

Daily Compliance Activity Report Trade Date: 07/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

	17 00				TOTENTIAL ANALIST TRADE VIOLATION						
	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
õ	Alice Longley		AAPL	S	7057	72.3700	n/a	n/a	0.00	0.0	
	HIGHBRIDGE CAP	041	AA	SS	19,000	8.27	n/a	n/a	380.00	2.0	
	PRIMECAP MGMT	084	AES	S	232,000	12.01	n/a	n/a	9,280.00	0.0	
	HIGHBRIDGE CAP	041	ALV	В	5,000	56.26	n/a	23-Jul	150.00	3.0	
	ROSEDALE CAPITAL	046	ALV	S	5,000	55.20	n/a	23-Jul	250.00	5.0	
	SCOPUS FUND	041	ALV	В	17,541	55.45	n/a	23-Jul	701.64	0.0	
	SPARTAN	093	AXL	В	10,000	10.62	n/a	7-Jun	300.00	3.0	
	DENVER INST. ADV	046	CHS	В	149,656	15.26	n/a	5-Feb	5,986.24	0.0	
	SANDLER CAPITAL	028	CLH	В	40,000	60.97	n/a	n/a	2,000.00	0.0	
	BASSWOOD PARTNERS	267	CMI	В	13,400	92.41	n/a	11-Jul	536.00	0.0	
	HIGHBRIDGE CAP	041	DOW	SS	5,500	29.13	n/a	27-Jul	165.00	3.0	
	RAINIER INV MGMT	035	FFIV	В	45,420	96.45	n/a	n/a	1,816.80	0.0	
	SCOPUS FUND	041	FNP	В	40,000	11.77	n/a	n/a	1,600.00	0.0	
	HIGHBRIDGE CAP	041	FTI	В	3,300	46.87	n/a	n/a	99.00	3.0	
	OZ MGMT	040	F	В	125,000	8.91	n/a	26-Jul	3,750.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research		¢/Shr.
OZ MGMT	040	F	S	240,993	9.06	n/a	26-Jul	7,229.79	0.0
PHILADELPHIA FINANCIAL	033	F	С	20,000	8.93	n/a	26-Jul	800.00	0.0
SCOPUS FUND	041	GDI	В	60,000	56.23	n/a	n/a	2,400.00	0.0
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BESSEMER INVESTMENT	085	GE	S	2,500	20.66	n/a	n/a	100.00	4.0
LATEEF MGMT	035	HD	S	1,725	53.54	n/a	7–Jun	207.00	12.0
DATEDI MONI	033	110	5	1,725	JJ.J4	11/ 4	7 0 011	207.00	12.0
HIGHBRIDGE CAP	041	HFC	В	7,000	36.69	n/a	n/a	210.00	3.0
LONG OAR GLOBAL INV	040	HPQ	В	136,090	18.18	n/a	n/a	5,443.60	4.0
TROUBH PART	070	HTZ	S	10,000	11.35	n/a	n/a	500.00	5.0
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EMPYREAN CAPITAL	084	IP	В	100,000	33.20	n/a	27-Jul	3,000.00	0.0
CAERUS GLOBAL	041	IWM	SS	4,000	79.21	n/a	n/a	160.00	4.0
CALICO GLODAL	041	TWII	55	4,000	73.21	11/ 4	11/ α	100.00	4.0
BASSWOOD PARTNERS	267	JCI	В	8,300	25.09	n/a	20-Jul	332.00	0.0
RAINIER INV MGMT	035	JLL	В	34,130	67.57	n/a	n/a	1,365.20	0.0
NEW JERSEY DIV OF INV.	030	KEX	S	25,000	53.70	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	KMT	В	10,000	37.70	n/a	n/a	300.00	3.0
CDEEN ADDOM DOMC	0.4.0	T 70 D	D	10 000	27 72	- /-	- /-	400.00	0 0
GREEN ARROW DOUG	040	LAD	В	10,000	27.72	n/a	n/a	400.00	0.0
WOOSTER CAPITAL	035	LEA	S	25,000	36.34	n/a	4-May	1,250.00	5.0
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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
NEUBERGER BERMAN	036	MANH	В	3,145	47.28	n/a	n/a	125.80	0.0
BRIGADE CAPITAL MGMT	029	MGM	SS	25,000	9.44	n/a	13-Jun	750.00	0.0
HIGHBRIDGE CAP	041	NOV	В	7,098	73.54	n/a	n/a	212.94	3.0
SENATOR INVESTMENT GROUP	036	NWL	В	40,000	17.93	n/a	n/a	1,200.00	3.0
NORTHWESTERN MUTUAL LIFE	047	OXY	В	101,325	88.29	n/a	n/a	4,053.00	0.0
NEW JERSEY DIV OF INV.	030	PLD	В	25,000	32.66	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	POT	S	10,000	46.12	n/a	n/a	300.00	3.0
SCOPUS FUND	041	PVH	S	35,282	80.53	n/a	18-Jul	1,411.28	0.0
COLUMBUS CIRCLE	036	QGEN	В	1,795	17.97	n/a	n/a	71.80	0.0
CATAPULT	040	RGC	S	13,000	13.76	n/a	n/a	520.00	0.0
BAIRD INVESTMENT	047	SBUX	В	5 , 570	46.41	n/a	27-Jul	278.50	0.0
HIGHBRIDGE CAP	041	SDRL	S	6,500	39.66	n/a	n/a	195.00	3.0
CAERUS GLOBAL	041	SFD	В	4,964	17.96	n/a	n/a	198.56	4.0
HIGHBRIDGE CAP	041	SPN	В	9,000	22.74	n/a	n/a	270.00	3.0
SCOPUS FUND	041	SPW	В	20,500	62.54	n/a	n/a	820.00	0.0
