



Daily Compliance Activity Report

Trade Date: 09/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	ARO	S	33,000	13.98	n/a	n/a	1,650.00	5.0
LATEEF MGMT	035	ATI	S	750	32.00	n/a	14-Sep	75.00	10.0
BALYASNY ASSET MGMT	044	AXL	B	103,426	11.17	n/a	30-Jul	5,171.30	0.0
ROSEDALE CAPITAL	046	AXL	B	6,800	11.08	n/a	30-Jul	272.00	4.0
PATTEN & PATTEN	025	BAB	S	700	30.08	n/a	n/a	35.00	5.0
CATAPULT	040	BAC	SS	50,000	9.02	n/a	26-Sep	2,000.00	0.0
MERRILL ASSET/BLACKROCK	297	BFS	B	2,250	45.82	n/a	n/a	90.00	0.0
KAM ADVISORS LLC	041	CBS	B	90,000	36.22	n/a	n/a	2,700.00	0.0
TUDOR INVESTORS	028	CLD	B	10,000	18.23	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	CNX	SS	10,000	29.70	n/a	n/a	300.00	3.0
TEMAGAMI CAPITAL	041	DENN	B	13,966	5.00	n/a	n/a	418.98	3.0
DELTEC ASSET MGMT.	040	DG	B	7,700	51.20	n/a	5-Sep	385.00	5.0
PATTEN & PATTEN	025	DVY	B	100	57.78	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	D	B	50	52.94	n/a	n/a	2.50	5.0
CHESAPEAKE PARTNERS	028	ETFC	B	10,000	8.75	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PATTEN & PATTEN	025	EXC	S	150	35.62	n/a	n/a	7.50	5.0	
CAERUS GLOBAL	041	FINL	S	16,571	22.75	n/a	21-Sep	662.84	4.0	
WHITE PINE CAPITAL	030	FL	S	1,700	35.99	n/a	29-Aug	85.00	0.0	
LATEEF MGMT	035	GLW	B	500	13.29	n/a	13-Sep	45.00	9.0	
LEVIN CAPITAL STRATEGIES	041	GM	C	10,000	23.47	n/a	25-Sep	300.00	0.0	
TRELLUS PARTNERS LP	028	GM	C	40,000	23.37	n/a	25-Sep	1,200.00	0.0	
SAC CHICAGO ANDREW	031	GNC	B	44,460	36.86	n/a	n/a	1,556.10	3.5	
BASSWOOD PARTNERS	267	GS	B	11,100	114.98	n/a	14-Sep	444.00	0.0	
DENVER INST. ADV	046	HLF	S	258,000	46.63	n/a	n/a	10,320.00	0.0	
LATEEF MGMT	035	HPQ	B	750	17.18	n/a	n/a	75.00	10.0	
PATTEN & PATTEN	025	HYG	S	200	92.58	n/a	n/a	10.00	5.0	
PATTEN & PATTEN	025	IGM	B	50	69.79	n/a	n/a	2.50	5.0	
PATTEN & PATTEN	025	IP	B	125	36.60	n/a	24-Sep	6.25	5.0	
CAERUS GLOBAL	041	JCP	S	15,000	24.52	n/a	13-Aug	600.00	4.0	
WEISS PECK - ROBECO INV		040	JNY	S	124,190	12.94	n/a	26-Jul	6,209.50	0.0
MACELLUM CAPITAL	086	KORS	B	9,700	53.18	n/a	n/a	291.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
J. GOLDMAN	028	KSS	B	15,000	50.93	n/a	31-Aug	600.00	4.0
COOPER CREEK PART	028	LPX	SS	10,000	12.71	n/a	31-Jul	400.00	4.0
ASCEND PARTNERS	033	LULU	C	15,000	73.99	n/a	10-Sep	750.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	15,000	16.87	n/a	11-Sep	750.00	5.0
LATEEF MGMT	035	NKE	B	300	95.35	n/a	21-Sep	54.00	18.0
MATRIX ASSET ADV.	091	OXY	B	2,500	85.10	n/a	n/a	100.00	4.0
PATTEN & PATTEN	025	PGX	B	500	14.77	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	PHB	B	1,000	19.11	n/a	n/a	50.00	5.0
BRONSON POINT	036	RCL	S	50,000	30.09	n/a	n/a	1,500.00	0.0
CAERUS GLOBAL	041	RL	B	3,784	152.24	n/a	9-Aug	151.36	4.0
MERRILL ASSET/BLACKROCK	297	RSE	B	6,100	14.57	n/a	n/a	244.00	0.0
PATTEN & PATTEN	025	SPY	B	100	144.83	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	SWN	B	75	35.02	n/a	27-Sep	3.75	5.0
