



## Daily Compliance Activity Report

Trade Date: 08/23/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BALYASNY ASSET MGMT	044	AGN	S	45,000	84.98	n/a	20-Aug	2,250.00 0.0
HAHN CAPITAL MANAGEMENT	084	ALB	S	285	57.49	n/a	n/a	14.25 5.0
HIGHBRIDGE CAP	041	ALV	B	2,500	61.11	n/a	23-Jul	75.00 3.0
HOPLITE MGMT	025	AMZN	S	6,504	240.08	n/a	n/a	260.16 0.0
HIGHBRIDGE CAP	041	APC	B	14,500	69.86	n/a	9-Aug	435.00 3.0
HAHN CAPITAL MANAGEMENT	084	A	S	258	37.30	n/a	n/a	12.90 5.0
SENATOR INVESTMENT GROUP	036	BA	B	62,000	71.32	n/a	7-Aug	1,860.00 3.0
HAHN CAPITAL MANAGEMENT	084	BGC	S	850	28.11	n/a	n/a	42.50 5.0
HAHN CAPITAL MANAGEMENT	084	BIG	S	408	30.29	n/a	23-Aug	20.40 5.0
RBC CAPITAL MARKETS	040	BLMN	B	14,000	13.00	n/a	n/a	560.00 4.0
RBC CAPITAL MARKETS	040	BWLD	B	4,000	74.81	n/a	n/a	160.00 4.0
KENNEDY CAPITAL	046	CALD	B	41,666	4.20	n/a	n/a	833.32 0.0
HAHN CAPITAL MANAGEMENT	084	CFN	S	968	26.41	n/a	n/a	48.40 5.0
HAHN CAPITAL MANAGEMENT	084	CIT	S	1,084	38.54	n/a	20-Aug	54.20 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	CRI	S	803	53.45	n/a	n/a	40.15	5.0
HAHN CAPITAL MANAGEMENT	084	CVA	S	1,916	17.69	n/a	n/a	95.80	5.0
PNC CAPITAL ADV	028	C	B	62,734	29.97	n/a	22-Aug	2,509.36	0.0
RIVERPARK CAPITAL	025	DLTR	B	5,100	48.64	n/a	16-Aug	255.00	5.0
TOURMALINE PARTNERS CHRIS	041	DMD	SS	10,000	9.91	n/a	n/a	300.00	0.0
HAHN CAPITAL MANAGEMENT	084	DNR	S	1,155	15.61	n/a	n/a	57.75	5.0
HAHN CAPITAL MANAGEMENT	084	EEFT	S	816	17.67	n/a	n/a	40.80	5.0
RBC CAPITAL MARKETS	040	EL	SS	5,000	59.49	n/a	14-Aug	200.00	4.0
RIVERPARK CAPITAL	025	EMC	B	12,300	26.25	n/a	n/a	615.00	5.0
OZ MGMT	040	F	C	115,987	9.52	n/a	2-Aug	3,479.61	0.0
SYMPHONY ASSET	033	GES	C	19,500	26.00	n/a	23-Aug	585.00	0.0
BNP PARIBAS SEC	040	GM	SS	60,000	21.39	n/a	3-Aug	3,000.00	0.0
G WEISS /IAN	025	GSM	B	10,000	15.36	n/a	n/a	300.00	0.0
HAHN CAPITAL MANAGEMENT	084	GTLS	S	438	72.10	n/a	n/a	21.90	5.0
HAHN CAPITAL MANAGEMENT	084	HCC	S	1,275	32.43	n/a	n/a	63.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	HP	SS	3,000	47.68	n/a	n/a	90.00	3.0
HAHN CAPITAL MANAGEMENT	084	HST	S	2,068	15.24	n/a	13-Jun	103.40	5.0
HAHN CAPITAL MANAGEMENT	084	HXL	S	1,319	22.98	n/a	24-Jul	65.95	5.0
HAHN CAPITAL MANAGEMENT	084	IEX	S	632	40.34	n/a	n/a	31.60	5.0
HAHN CAPITAL MANAGEMENT	084	JEC	S	772	40.62	n/a	n/a	38.60	5.0
HAHN CAPITAL MANAGEMENT	084	KEG	S	2,661	8.85	n/a	23-Jul	133.05	5.0
HAHN CAPITAL MANAGEMENT	084	KMR	S	415	73.44	n/a	n/a	20.75	5.0
HAHN CAPITAL MANAGEMENT	084	KR	S	1,769	21.84	n/a	n/a	88.45	5.0
TUDOR INVESTORS	028	KR	SS	50,000	21.80	n/a	n/a	1,500.00	3.0
ROYCE TRADING	031	LEDS	B	12,500	2.30	n/a	n/a	375.00	0.0
BALYASNY ASSET MGMT	044	LULU	SS	10,000	63.97	n/a	7-Jun	500.00	0.0
NEUBERGER BERMAN	036	MATW	S	10,125	30.25	n/a	n/a	405.00	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	5,000	77.24	n/a	n/a	200.00	0.0
