



Daily Compliance Activity Report

Trade Date: 06/08/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ACC	S	6,976	43.87	n/a	n/a	279.04	4.0
ARSENAL ASSET MANAGEMENT	028	ASH	B	10,000	64.31	n/a	24-Apr	400.00	4.0
DAVIDSON INV ADV	035	ATI	B	27,585	30.07	n/a	6-Jun	1,103.40	4.0
GEORGE WEISS	034	BJRI	B	24,000	41.82	n/a	n/a	720.00	3.0
AMBER CAPITAL	046	BKU	S	10,913	22.56	n/a	n/a	436.52	4.0
COHE & STEERS	041	BKU	B	39,170	22.74	n/a	n/a	1,175.10	3.0
ROTHSCHILD ASSET	040	CMI	S	23,041	96.01	n/a	2-May	921.64	4.0
ARSENAL ASSET MANAGEMENT	028	CSX	SS	15,000	20.70	n/a	n/a	600.00	4.0
T. ROWE PRICE	033	DLTR	B	17,700	106.66	n/a	18-May	708.00	4.0
BARROW HANLEY MEWHINNEY	031	D	S	188,000	53.12	n/a	n/a	6,580.00	3.5
NORTHWESTERN MUTUAL LIFE	047	EL	S	72,700	54.93	n/a	7-May	2,908.00	4.0
DAVIDSON KEMPNER ADVISOR	040	ENB	C	20,000	37.83	n/a	n/a	600.00	3.0
SCOPUS FUND	041	FDO	S	1,300	70.03	n/a	5-Jun	52.00	4.0
ROYCE TRADING	031	FINL	B	2,000	19.62	n/a	31-May	100.00	5.0
KLEINHEINZ CAP PART	031	GIL	B	50,000	25.19	n/a	4-May	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	IN	B	2,700	6.28	n/a	n/a	108.00	4.0
CRAMER ROSENTHAL	070	JPM	B	400	33.55	n/a	5-Jun	16.00	4.0
GEORGE WEISS	034	JWN	S	8,200	48.75	n/a	8-Jun	328.00	4.0
LEVIN CAPITAL STRATEGIES	041	JWN	B	25,250	48.23	n/a	8-Jun	757.50	3.0
TUDOR INVESTORS	028	JWN	B	50,000	48.78	n/a	8-Jun	1,500.00	3.0
CRAMER ROSENTHAL	070	KFT	B	100	38.25	n/a	n/a	4.00	4.0
COHE & STEERS	041	KIM	S	156,500	18.27	n/a	n/a	4,695.00	3.0
DONALD SMITH	088	LPX	S	962,200	9.63	n/a	7-May	28,866.00	3.0
LISTED ERR	099	LPX	B	27	9.54	n/a	7-May	0.00	0.0
LISTED ERR	099	LPX	S	54	9.63	n/a	7-May	0.00	0.0
CRAMER ROSENTHAL	070	MRK	B	200	38.40	n/a	n/a	8.00	4.0
PERRY PARTNERS	085	MS	B	50,000	13.50	n/a	5-Jun	2,000.00	4.0
CRAMER ROSENTHAL	070	MWW	B	2,900	8.17	n/a	n/a	116.00	4.0
TUDOR INVESTORS	028	M	SS	32,500	37.11	n/a	1-Jun	975.00	3.0
CRAMER ROSENTHAL	070	NI	B	300	25.29	n/a	n/a	12.00	4.0
CRAMER ROSENTHAL	070	NOV	B	100	67.09	n/a	n/a	4.00	4.0
FORTRESS INVESTMENT (US)	036	OIH	SS	30,000	34.97	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	PEP	B	100	68.16	n/a	n/a	4.00	4.0
ROYCE TRADING	031	PLCE	B	500	45.57	n/a	5-Jun	25.00	5.0
CRAMER ROSENTHAL	070	PMTC	B	400	20.65	n/a	n/a	16.00	4.0
CRAMER ROSENTHAL	070	PNC	B	100	59.11	n/a	n/a	4.00	4.0
ARSENAL ASSET MANAGEMENT	028	PPG	B	5,000	102.05	n/a	25-May	200.00	4.0
CRAMER ROSENTHAL	070	QCOM	B	200	58.59	n/a	n/a	8.00	4.0
CRAMER ROSENTHAL	070	RYN	B	200	43.12	n/a	3-May	8.00	4.0
SIMMONS VENTURES	041	SKS	SS	10,000	10.15	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL	070	SO	B	100	47.26	n/a	n/a	4.00	4.0
CRAMER ROSENTHAL	070	STI	B	200	22.03	n/a	n/a	8.00	4.0
ARSENAL ASSET MANAGEMENT	028	TRN	SS	10,000	24.66	n/a	n/a	400.00	4.0
1798 CAP/LOMBARD ASSET	040	TWI	B	20,000	21.59	n/a	n/a	1,000.00	5.0
WEINTRAUB CAPITAL MGT.	269	TZOO	B	17,500	23.42	n/a	n/a	700.00	4.0
CRAMER ROSENTHAL	070	T	B	200	34.51	n/a	n/a	8.00	4.0
ARSENAL ASSET MANAGEMENT	028	VAL	B	7,516	48.68	n/a	n/a	300.64	4.0

TOTAL (Trade Date):

62,758.84

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/07	SCOPUS FUND (SCOPGS)	041	NWY	S	3,000	3.54	n/a	n/a	120.00 4.0
AO,CRT	06/07	SCOPUS FUND (SCOPGS)	041	NWY	S	3,000	3.54	n/a	n/a	90.00 3.0
AO,CXL	06/07	SCOPUS FUND (SCOPUBS)	041	NWY	S	47,000	3.54	n/a	n/a	1880.00 4.0
AO,CRT	06/07	SCOPUS FUND (SCOPUBS)	041	NWY	S	47,000	3.54	n/a	n/a	1410.00 3.0
CRT	06/08	SIMMONS VENTURES (SIMMJPM)	041	SKS	SS	10,000	10.15	n/a	n/a	400.00 4.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (Trade Date) :	62,758.84
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS:	62,658.84
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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