CATAPULT	040	TCB	SS	5,000	11.90	n/a	n/a	200.00	0.0
LATEEF MGMT	035	TEVA	B	300	41.13	n/a	24-Sep	51.00	17.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	TGT	SS	3,795	63.63	n/a	30-Aug	151.80	4.0
SAC CHICAGO ANDREW	031	TGT	S	50,000	63.57	n/a	30-Aug	1,750.00	3.5
SAC CHICAGO ANDREW	031	TJX	SS	20,000	44.54	n/a	31-Aug	700.00	3.5
PATTEN & PATTEN	025	UNP	S	15	119.15	n/a	n/a	0.75	5.0
KLEINHEINZ CAP PART	031	URI	B	40,000	33.11	n/a	17-Apr	2,000.00	5.0
TUDOR INVESTORS	028	URI	B	5,000	33.01	n/a	17-Apr	150.00	3.0
PATTEN & PATTEN	025	VXZ	B	600	33.45	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	WAG	B	125	36.66	n/a	n/a	6.25	5.0
ACK ASSET	028	WSM	SS	36,000	43.20	n/a	n/a	1,080.00	0.0
PATTEN & PATTEN	025	XLP	B	200	35.98	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	XLV	B	200	40.36	n/a	n/a	10.00	5.0
TOTAL (Trade Date) :								46,292.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/26	BAIRD INVESTMENT (BAIRVB242L)	047	FTNT	B	175	24.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRVB241L)	047	FTNT	B	175	21.82	n/a	n/a	8.75	0.0
AO,	09/26	BAIRD INVESTMENT (BAIRVB241L)	047	FTNT	B	175	24.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRWMCLFD)	047	FTNT	B	3,350	21.82	n/a	n/a	167.50	0.0
AO,	09/26	BAIRD INVESTMENT (BAIRWMCLFD)	047	FTNT	B	3,350	24.82	n/a	n/a	167.50	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRJB473L)	047	FTNT	B	4,350	21.82	n/a	n/a	217.50	0.0
AO,	09/26	BAIRD INVESTMENT (BAIRJB473L)	047	FTNT	B	4,350	24.82	n/a	n/a	217.50	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRBLCFB)	047	FTNT	B	3,225	21.82	n/a	n/a	161.25	0.0
AO,	09/26	BAIRD INVESTMENT (BAIRBLCFB)	047	FTNT	B	3,225	24.82	n/a	n/a	161.25	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRVB245L)	047	FTNT	B	75	21.82	n/a	n/a	3.75	0.0
AO,	09/26	BAIRD INVESTMENT (BAIRVB245L)	047	FTNT	B	75	24.82	n/a	n/a	3.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRVB240L)	047	FTNT	B	325	21.82	n/a	n/a	16.25	0.0
AO,	09/26	BAIRD INVESTMENT (BAIRVB240L)	047	FTNT	B	325	24.82	n/a	n/a	16.25	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRVB243L)	047	FTNT	B	175	21.82	n/a	n/a	8.75	0.0
AO,	09/26	BAIRD INVESTMENT (BAIRVB243L)	047	FTNT	B	175	24.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BAIRVB242L)	047	FTNT	B	175	21.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	SANDLER O'NEILL ASSET (SANOMSIL)	031	LAZ	B	2,900	28.60	n/a	5-Sep	145.00	5.0
AO,CXL	09/26	WOOSTER CAPITAL (WOOSGOLDMA)	035	LEA	B	10,000	37.48	n/a	3-Aug	500.00	5.0
AO,CRT	09/26	WOOSTER CAPITAL (WOOSGOLDMA)	035	LEA	B	10,000	37.47	n/a	3-Aug	500.00	5.0
TOTAL (AO, CXL, CRT) :										-145.00	

TOTAL (Trade Date) :

46,292.38

TOTAL (AO, CXL, CRT):

-145.00

TOTAL (RUN DATE) / NFS:

46,147.38

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