KENNEDY CAPITAL	046	NP	B	5,995	28.00	n/a	14-Aug	239.80	0.0
HAHN CAPITAL MANAGEMENT	084	NSR	S	1,248	37.66	n/a	n/a	62.40	5.0
CYRUS CAPITAL	025	ORLY	B	8,000	85.94	n/a	n/a	240.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	PENN	SS	7,200	38.30	n/a	n/a	288.00	4.0
HAHN CAPITAL MANAGEMENT	084	PRE	S	496	74.03	n/a	n/a	24.80	5.0
HAHN CAPITAL MANAGEMENT	084	PVH	S	346	87.20	n/a	18-Jul	17.30	5.0
HAHN CAPITAL MANAGEMENT	084	PXD	S	292	97.04	n/a	23-Jul	14.60	5.0
HIGHBRIDGE CAP	041	RKT	B	3,000	65.73	n/a	20-Aug	90.00	3.0
HAHN CAPITAL MANAGEMENT	084	ROP	S	218	104.51	n/a	n/a	10.90	5.0
HAHN CAPITAL MANAGEMENT	084	ROST	S	643	69.38	n/a	17-Aug	32.15	5.0
SCOUT/UMB	047	ROST	B	19,800	69.32	n/a	17-Aug	594.00	0.0
HAHN CAPITAL MANAGEMENT	084	RS	S	662	52.84	n/a	n/a	33.10	5.0
INVESCO	031	SBUX	S	123,565	48.03	n/a	27-Jul	4,942.60	0.0
LISTED ERR	099	SBUX	B	34,401	48.11	n/a	27-Jul	0.00	0.0
HAHN CAPITAL MANAGEMENT	084	SEIC	S	1,250	22.09	n/a	n/a	62.50	5.0
ROYCE TRADING	031	SIVB	S	5,000	57.18	n/a	n/a	250.00	0.0
ROYCE TRADING	031	SVU	B	3,000	2.18	n/a	n/a	90.00	0.0
ROYCE TRADING	031	SWFT	B	2,000	8.45	n/a	n/a	100.00	0.0
ROYCE TRADING	031	SYMM	S	5,000	6.23	n/a	n/a	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	TGI	S	2,589	60.09	n/a	n/a	103.56	0.0
ROYCE TRADING	031	TRN	S	5,000	29.11	n/a	n/a	250.00	0.0
ROYCE TRADING	031	TWGP	B	1,500	18.41	n/a	n/a	75.00	0.0
ROYCE TRADING	031	VLY	B	1,000	9.54	n/a	n/a	50.00	0.0
HAHN CAPITAL MANAGEMENT	084	VRX	S	786	51.63	n/a	n/a	39.30	5.0
HAHN CAPITAL MANAGEMENT	084	WAB	S	422	80.78	n/a	n/a	21.10	5.0
ROYCE TRADING	031	WAIR	S	5,000	14.78	n/a	n/a	250.00	0.0
HAHN CAPITAL MANAGEMENT	084	WDR	S	954	29.31	n/a	2-Mar	47.70	5.0
HAHN CAPITAL MANAGEMENT	084	WFT	S	1,794	12.76	n/a	n/a	89.70	5.0
KENNEDY CAPITAL	046	WPP	B	19,852	9.20	n/a	n/a	595.56	0.0
HAHN CAPITAL MANAGEMENT	084	WU	S	1,962	17.40	n/a	n/a	98.10	5.0
HIGHBRIDGE CAP	041	XLU	SS	7,000	36.50	n/a	n/a	140.00	2.0
HIGHBRIDGE CAP	041	X	SS	14,000	21.70	n/a	n/a	420.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>31,264.22</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/22	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	MU	S	600,000	6.39	n/a	n/a	30000.00 5.0
AO,CRT	08/22	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	MU	S	600,000	6.39	n/a	n/a	24000.00 4.0
AO,CXL	08/22	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	295	VRSK	S	10,000	48.27	n/a	n/a	500.00 5.0
AO,CRT	08/22	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	295	VRSK	S	10,000	48.27	n/a	n/a	400.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-6,100.00</b>

TOTAL (Trade Date) :	31,264.22
TOTAL (AO, CXL, CRT) :	-6,100.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>25,164.22</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