



Daily Compliance Activity Report

Trade Date: 03/22/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ALK	S	3,656	34.65	n/a	n/a	146.24	4.0
T. ROWE PRICE	033	APD	S	118,060	89.40	n/a	13-Feb	4,722.40	4.0
UBS OCONNOR	031	CAT	SS	8,000	106.87	n/a	27-Jan	240.00	3.0
CATAPULT	040	COF	S	1,050	54.67	n/a	21-Mar	42.00	4.0
SONTERRA CAP	041	CSX	B	10,000	20.92	n/a	n/a	400.00	4.0
NEWLAND CAPITAL MGT	025	CTAS	B	25,000	39.31	n/a	n/a	1,000.00	4.0
PRIMECAP MGMT	084	CVE	S	3,000	35.61	n/a	n/a	120.00	4.0
RBC CAPITAL MARKETS	040	DG	B	10,000	46.36	n/a	16-Mar	400.00	4.0
HAHN CAPITAL MANAGEMENT	084	DNR	B	161,065	18.08	n/a	n/a	8,053.25	5.0
BALLAST CAP	040	DPS	B	9,800	38.82	n/a	n/a	490.00	5.0
RBC CAPITAL MARKETS	040	DRI	B	1,800	51.49	n/a	27-Feb	72.00	4.0
1798 CAP/LOMBARD ASSET	040	EXP	B	50,000	35.42	n/a	n/a	2,500.00	5.0
1798 CAP/LOMBARD ASSET	040	FDO	C	25,000	57.26	n/a	16-Mar	1,250.00	5.0
RBC CAPITAL MARKETS	040	FDO	SS	10,000	57.27	n/a	16-Mar	400.00	4.0
KLEINHEINZ CAP PART	031	FL	S	200,000	31.02	n/a	7-Mar	10,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CAPITAL RESEARCH GROUP		084	FTI	B	200,000	48.34	n/a	n/a	7,000.00	3.5
MOORE CAPITAL	041	FXI	SS	50,000	36.76	n/a	n/a	1,500.00	3.0	
MERRILL ASSET/BLACKROCK	297	FX	S	6,141	14.50	n/a	n/a	245.64	4.0	
SIMMONS VENTURES	041	JNY	B	804	11.15	n/a	9-Feb	32.16	4.0	
VERITION	028	LVS	S	35,000	57.80	n/a	13-Jun	1,050.00	3.0	
SIMMONS VENTURES	041	M	B	5,000	39.85	n/a	2-Mar	200.00	4.0	
MTB INV ADV	034	NAV	S	29,450	41.04	n/a	9-Mar	957.13	3.3	
PRIMECAP MGMT	084	NVDA	S	10,000	14.47	n/a	n/a	400.00	4.0	
THOMAS WEISEL ASSET MGMT	035	OCZ	S	85,016	7.47	n/a	n/a	2,550.48	3.0	
UBS OCONNOR	031	PCAR	B	20,000	46.16	n/a	1-Feb	600.00	3.0	
ACK ASSET	028	PNK	S	24,085	10.47	n/a	n/a	722.55	3.0	
LANE GATE PARTNERS LLC	030	RGC	B	10,000	14.03	n/a	n/a	300.00	3.0	
ARMATURE CAPITAL	041	RKT	SS	25,000	67.36	n/a	19-Mar	1,000.00	4.0	
ROTHSCHILD ASSET	040	SFY	B	29,235	28.21	n/a	n/a	1,169.40	4.0	
BALLAST CAP	040	TAP	B	10,000	43.26	n/a	n/a	500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	URBN	B	15,000	28.40	n/a	n/a	600.00	4.0
TUDOR INVESTORS	028	URI	B	2,000	41.52	n/a	n/a	60.00	3.0
LEVIN CAPITAL STRATEGIES	041	WRC	S	28,050	57.84	n/a	29-Feb	841.50	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	21.79	n/a	3-Feb	1,250.00	5.0
TOTAL (Trade Date) :								50,814.75	

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) :									50,814.75
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									50,814.75

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