



Daily Compliance Activity Report

Trade Date: 07/30/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	AA	B	275	8.44	n/a	n/a	27.50	10.0
CATAPULT	040	AGN	S	10,480	85.54	n/a	30-Jul	419.20	0.0
WINSLOW CAPITAL	030	ALTR	S	200	35.19	n/a	n/a	6.00	3.0
HIGHBRIDGE CAP	041	ALV	B	4,500	56.97	n/a	23-Jul	135.00	3.0
WINSLOW CAPITAL	030	AMT	S	200	72.35	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	AMZN	S	100	235.31	n/a	n/a	3.00	3.0
KLEINHEINZ CAP PART	031	ANF	S	100,000	35.45	n/a	17-May	5,000.00	5.0
LATEEF MGMT	035	ATI	S	175	29.96	n/a	20-Jul	35.00	20.0
WINSLOW CAPITAL	030	BEN	S	100	115.06	n/a	2-Mar	3.00	3.0
HOLLIS CAPITAL	033	BHI	B	3,000	47.34	n/a	n/a	150.00	5.0
WINSLOW CAPITAL	030	BIIB	S	100	149.13	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	BWA	S	100	67.12	n/a	27-Jul	3.00	3.0
RBC CAPITAL MARKETS	040	BWLD	B	11,000	72.89	n/a	n/a	440.00	4.0
WINSLOW CAPITAL	030	CAT	S	100	85.44	n/a	11-Jul	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CBS	S	200	33.47	n/a	n/a	6.00	3.0
FRONTIER	029	CCI	B	99,920	62.32	n/a	n/a	3,996.80	0.0
RBC CAPITAL MARKETS	040	CCL	B	6,000	33.84	n/a	n/a	240.00	4.0
WINSLOW CAPITAL	030	CELG	S	100	69.88	n/a	n/a	3.00	3.0
DENVER INST. ADV	046	CHS	B	29,994	15.52	n/a	5-Feb	1,199.76	0.0
BRONSON POINT	036	CNW	B	100,000	35.67	n/a	n/a	3,000.00	0.0
BNP PARIBAS SEC	040	CNX	B	20,000	29.49	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	COG	S	100	42.43	n/a	25-Jul	3.00	3.0
WINSLOW CAPITAL	030	COH	S	100	60.56	n/a	18-Jul	3.00	3.0
WINSLOW CAPITAL	030	CRM	S	100	127.13	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CVS	S	200	45.00	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	DHR	S	300	52.70	n/a	n/a	9.00	3.0
APEX CAPITAL MGMT.	261	DVN	SS	50,000	59.42	n/a	23-Jul	2,000.00	0.0
CATAPULT	040	EAT	B	23,390	32.55	n/a	13-Jul	935.60	0.0
WINSLOW CAPITAL	030	EBAY	S	200	45.53	n/a	n/a	6.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ECL	S	300	68.15	n/a	9-May	9.00	3.0
WINSLOW CAPITAL	030	EL	S	100	53.65	n/a	10-Jul	3.00	3.0
WINSLOW CAPITAL	030	ESRX	S	100	57.72	n/a	n/a	3.00	3.0
FIRST NY SEC/CHRIS	041	ETH	B	7,000	20.31	n/a	n/a	350.00	5.0
WEINTRAUB CAPITAL MGT.	084	FBHS	B	50,000	22.32	n/a	n/a	2,000.00	4.0
WINSLOW CAPITAL	030	FLR	S	300	49.98	n/a	n/a	9.00	3.0
RBC CAPITAL MARKETS	040	FL	B	10,000	33.45	n/a	18-May	400.00	4.0
HIGHBRIDGE CAP	041	FTI	B	3,500	46.05	n/a	n/a	105.00	3.0
WINSLOW CAPITAL	030	FTI	S	200	46.03	n/a	n/a	6.00	3.0
CATAPULT	040	GES	S	17,854	30.51	n/a	18-Jul	714.16	0.0
LATEEF MGMT	035	GLW	S	250	11.43	n/a	27-Jul	27.50	11.0
RBC CAPITAL MARKETS	040	HAIN	B	11,000	56.91	n/a	n/a	440.00	4.0
DELTEC ASSET MGMT.	040	HAL	B	10,000	33.43	n/a	n/a	500.00	5.0
CAVOLEPH	085	HNZ	S	2,000	55.50	n/a	n/a	80.00	4.0
LATEEF MGMT	035	HON	S	125	58.37	n/a	18-Jul	30.00	24.0
WINSLOW CAPITAL	030	INTU	S	100	58.54	n/a	n/a	3.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EMPYREAN CAPITAL	084	IP	B	150,000	32.89	n/a	27-Jul	4,500.00	3.0
WINSLOW CAPITAL	030	ITW	S	300	54.57	n/a	n/a	9.00	3.0
LATEEF MGMT	035	JCI	B	175	24.75	n/a	20-Jul	35.00	20.0
CATAPULT	040	JWN	B	6,528	53.99	n/a	27-Jul	261.12	0.0
CATAPULT	040	KBH	S	14,100	9.76	n/a	n/a	564.00	0.0
MERRILL ASSET/BLACKROCK	297	KMPR	B	14,728	32.77	n/a	n/a	589.12	0.0
HIGHBRIDGE CAP	041	KMT	B	2,700	37.34	n/a	n/a	81.00	3.0
WINSLOW CAPITAL	030	KORS	S	100	41.03	n/a	n/a	3.00	3.0
CAVOLEPH	085	KSS	S	1,300	50.15	n/a	27-Jul	52.00	4.0
