



Daily Compliance Activity Report

Trade Date: 08/14/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AIN	B	5,000	19.53	n/a	n/a	250.00	0.0
RBC CAPITAL MARKETS	040	BWLD	B	8,100	72.44	n/a	n/a	324.00	4.0
BRONSON POINT	036	COH	C	5,000	54.99	n/a	1-Aug	150.00	0.0
THE JAY GOLDMAN	028	COH	B	10,000	55.00	n/a	1-Aug	400.00	4.0
CAERUS GLOBAL	041	CRI	SS	10,720	52.62	n/a	n/a	428.80	4.0
HARVEST MGMT (JMP)	029	DKS	B	10,000	48.65	n/a	14-Aug	400.00	4.0
KAM ADVISORS LLC	041	DOW	C	216,500	29.69	n/a	10-Aug	6,495.00	0.0
ROYCE TRADING	031	FEIM	B	3,000	8.79	n/a	n/a	150.00	0.0
CATAPULT	040	FL	S	13,000	34.49	n/a	8-Aug	520.00	0.0
RBC CAPITAL MARKETS	040	FL	B	11,000	34.24	n/a	8-Aug	440.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	6,819	34.23	n/a	27-Jul	340.95	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	93,181	34.21	n/a	27-Jul	4,659.05	5.0
WOOSTER CAPITAL	035	LEA	S	25,000	40.07	n/a	3-Aug	1,250.00	5.0
LIONEYE CAPITAL	040	LOW	SS	20,000	26.41	n/a	10-Aug	1,000.00	5.0
LONG OAR GLOBAL INV	040	LOW	SS	90,000	26.49	n/a	10-Aug	3,600.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	15,000	12.50	n/a	31-Jul	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	MATW	S	6,020	29.53	n/a	n/a	240.80	0.0
NOMURA INTERNATIONAL PLC	046	MSFT	S	50,000	30.21	n/a	n/a	1,510.52	0.0
SANDLER O'NEILL ASSET	031	MS	S	100,000	14.42	n/a	2-Aug	5,000.00	5.0
RBC CAPITAL MARKETS	040	MTN	SS	3,000	49.05	n/a	n/a	120.00	4.0
ROYCE TRADING	031	MTX	S	5,000	65.97	n/a	n/a	250.00	0.0
ROYCE TRADING	031	MXWL	S	5,000	7.71	n/a	n/a	250.00	0.0
RBC CAPITAL MARKETS	040	NKE	B	4,000	95.05	n/a	29-Jun	160.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035	OSUR	S	61,926	9.91	n/a	n/a	1,857.78	0.0
COOKBIELER	028	PKG	S	56,900	31.54	n/a	20-Jul	2,276.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	25,000	31.48	n/a	20-Jul	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	10,000	64.63	n/a	26-Jul	500.00	5.0
SHEFFIELD ASSET MGMT	031	RKT	S	17,500	64.28	n/a	26-Jul	700.00	4.0
BALYASNY ASSET MGMT	044	SPLS	C	50,000	13.51	n/a	n/a	2,500.00	0.0
CATAPULT	040	SPLS	C	33,000	13.44	n/a	n/a	1,320.00	0.0
DELTEC ASSET MGMT.	040	TEN	B	20,000	29.89	n/a	n/a	1,000.00	5.0
NOMURA INTERNATIONAL PLC	046	TIF	B	20,000	59.41	n/a	n/a	1,188.12	0.0
ROYCE TRADING	031	TOWR	B	1,725	8.21	n/a	n/a	86.25	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	TRS	S	50,000	20.18	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	TSN	B	15,000	15.60	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	TUP	B	6,000	54.03	n/a	n/a	240.00	4.0
RBC CAPITAL MARKETS	040	UA	B	4,000	56.42	n/a	25-Jul	160.00	4.0
PNC CAPITAL ADV	028	WCRX	B	122,959	17.51	n/a	13-Aug	4,918.36	0.0
SANDLER CAPITAL	028	WLK	B	105,000	66.69	n/a	n/a	5,250.00	0.0
RBC CAPITAL MARKETS	040	YUM	B	5,000	66.23	n/a	19-Jul	200.00	4.0
ROYCE TRADING	031	ZOLT	B	5,000	8.48	n/a	n/a	250.00	0.0
TOTAL (Trade Date) :								54,485.63	

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) :									54,485.63
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									54,485.63

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