	NEUBERGER BERMAN BRIGADE CAPITAL MGMT HIGHBRIDGE CAP SENATOR INVESTMENT GROUP NORTHWESTERN MUTUAL LIFE NEW JERSEY DIV OF INV. HIGHBRIDGE CAP SCOPUS FUND COLUMBUS CIRCLE CATAPULT BAIRD INVESTMENT HIGHBRIDGE CAP CAERUS GLOBAL HIGHBRIDGE CAP	NEUBERGER BERMAN 036 BRIGADE CAPITAL MGMT 029 HIGHBRIDGE CAP 041 SENATOR INVESTMENT GROUP 036 NORTHWESTERN MUTUAL LIFE 047 NEW JERSEY DIV OF INV. 030 HIGHBRIDGE CAP 041 SCOPUS FUND 041 COLUMBUS CIRCLE 036 CATAPULT 040 BAIRD INVESTMENT 047 HIGHBRIDGE CAP 041 CAERUS GLOBAL 041 HIGHBRIDGE CAP 041 HIGHBRIDGE CAP 041	NEUBERGER BERMAN 036 MANH BRIGADE CAPITAL MGMT 029 MGM HIGHBRIDGE CAP 041 NOV SENATOR INVESTMENT GROUP 036 NWL NORTHWESTERN MUTUAL LIFE 047 OXY NEW JERSEY DIV OF INV. 030 PLD HIGHBRIDGE CAP 041 POT SCOPUS FUND 041 PVH COLUMBUS CIRCLE 036 QGEN CATAPULT 040 RGC BAIRD INVESTMENT 047 SBUX HIGHBRIDGE CAP 041 SDRL CAERUS GLOBAL 041 SFD HIGHBRIDGE CAP 041 SPN	NEUBERGER BERMAN BRIGADE CAPITAL MGMT HIGHBRIDGE CAP SENATOR INVESTMENT GROUP NORTHWESTERN MUTUAL LIFE NORTHWESTERN MUTUAL LIFE NEW JERSEY DIV OF INV. O30 PLD B HIGHBRIDGE CAP O41 POT S SCOPUS FUND O41 PVH S COLUMBUS CIRCLE O36 QGEN B CATAPULT O40 RGC S BAIRD INVESTMENT O47 SBUX B HIGHBRIDGE CAP O41 SDRL S CAERUS GLOBAL HIGHBRIDGE CAP O41 SPN B	NEUBERGER BERMAN 036 MANH B 3,145 BRIGADE CAPITAL MGMT 029 MGM SS 25,000 HIGHBRIDGE CAP 041 NOV B 7,098 SENATOR INVESTMENT GROUP 036 NWL B 40,000 NORTHWESTERN MUTUAL LIFE 047 OXY B 101,325 NEW JERSEY DIV OF INV. 030 PLD B 25,000 HIGHBRIDGE CAP 041 POT S 10,000 SCOPUS FUND 041 PVH S 35,282 COLUMBUS CIRCLE 036 QGEN B 1,795 CATAPULT 040 RGC S 13,000 BAIRD INVESTMENT 047 SBUX B 5,570 HIGHBRIDGE CAP 041 SDRL S 6,500 CAERUS GLOBAL 041 SPN B 4,964 HIGHBRIDGE CAP 041 SPN B 9,000	NEUBERGER BERMAN 036 MANH B 3,145 47.28 BRIGADE CAPITAL MGMT 029 MGM SS 25,000 9.44 HIGHBRIDGE CAP 041 NOV B 7,098 73.54 SENATOR INVESTMENT GROUP 036 NWL B 40,000 17.93 NORTHWESTERN MUTUAL LIFE 047 OXY B 101,325 88.29 NEW JERSEY DIV OF INV. 030 PLD B 25,000 32.66 HIGHBRIDGE CAP 041 POT S 10,000 46.12 SCOPUS FUND 041 PVH S 35,282 80.53 COLUMBUS CIRCLE 036 QGEN B 1,795 17.97 CATAPULT 040 RGC S 13,000 13.76 BAIRD INVESTMENT 047 SBUX B 5,570 46.41 HIGHBRIDGE CAP 041 SDRL S 6,500 39.66 CAERUS GLOBAL 041 SPN B	NEUBERGER BERMAN 036 MANH B 3,145 47.28 n/a BRIGADE CAPITAL MGMT 029 MGM SS 25,000 9.44 n/a HIGHBRIDGE CAP 041 NOV B 7,098 73.54 n/a SENATOR INVESTMENT GROUP 036 NWL B 40,000 17.93 n/a NORTHWESTERN MUTUAL LIFE 047 OXY B 101,325 88.29 n/a NEW JERSEY DIV OF INV. 030 PLD B 25,000 32.66 n/a HIGHBRIDGE CAP 041 POT S 10,000 46.12 n/a SCOPUS FUND 041 PVH S 35,282 80.53 n/a COLUMBUS CIRCLE 036 QGEN B 1,795 17.97 n/a CATAPULT 040 RGC S 13,000 13.76 n/a BAIRD INVESTMENT 047 SBUX B 5,570 46.41 n/a HIGHBRIDGE CAP 041 SDRL S 6,500 39.66 n/a CAERUS GLOBAL 041 SFD B 4,964 17.96 n/a HIGHBRIDGE CAP 041 SPN B 9,000 22.74 n/a	NEUBERGER BERMAN 036 MANH B 3,145 47.28 n/a n/a BRIGADE CAPITAL MGMT 029 MGM SS 25,000 9.44 n/a 13-Jun HIGHBRIDGE CAP 041 NOV B 7,098 73.54 n/a n/a SENATOR INVESTMENT GROUP 036 NWL B 40,000 17.93 n/a n/a NORTHWESTERN MUTUAL LIFE 047 OXY B 101,325 88.29 n/a n/a NEW JERSEY DIV OF INV. 030 PLD B 25,000 32.66 n/a n/a HIGHBRIDGE CAP 041 POT S 10,000 46.12 n/a n/a SCOPUS FUND 041 PVH S 35,282 80.53 n/a 18-Jul COLUMBUS CIRCLE 036 QGEN B 1,795 17.97 n/a n/a CATAPULT 040 RGC S 13,000 13.76 n/a n/a BAIRD INVESTMENT 047 SBUX B 5,570 46.41 n/a 27-Jul HIGHBRIDGE CAP 041 SDRL S 6,500 39.66 n/a n/a CAERUS GLOBAL 041 SPD B 4,964 17.96 n/a n/a	NEUBERGER BERMAN 036 MANH B 3,145 47.28 n/a n/a 125.80 BRIGADE CAPITAL MGMT 029 MGM SS 25,000 9.44 n/a 13-Jun 750.00 HICHBRIDGE CAP 041 NOV B 7,098 73.54 n/a n/a 212.94 SENATOR INVESTMENT GROUP 036 NWL B 40,000 17.93 n/a n/a 1,200.00 NORTHWESTERN MUTUAL LIFE 047 OXY B 101,325 88.29 n/a n/a 1,000.00 NEW JERSEY DIV OF INV. 030 PLD B 25,000 32.66 n/a n/a 1,000.00 HIGHBRIDGE CAP 041 POT S 10,000 46.12 n/a n/a 300.00 SCOPUS FUND 041 PVH S 35,282 80.53 n/a 18-Jul 1,411.28 CATAPULT 040 RGC S 13,000 13.76 n/a n/a

