



## Daily Compliance Activity Report

Trade Date: 08/10/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
METROPOLITAN CAPITAL	044	ARO	B	13,200	13.02	n/a	n/a	660.00 5.0
LATEEF MGMT	035	ATI	S	550	32.53	n/a	7-Aug	71.50 13.0
CATAPULT	040	AZO	S	1,865	357.82	n/a	n/a	74.60 0.0
WHITE PINE CAPITAL	030	BIG	S	1,300	39.41	n/a	23-May	65.00 0.0
TOCQUEVILLE	035	BRKS	B	87,000	8.36	n/a	n/a	4,350.00 0.0
MILLRACE FUND LP	028	BWA	SS	3,000	70.06	n/a	27-Jul	120.00 0.0
NEUBERGER BERMAN	036	CBL	S	8,600	20.30	n/a	n/a	344.00 0.0
STANDARD PACIFIC CAPITAL	084	CE	B	210,000	40.67	n/a	20-May	10,500.00 5.0
CATAPULT	040	DRI	SS	12,000	52.50	n/a	13-Jul	480.00 0.0
IRIDIAN ASSET MGMT.	036	FMC	B	8,030	54.50	n/a	8-Dec	401.50 0.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	35,000	12.03	n/a	20-Jul	1,750.00 5.0
RAINIER INV MGMT	035	HON	B	82,880	58.88	n/a	7-Aug	3,315.20 0.0
NEUBERGER BERMAN	036	HPP	S	24,100	17.28	n/a	n/a	964.00 0.0
LATEEF MGMT	035	HPQ	S	300	19.59	n/a	n/a	36.00 12.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	JCI	B	600	26.00	n/a	20-Jul	72.00	12.0
MFP INVESTORS	085	JNS	S	175,000	8.75	n/a	n/a	7,000.00	4.0
CATAPULT	040	KMT	SS	23,200	37.21	n/a	n/a	928.00	0.0
WOOSTER CAPITAL	035	LEA	S	25,000	39.68	n/a	3-Aug	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	80,000	11.87	n/a	31-Jul	4,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	NP	S	2,000	27.80	n/a	20-Jul	100.00	5.0
LATEEF MGMT	035	NYB	S	500	13.11	n/a	6-Aug	50.00	10.0
LATEEF MGMT	035	PBCT	B	1,525	11.97	n/a	19-Jul	152.50	10.0
NEUBERGER BERMAN	036	PEP	S	67,511	72.07	n/a	n/a	2,700.44	0.0
LATEEF MGMT	035	PFE	S	300	23.89	n/a	n/a	36.00	12.0
CATAPULT	040	PH	B	23,000	82.89	n/a	n/a	920.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	125,000	30.43	n/a	20-Jul	6,250.00	5.0
CATAPULT	040	ROK	B	28,300	70.68	n/a	n/a	1,132.00	0.0
LATEEF MGMT	035	SPLS	S	800	13.30	n/a	n/a	80.00	10.0
LATEEF MGMT	035	SYI	S	150	28.71	n/a	n/a	30.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	TEVA	S	300	41.28	n/a	6-Aug	60.00	0.0
SHEFFIELD ASSET MGMT	031	UAL	B	47,900	17.59	n/a	n/a	1,916.00	4.0
LATEEF MGMT	035	WRI	S	300	27.25	n/a	n/a	36.00	12.0
CATAPULT	040	WSM	S	8,437	36.24	n/a	n/a	337.48	0.0
NOKOMIS PARTNERS	031	XLE	SS	29,100	71.93	n/a	n/a	873.00	3.0
BALLAST CAP	040	YHOO	S	5,000	15.09	n/a	n/a	250.00	5.0
SENATOR INVESTMENT GROUP	036	YHOO	B	200,000	15.27	n/a	n/a	6,000.00	3.0
TRUST CO/COWEN/CALF.	040	YHOO	S	437,655	15.06	n/a	n/a	17,506.20	0.0
<b>TOTAL (Trade Date) :</b>								<b>74,811.42</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/09	PARKWEST (PARWGSBULK)	084	LULU	B	15,100	57.41	n/a	7-Jun	453.00 3.0
AO,CRT	08/09	PARKWEST (PARWGSBULK)	084	LULU	B	15,100	57.41	n/a	7-Jun	604.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>151.00</b>
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TOTAL (Trade Date) :	74,811.42
TOTAL (AO, CXL, CRT) :	151.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>74,962.42</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