CATAPULT/KGLT	040	LNG	S	25,000	13.68	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	LNKD	S	100	104.24	n/a	n/a	3.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	115,000	11.04	n/a	20-Jul	5,750.00	5.0
WATERFRONT CAP	028	LPX	S	50,000	11.04	n/a	20-Jul	2,000.00	0.0
WINSLOW CAPITAL	030	LVS	S	100	37.18	n/a	13-Jun	3.00	3.0
CATAPULT	040	MAR	SS	9,400	36.65	n/a	13-Jun	376.00	0.0
DALTON GREINER	070	MLI	B	14,847	42.25	n/a	26-Jul	742.35	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	MON	S	100	85.96	n/a	23-Jul	3.00	3.0
RBC CAPITAL MARKETS	040	MTN	SS	11,000	49.90	n/a	n/a	440.00	4.0
RBC CAPITAL MARKETS	040	NKE	B	5,000	96.02	n/a	29-Jun	200.00	4.0
HIGHBRIDGE CAP	041	NOV	B	2,000	73.61	n/a	n/a	60.00	3.0
LATEEF MGMT	035	NYB	B	350	12.83	n/a	25-Jul	35.00	10.0
WINSLOW CAPITAL	030	ORLY	S	100	86.28	n/a	n/a	3.00	3.0
RBC CAPITAL MARKETS	040	PENN	SS	8,000	39.27	n/a	n/a	320.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	S	36,370	30.63	n/a	20-Jul	1,818.50	0.0
WINSLOW CAPITAL	030	QCOM	S	200	59.44	n/a	n/a	6.00	3.0
RBC CAPITAL MARKETS	040	RAH	SS	4,000	59.41	n/a	n/a	160.00	4.0
CATAPULT	040	ROP	B	3,928	106.60	n/a	n/a	157.12	0.0
WINSLOW CAPITAL	030	ROST	S	100	67.20	n/a	27-Jul	3.00	3.0
WINSLOW CAPITAL	030	RRC	S	100	63.83	n/a	23-Jul	3.00	3.0
WINSLOW CAPITAL	030	SBAC	S	100	59.23	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	SBUX	S	300	46.76	n/a	27-Jul	9.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	SJM	SS	8,000	77.17	n/a	n/a	320.00	4.0
LATEEF MGMT	035	SPLS	S	300	12.71	n/a	n/a	30.00	10.0
JETSTREAM GLOBAL FUND LP	065	TITN	S	6,200	29.25	n/a	n/a	310.00	5.0
NEUBERGER BERMAN	036	TNC	B	10,500	40.81	n/a	n/a	420.00	0.0
RBC CAPITAL MARKETS	040	TUP	B	7,000	53.80	n/a	n/a	280.00	4.0
LATEEF MGMT	035	UAL	B	125	19.03	n/a	n/a	25.00	20.0
RBC CAPITAL MARKETS	040	UA	B	4,000	55.33	n/a	25-Jul	160.00	4.0
WINSLOW CAPITAL	030	UNH	S	100	53.02	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	UNP	S	100	122.94	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	UTX	S	200	74.91	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	VMW	B	100	93.09	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	VRSN	S	100	45.87	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	V	S	300	130.88	n/a	26-Jul	9.00	3.0
CATAPULT	040	WHR	B	3,337	69.03	n/a	n/a	133.48	0.0
SENATOR INVESTMENT GROUP	036	WMB	B	100,000	31.65	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	WRI	S	125	26.80	n/a	n/a	30.00	24.0
CLOVIS CAPITAL	033	WSH	B	140,000	37.16	n/a	n/a	4,200.00	3.0
COHE & STEERS	041	WY	S	44,500	23.56	n/a	27-Jul	1,335.00	0.0
CATAPULT	040	XLU	SS	22,480	38.26	n/a	n/a	899.20	0.0
HIGHBRIDGE CAP	041	XLU	SS	5,250	38.22	n/a	n/a	157.50	3.0
BRONSON POINT	036	YUM	SS	25,000	66.47	n/a	19-Jul	750.00	0.0
CATAPULT	040	YUM	SS	5,021	66.17	n/a	19-Jul	200.84	0.0
WINSLOW CAPITAL	030	YUM	S	100	66.53	n/a	19-Jul	3.00	3.0
TOTAL (Trade Date):								54,794.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	------	--------	-----	--------	-------	--------------	-------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (Trade Date):									54,794.75
---------------------	--	--	--	--	--	--	--	--	-----------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									54,794.75
-------------------------	--	--	--	--	--	--	--	--	-----------

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