



## Daily Compliance Activity Report

Trade Date: 04/02/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	ANN	B	9,000	28.70	n/a	n/a	450.00	5.0
MOORE CAPITAL	041	AVP	SS	15,700	23.99	n/a	20-Mar	471.00	3.0
CAPITAL GROWTH MGMT.	241	BAC	S	1,000,000	9.48	n/a	26-Mar	20,000.00	2.0
EPOCH INV MGMT	030	BA	S	950	74.76	n/a	21-Mar	28.50	3.0
TUDOR INVESTORS	028	BKE	SS	25,000	48.28	n/a	n/a	750.00	3.0
RBC CAPITAL MARKETS	040	BUD	B	5,000	72.71	n/a	22-Mar	200.00	4.0
EPOCH INV MGMT	030	CAM	S	1,000	53.10	n/a	n/a	30.00	3.0
TUDOR INVESTORS	028	CF	B	1,000	187.40	n/a	n/a	30.00	3.0
IMPALA ASSET MMT	040	CHRW	SS	4,540	65.96	n/a	n/a	227.00	5.0
ROTHSCHILD ASSET	040	CLD	S	76,470	16.36	n/a	n/a	3,058.80	4.0
RBC CAPITAL MARKETS	040	CL	B	10,000	98.26	n/a	20-Mar	400.00	4.0
EPOCH INV MGMT	030	CMCSK	S	3,300	29.27	n/a	n/a	99.00	3.0
LATEFF MGMT	035	CMCSK	S	1,250	29.54	n/a	n/a	125.00	10.0
BESSEMER INVESTMENT	085	COP	B	650	76.38	n/a	n/a	26.00	4.0
BESSEMER INVESTMENT	085	CVS	B	695	44.78	n/a	n/a	27.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DE	S	550	81.44	n/a	23-Feb	16.50	3.0
GLENHILL CAPITAL	036	DG	B	17,500	46.64	n/a	23-Mar	875.00	5.0
CAERUS GLOBAL	041	DIN	SS	8,042	49.28	n/a	n/a	321.68	4.0
BESSEMER INVESTMENT	085	DIS	S	70	43.90	n/a	n/a	2.80	4.0
BESSEMER INVESTMENT	085	DTE	B	335	55.07	n/a	n/a	13.40	4.0
NORTHWESTERN MUTUAL LIFE	047	DTE	S	90,850	55.25	n/a	n/a	3,634.00	4.0
EPOCH INV MGMT	030	DVN	S	1,050	71.99	n/a	1-Mar	31.50	3.0
NEW JERSEY DIV OF INV.	030	EQY	B	22,500	20.30	n/a	n/a	900.00	4.0
OSKIE CAPITAL MGMT	224	ESRX	B	30,000	56.09	n/a	n/a	1,500.00	5.0
BESSEMER INVESTMENT	085	EXC	B	915	39.22	n/a	n/a	36.60	4.0
IMPALA ASSET MMT	040	EXP	S	11,700	34.41	n/a	n/a	468.00	4.0
BESSEMER INVESTMENT	085	FCX	B	575	38.69	n/a	n/a	23.00	4.0
LATEFF MGMT	035	FDX	B	250	92.27	n/a	n/a	55.00	22.0
BESSEMER INVESTMENT	085	FE	B	980	45.59	n/a	n/a	39.20	4.0
MERRILL ASSET/BLACKROCK	297	FMC	S	8,000	107.01	n/a	8-Dec	320.00	4.0
BESSEMER INVESTMENT	085	GD	B	390	73.14	n/a	14-Feb	15.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	GLW	S	2,500	13.91	n/a	12-Mar	200.00	8.0
TRUSTCO/SUNTRUST (CEREDEX)	273	GLW	B	46,000	13.90		n/a 12-Mar	1,610.03	3.5
BALTHAZAR CAPITAL PARTNERS LTD	085	GM	B	15,000	26.08		n/a 2-Apr	900.00	6.0
EPOCH INV MGMT	030	GPC	S	1,400	63.18	n/a	n/a	42.00	3.0
LATEFF MGMT	035	HD	S	600	49.98	n/a	21-Feb	66.00	11.0
SOROS	036	HD	C	100,000	50.04	n/a	21-Feb	4,000.00	4.0
LATEFF MGMT	035	HON	S	500	61.12	n/a	23-Mar	60.00	12.0
NORTHWESTERN MUTUAL LIFE	047	HON	S	81,900	61.06	n/a	23-Mar	3,276.00	4.0
BESSEMER INVESTMENT	085	IBM	B	310	208.35	n/a	n/a	12.40	4.0
LATEFF MGMT	035	INTC	S	1,250	28.43	n/a	n/a	125.00	10.0
NORTHWESTERN MUTUAL LIFE	047	INTC	S	191,274	28.30	n/a	n/a	7,650.96	4.0
IMPALA ASSET MMT	040	IYT	S	12,300	93.97	n/a	n/a	615.00	5.0
ASCEND PARTNERS	033	JCP	C	10,000	35.23	n/a	27-Mar	300.00	3.0
SIMMONS VENTURES	041	JNY	B	5,000	12.49	n/a	9-Feb	200.00	4.0
IMPALA ASSET MMT	040	KEX	S	700	65.63	n/a	n/a	35.00	5.0
BESSEMER INVESTMENT	085	KFT	S	386	38.29	n/a	n/a	15.44	4.0
EPOCH INV MGMT	030	LH	S	1,000	92.53	n/a	n/a	30.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	LLY	B	10,000	40.36	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	040	LPX	S	28,400	9.35	n/a	7-Feb	568.00	2.0
