

Daily Compliance Activity Report Trade Date: 08/14/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
031	AIN	В	5,000	19.53	n/a	n/a	250.00	0.0
040	BWLD	В	8,100	72.44	n/a	n/a	324.00	4.0
036	СОН	С	5,000	54.99	n/a	1-Aug	150.00	0.0
028	СОН	В	10,000	55.00	n/a	1-Aug	400.00	4.0
041	CRI	SS	10,720	52.62	n/a	n/a	428.80	4.0
029	DKS	В	10,000	48.65	n/a	14-Aug	400.00	4.0
041	DOW	С	216,500	29.69	n/a	10-Aug	6,495.00	0.0
031	FEIM	В	3,000	8.79	n/a	n/a	150.00	0.0
040	FL	S	13,000	34.49	n/a	8-Aug	520.00	0.0
040	FL	В	11,000	34.24	n/a	8-Aug	440.00	4.0
041	IP	SS	6 , 819	34.23	n/a	27-Jul	340.95	5.0
041	IP	S	93,181	34.21	n/a	27-Jul	4,659.05	5.0
035	LEA	S	25,000	40.07	n/a	3-Aug	1,250.00	5.0
040	LOW	SS	20,000	26.41	n/a	10-Aug	1,000.00	5.0
040	LOW	SS	90,000	26.49	n/a	10-Aug	3,600.00	4.0
041	LPX	S	15,000	12.50	n/a	31-Jul	750.00	5.0
	031 040 036 028 041 029 041 031 040 040 041 041 035	031 AIN 040 BWLD 036 COH 028 COH 041 CRI 029 DKS 041 DOW 031 FEIM 040 FL 040 FL 041 IP 041 IP 035 LEA 040 LOW 040 LOW	031 AIN B 040 BWLD B 036 COH C 028 COH B 041 CRI SS 029 DKS B 041 DOW C 031 FEIM B 040 FL S 040 FL B 041 IP SS 041 IP S 040 LOW SS 040 LOW SS	031 AIN B 5,000 040 BWLD B 8,100 036 COH C 5,000 028 COH B 10,000 041 CRI SS 10,720 029 DKS B 10,000 041 DOW C 216,500 031 FEIM B 3,000 040 FL S 13,000 040 FL B 11,000 041 IP SS 6,819 041 IP S 93,181 035 LEA S 25,000 040 LOW SS 20,000 040 LOW SS 90,000	031 AIN B 5,000 19.53 040 BWLD B 8,100 72.44 036 COH C 5,000 54.99 028 COH B 10,000 55.00 041 CRI SS 10,720 52.62 029 DKS B 10,000 48.65 041 DOW C 216,500 29.69 031 FEIM B 3,000 8.79 040 FL S 13,000 34.49 040 FL B 11,000 34.24 041 IP SS 6,819 34.23 041 IP S 93,181 34.21 035 LEA S 25,000 40.07 040 LOW SS 20,000 26.41 040 LOW SS 90,000 26.49	031 AIN B 5,000 19.53 n/a 040 BWLD B 8,100 72.44 n/a 036 COH C 5,000 54.99 n/a 028 COH B 10,000 55.00 n/a 041 CRI SS 10,720 52.62 n/a 029 DKS B 10,000 48.65 n/a 041 DOW C 216,500 29.69 n/a 031 FEIM B 3,000 8.79 n/a 040 FL S 13,000 34.49 n/a 040 FL B 11,000 34.24 n/a 041 IP SS 6,819 34.23 n/a 041 IP S 93,181 34.21 n/a 035 LEA S 25,000 40.07 n/a 040 LOW SS 20,000 26.41 n/a 040 LOW SS 90,000 26.49 n/a	031 AIN B 5,000 19.53 n/a n/a 040 BWLD B 8,100 72.44 n/a n/a 036 COH C 5,000 54.99 n/a 1-Aug 028 COH B 10,000 55.00 n/a 1-Aug 041 CRI SS 10,720 52.62 n/a n/a 029 DKS B 10,000 48.65 n/a 14-Aug 041 DOW C 216,500 29.69 n/a 10-Aug 031 FEIM B 3,000 8.79 n/a n/a 040 FL S 13,000 34.49 n/a 8-Aug 040 FL B 11,000 34.23 n/a 27-Jul 041 IP S 6,819 34.23 n/a 27-Jul 035 LEA S 25,000 40.07 n/a 3-Aug	031 AIN B 5,000 19.53 n/a n/a 250.00 040 BWLD B 8,100 72.44 n/a n/a 324.00 036 COH C 5,000 54.99 n/a 1-Aug 150.00 028 COH B 10,000 55.00 n/a 1-Aug 400.00 041 CRI SS 10,720 52.62 n/a n/a 428.80 029 DKS B 10,000 48.65 n/a 14-Aug 400.00 041 DOW C 216,500 29.69 n/a 10-Aug 6,495.00 031 FEIM B 3,000 8.79 n/a n/a 150.00 040 FL S 13,000 34.49 n/a 8-Aug 520.00 040 FL B 11,000 34.24 n/a 27-Jul 4,659.05 035 LEA S 25,000

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	В	4,000	95.05	n/a	29-Jun	160.00	4.0	
THOMAS WEISEL ASSET MGMT/	TIMBERI	INE ASSE03	35 os	UR S	61,926	9.91	n/a	n/a	1,857.78	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	С	50,000	13.51	n/a	n/a	2,500.00	0.0	
CATAPULT	040	SPLS	С	33,000	13.44	n/a	n/a	1,320.00	0.0	
DELTEC ASSET MGMT.	040	TEN	В	20,000	29.89	n/a	n/a	1,000.00	5.0	
NOMURA INTERNATIONAL PLC	046	TIF	В	20,000	59.41	n/a	n/a	1,188.12	0.0	
ROYCE TRADING	031	TOWR	В	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	В	15,000	15.60	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	TUP	В	6,000	54.03	n/a	n/a	240.00	4.0
RBC CAPITAL MARKETS	040	UA	В	4,000	56.42	n/a	25-Jul	160.00	4.0
PNC CAPITAL ADV	028	WCRX	В	122,959	17.51	n/a	13-Aug	4,918.36	0.0
SANDLER CAPITAL	028	WLK	В	105,000	66.69	n/a	n/a	5,250.00	0.0
RBC CAPITAL MARKETS	040	YUM	В	5,000	66.23	n/a	19-Jul	200.00	4.0
ROYCE TRADING	031	ZOLT	В	5,000	8.48	n/a	n/a	250.00	0.0

TOTAL (Trade Date): 54,485.63

Туре	Date Account	RR # Symbol B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):					0.00
TOTAL	(Trade Date):				54,4	85.63
TOTAL	(AO, CXL, CRT):					0.00
TOTAL	(RUN DATE) / NFS:				54,4	85.63

Legend:

O: 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