



Daily Compliance Activity Report

Trade Date: 12/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	AXS	B	850	34.45	n/a	n/a	29.75	0.0
BAIRD INVESTMENT	098	CHD	B	9,875	53.60	n/a	5-Dec	493.75	0.0
PZENA INV ADV	044	FNF	S	2,925	23.76	n/a	n/a	102.38	0.0
SCOPUS FUND	041	KSS	SS	18,175	42.70	n/a	30-Nov	727.00	0.0
MACELLUM CAPITAL	086	LF	B	129,300	7.98	n/a	n/a	3,879.00	3.0
PZENA INV ADV	044	LH	B	4,375	86.51	n/a	n/a	153.13	0.0
PLATTE RIVER CAPITAL	240	MSFT	S	20,000	27.04	n/a	n/a	800.00	0.0
ROARING BLUE LION MGMT	031	PLCE	B	15,000	44.12	n/a	27-Nov	600.00	4.0
SCOPUS FUND	041	URBN	B	1,032	38.18	n/a	n/a	41.28	0.0
CRAMER ROSENTHAL	070	WMT	SS	2,400	67.95	n/a	15-Nov	96.00	0.0
TOTAL (Trade Date) :								6,922.29	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/21	PATTEN & PATTEN (PATTMERR)	025	AXP	B	350	57.35	n/a	20-Dec	17.50 5.0
AO,CXL	12/21	PATTEN & PATTEN (PATTBERSHI)	025	AXP	B	350	57.35	n/a	20-Dec	17.50 5.0
AO,CXL	12/21	WOOSTER CAPITAL (WOOSGOLDMA)	035	GM	B	50,000	27.24	n/a	24-Dec	2000.00 4.0
AO,CRT	12/21	WOOSTER CAPITAL (WOOSGOLDMA)	035	GM	B	50,000	27.24	n/a	24-Dec	2500.00 5.0
TOTAL (AO, CXL, CRT) :										500.00

TOTAL (Trade Date) :	6,922.29
TOTAL (AO, CXL, CRT) :	500.00

TOTAL (RUN DATE) / NFS :	7,422.29
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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