BESSEMER INVESTMENT	085	MGA	B	685	48.00	n/a	n/a	27.40	4.0
BESSEMER INVESTMENT	085	MHP	B	800	48.35	n/a	n/a	32.00	4.0
IMPALA ASSET MMT	040	MTH	S	12,235	26.69	n/a	n/a	489.40	4.0
ARMATURE CAPITAL	041	MWV	B	50,000	31.62	n/a	21-Mar	2,000.00	4.0
HIGHFIELDS CAP MGMT	030	MWW	S	118,482	9.89	n/a	n/a	3,554.46	3.0
THE JAY GOLDMAN	028	M	B	25,000	40.13	n/a	30-Mar	1,000.00	4.0
SONTERRA CAP	041	NBR	S	56,617	17.72	n/a	n/a	2,264.68	4.0
EPOCH INV MGMT	030	NYX	S	2,250	30.15	n/a	n/a	67.50	3.0
LATEFF MGMT	035	PG	S	500	67.82	n/a	2-Apr	60.00	12.0
IMPALA ASSET MMT	040	PHM	B	26,845	8.68	n/a	n/a	536.90	2.0
IMPALA ASSET MMT	040	PHM	S	7,411	8.73	n/a	n/a	148.22	2.0
KACELA CAPITAL	034	PHM	SS	120,000	8.65	n/a	n/a	3,600.00	3.0
JP MORGAN VENTURES	046	PLCE	B	10,000	52.34	n/a	7-Mar	400.00	4.0
NORTHWESTERN MUTUAL LIFE	047	PNW	S	104,350	48.03	n/a	n/a	4,174.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	POT	S	5,000	47.05	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	040	PPG	B	3,900	97.50	n/a	15-Mar	195.00	5.0
EPOCH INV MGMT	030	PX	S	850	114.83	n/a	23-Mar	25.50	3.0
IMPALA ASSET MMT	040	QLTY	S	1,700	13.75	n/a	n/a	51.00	3.0
MERRILL ASSET/BLACKROCK	297	ROC	B	7,600	52.02	n/a	n/a	304.00	4.0
IMPALA ASSET MMT	040	R	S	800	53.09	n/a	n/a	40.00	5.0
LATEFF MGMT	035	SFG	S	500	40.80	n/a	n/a	50.00	10.0
TUDOR INVESTORS	028	SIG	B	12,500	47.34	n/a	n/a	375.00	3.0
IMPALA ASSET MMT	040	SWFT	S	5,000	11.57	n/a	n/a	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	SWK	S	64,950	77.88	n/a	n/a	2,598.00	4.0
SCOPUS FUND	041	SWK	S	47,380	77.98	n/a	n/a	1,895.20	4.0
BESSEMER INVESTMENT	085	TGT	B	700	58.19	n/a	1-Mar	28.00	4.0
FIRST NY SEC/CHRIS	041	TGT	SS	15,000	58.20	n/a	1-Mar	750.00	5.0
IMPALA ASSET MMT	040	TK	B	31,614	34.57	n/a	n/a	1,264.56	4.0
IMPALA ASSET MMT	040	TRN	S	1,600	33.14	n/a	n/a	64.00	4.0
EPOCH INV MGMT	030	TXN	S	2,400	33.11	n/a	n/a	72.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	UMBF	B	17,945	45.27	n/a	n/a	717.80	4.0
BESSEMER INVESTMENT	085	UNH	B	730	58.60	n/a	n/a	29.20	4.0
EPOCH INV MGMT	030	UNH	S	1,350	58.67	n/a	n/a	40.50	3.0
BESSEMER INVESTMENT	085	UN	B	640	34.15	n/a	n/a	25.60	4.0
LATEFF MGMT	035	UN	S	750	34.57	n/a	n/a	75.00	10.0
EPOCH INV MGMT	030	VC	S	850	52.29	n/a	n/a	25.50	3.0
IMPALA ASSET MMT	040	WNC	S	112,000	10.24	n/a	n/a	3,360.00	3.0
BESSEMER INVESTMENT	085	WU	S	320	17.68	n/a	n/a	12.80	4.0
BESSEMER INVESTMENT	085	YUM	S	1,700	70.54	n/a	8-Feb	68.00	4.0
CAERUS GLOBAL	041	YUM	B	3,040	70.22	n/a	8-Feb	121.60	4.0
<b>TOTAL (Trade Date):</b>								<b>85,124.03</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/30	NOMURA CAPITAL (NOMUNBLFUN)	029	CMLS	S	100	3.55	n/a	n/a	3.00 3.0
AO,CXL	03/30	NOMURA CAPITAL (NOMUBSMAIN)	029	CMLS	S	100	3.55	n/a	n/a	3.00 3.0
AO,	03/30	NOMURA CAPITAL (NOMUAYCB)	029	QUAD	S	388	14.20	n/a	n/a	11.64 3.0
AO,	03/30	NOMURA CAPITAL (NOMUNCRAM)	029	QUAD	S	12	14.20	n/a	n/a	0.36 3.0
AO,CXL	03/30	NOMURA CAPITAL (NOMUBSMAIN)	029	QUAD	S	400	14.20	n/a	n/a	12.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	85,124.03
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>85,124.03</b>
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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