S	2,000	27.84	n/a	n/a	100.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	9.13	n/a	23-Jan	5,000.00	5.0
SCOPUS FUND	041	LPX	B	42,500	9.21	n/a	23-Jan	1,700.00	4.0
MACQUARIE INVESTMENT MGMT.	040	MGM	S	5,000	14.33	n/a	13-Jun	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Nilsa Vazquez		MOS	S	300	56.9480	n/a	n/a	0.00	0.0
KAM ADVISORS LLC	041	MRO	B	61,700	32.19	n/a	n/a	1,851.00	3.0
ROYCE TRADING	031	MTH	B	7,000	27.38	n/a	n/a	350.00	5.0
ROYCE TRADING	031	MTX	B	4,800	68.78	n/a	n/a	240.00	5.0
SCOPUS FUND	041	M	B	25,000	36.33	n/a	3-Feb	1,000.00	4.0
ROYCE TRADING	031	NANO	S	1,000	20.80	n/a	n/a	50.00	5.0
ROYCE TRADING	031	OMG	S	2,000	29.84	n/a	n/a	100.00	5.0
OSKIE CAPITAL MGMT	224	ONE	SS	30,000	17.50	n/a	n/a	1,500.00	5.0
ROYCE TRADING	031	ORCC	B	2,000	2.85	n/a	n/a	60.00	3.0
CAERUS GLOBAL	041	PEP	B	9,091	66.70	n/a	n/a	363.64	4.0
BNP PARIBAS SEC	040	PLCE	SS	7,500	50.66	n/a	18-Jan	375.00	5.0
KAYNE ANDERSON ADV	084	ROL	B	20,100	22.37	n/a	n/a	804.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ROST	S	25,400	51.71	n/a	3-Feb	1,016.00	4.0
ROYCE TRADING	031	RRGB	S	500	32.66	n/a	n/a	25.00	5.0
ROYCE TRADING	031	SKX	S	3,364	13.03	n/a	n/a	168.20	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	STT	B	10,000	42.27	n/a	1-Feb	500.00	5.0
TRUST CO OF THE WEST/NY	040	S	S	107,100	2.29	n/a	n/a	3,213.00	3.0
TRUST CO/COWEN/CALF.	040	S	S	1,368,150	2.29	n/a	n/a	41,044.50	3.0
ROYCE TRADING	031	TKR	S	500	51.94	n/a	n/a	25.00	5.0
M&I FUNDS	047	TYC	B	12,153	50.81	n/a	2-Feb	486.12	4.0
VISIUM/BALY BOBBY	044	XLI	SS	20,000	37.20	n/a	n/a	1,000.00	5.0
ROYCE TRADING	031	ZIGO	S	500	17.00	n/a	n/a	25.00	5.0
<b>TOTAL (Trade Date):</b>								<b>105,352.81</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									105,352.81
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									105,352.81

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