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	NEUBERGER BERMAN	036	TNC	В	7,200	38.75	n/a	n/a	288.00	0.0
õ	Nilsa Vazquez		TRN	s	2	1.6000	n/a	n/a	0.00	0.0
	APEX CAPITAL MGMT.	261	TYC	В	60,000	53.52	n/a	14-Jun	2,400.00	0.0
	CSFB GLOBAL PROPRIETARY	041	WY	S	60,000	23.36	n/a	27-Jul	3,000.00	5.0
	FIRST NEW YORK NICK	029	WY	В	10,000	23.59	n/a	27-Jul	500.00	5.0
	HIGHBRIDGE CAP	041	WY	S	15,000	23.57	n/a	27-Jul	450.00	3.0
	KADE CAPITAL LLC	028	WY	S	7,500	23.78	n/a	27-Jul	375.00	5.0
	CATAPULT	040	YUM	В	4,150	66.34	n/a	19-Jul	166.00	0.0

TOTAL (Trade Date): 70,298.15

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	07/26	KAYNE ANDERSON ADV (KAYNKO1123)	084	CNS	В	10,000	33.01	n/a	n/a	400.00	0.0
AO,CXL	07/26	FARALLON CAP MGMT (FARABULK F)	040	MSFT	S	72,000	29.26	n/a	n/a	2880.00	4.0
AO,CRT	07/26	FARALLON CAP MGMT (FARABULK F)	040	MSFT	S	72,000	29.26	n/a	n/a	2160.00	3.0
AO,	07/26	WINSLOW CAPITAL (WINS113)	030	PCP	В	100	158.49	n/a	20-Jul	3.00	0.0
AO,CXL	07/26	WINSLOW CAPITAL (WINS112)	030	PCP	В	100	158.49	n/a	20-Jul	3.00	0.0
TOTAL	(AO, (CXL, CRT):							_	-320.00	

TOTAL (RUN DATE) / NFS:	69,978.15
TOTAL (AO, CXL, CRT):	-320.00
TOTAL (Trade Date):	70,298.15

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