



Daily Compliance Activity Report

Trade Date: 01/23/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	750	10.23	n/a	n/a	75.00	10.0
MERRILL ASSET/BLACKROCK	297	AEO	B	102,600	13.88	n/a	2-Dec	4,104.00	4.0
SENATOR INVESTMENT GROUP	036	AOS	S	50,000	41.09	n/a	21-Oct	1,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	3,000	20.08	n/a	6-Jan	0.00	0.0
MORTAR ROCK	033	AXL	SS	50,000	11.83	n/a	6-Jan	2,000.00	4.0
LISTED ERR	099	AXL	B	39,900	11.83	n/a	6-Jan	0.00	0.0
LISTED ERR	099	AXL	S	39,900	11.83	n/a	6-Jan	0.00	0.0
ROYCE TRADING	031	BKE	B	2,000	42.18	n/a	n/a	100.00	5.0
CATAPULT	040	BLL	SS	10,000	37.64	n/a	n/a	400.00	4.0
LATEFF MGMT	035	BMS	S	300	29.92	n/a	n/a	42.00	14.0
BASIX	033	EAT	S	31,000	27.53	n/a	20-Jan	930.00	3.0
WEINTRAUB CAPITAL MGT.	269	EXP	SS	25,000	28.98	n/a	n/a	1,000.00	4.0
TALPION LLC	040	FBRC	S	32,000	2.10	n/a	n/a	640.00	2.0
LATEFF MGMT	035	FDX	S	200	91.21	n/a	n/a	60.00	30.0
ROYCE TRADING	031	FINL	B	2,000	20.51	n/a	20-Jan	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIMMONS VENTURES	041	GES	B	5,000	29.60	n/a	23-Jan	200.00	4.0
LATEFF MGMT	035	GLW	S	600	14.20	n/a	3-Jan	60.00	10.0
DELTEC ASSET MGMT.	040	HD	B	5,000	44.41	n/a	8-Dec	250.00	5.0
1798 CAP/LOMBARD ASSET	040	HON	S	7,000	58.09	n/a	19-Jan	350.00	5.0
SURVEYOR CAPITAL	251	HTLD	SS	20,000	14.65	n/a	n/a	600.00	3.0
SURVEYOR CAPITAL	251	HTZ	B	60,000	13.00	n/a	n/a	1,800.00	3.0
LATEFF MGMT	035	INTC	S	600	26.74	n/a	n/a	72.00	12.0
ASCEND PARTNERS	033	IP	B	35,000	31.64	n/a	23-Jan	1,400.00	4.0
EPOCH INV MGMT	030	IP	S	279,950	31.68	n/a	23-Jan	8,398.50	3.0
LATEFF MGMT	035	IP	S	250	31.59	n/a	23-Jan	35.00	14.0
ROYCE TRADING	031	MLI	B	1,800	42.08	n/a	26-Oct	90.00	5.0
RIDGECREST INV MGMT LLC	028	MTW	S	20,000	12.19	n/a	26-Oct	1,000.00	5.0
ROYCE TRADING	031	MTX	B	10,000	63.56	n/a	n/a	500.00	5.0
SIMMONS VENTURES	041	M	SS	5,000	35.65	n/a	9-Jan	200.00	4.0
NEWLAND CAPITAL MGT	025	NAV	S	25,000	41.10	n/a	10-Jan	1,000.00	4.0
LATEFF MGMT	035	NYB	B	500	13.19	n/a	5-Jan	60.00	12.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	OI	S	500	22.97	n/a	n/a	70.00	14.0
LATEFF MGMT	035	OLN	S	425	22.17	n/a	n/a	59.50	14.0
NORTHWESTERN MUTUAL LIFE	047	PG	B	116,450	65.05	n/a	10-Jan	4,658.00	4.0
BALYASNY ASSET MGMT	044	PKG	S	25,000	26.57	n/a	23-Jan	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	57,700	26.65	n/a	23-Jan	2,885.00	5.0
FARALLON CAP MGMT	040	RIMM	B	60,100	15.90	n/a	n/a	1,803.00	3.0
BALYASNY ASSET MGMT	044	RKT	S	30,000	66.18	n/a	23-Jan	1,500.00	5.0
EPOCH INV MGMT	030	RKT	B	50,000	66.03	n/a	23-Jan	1,500.00	3.0
SENATOR INVESTMENT GROUP	036	RKT	B	23,400	65.87	n/a	23-Jan	702.00	3.0
MOORE CAPITAL	041	SPY	C	25,000	131.20	n/a	n/a	750.00	3.0
LATEFF MGMT	035	SYY	B	450	30.14	n/a	n/a	2,601.00	8.5
TROUBH PART	070	S	S	25,000	2.27	n/a	n/a	1,250.00	5.0
FARALLON CAP MGMT	040	TPX	SS	16,508	62.03	n/a	n/a	660.32	4.0
M&I FUNDS	047	UNT	B	28,816	42.96	n/a	6-Jan	1,152.64	4.0
M&I FUNDS	047	WHR	S	9,274	54.45	n/a	n/a	370.96	4.0
COUGAR TRADING	044	WRC	S	5,000	53.89	n/a	23-Jan	250.00	5.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	16,250	54.63	n/a	n/a	487.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ZUMZ	SS	2,579	30.15	n/a	n/a	77.37	3.0
TOTAL (Trade Date):								48,993.79	

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) :									48,993.79
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									48,993.79

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