



Daily Compliance Activity Report

Trade Date: 08/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OHIO PERS	047	ACGL	B	16,793	40.58	n/a	n/a	503.79	0.0
KENNEDY CAPITAL	046	ALE	S	3,730	40.86	n/a	n/a	149.20	0.0
LATEEF MGMT	035	ATI	B	750	30.29	n/a	7-Aug	75.00	10.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	50,000	10.99	n/a	30-Jul	2,000.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	AXL	B	5,899	11.04		n/a 30-Jul	176.97	3.0
KENNEDY CAPITAL	046	BDN	S	11,769	12.12	n/a	n/a	470.76	0.0
JANA CAPITAL	044	BKS	S	50,000	12.04	n/a	n/a	2,000.00	0.0
PROSPECTOR PARTNERS LLC	036	CAG	B	10,000	25.06	n/a	n/a	400.00	4.0
OHIO PERS	047	CMCSA	S	19,307	33.98	n/a	n/a	579.21	0.0
KENNEDY CAPITAL	046	CMTL	S	5,002	28.30	n/a	n/a	200.08	0.0
RBC CAPITAL MARKETS	040	COH	SS	15,000	55.34	n/a	1-Aug	600.00	4.0
RBC CAPITAL MARKETS	040	DG	SS	10,000	48.79	n/a	27-Jun	400.00	4.0
FORTRESS INVESTMENT (US)	036	DOV	SS	34,000	57.75	n/a	n/a	680.00	0.0
FORTRESS INVESTMENT (US)	036	DOW	SS	5,000	29.40	n/a	10-Aug	100.00	0.0
RBC CAPITAL MARKETS	040	EL	SS	15,000	60.07	n/a	14-Aug	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	EMN	S	29,200	55.51	n/a	n/a	876.00	3.0
FORTRESS INVESTMENT (US)	036	EMR	SS	57,000	51.64	n/a	n/a	1,140.00	0.0
FORTRESS INVESTMENT (US)	036	ETN	B	22,000	46.18	n/a	15-Aug	440.00	0.0
FORTRESS INVESTMENT (US)	036	FAST	B	22,000	44.41	n/a	n/a	440.00	0.0
LEVIN CAPITAL STRATEGIES	041	FDO	S	30,300	61.64	n/a	19-Jul	909.00	0.0
FORTRESS INVESTMENT (US)	036	FLS	B	7,000	128.40	n/a	n/a	140.00	0.0
CSFB GLOBAL PROPRIETARY	041	FOR	S	25,000	14.15	n/a	15-Aug	1,250.00	5.0
KENNEDY CAPITAL	046	FRME	S	8,723	14.06	n/a	n/a	348.92	0.0
ARSENAL ASSET MANAGEMENT	028	F	B	25,000	9.43	n/a	2-Aug	1,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	F	B	25,000	9.44		n/a 2-Aug	750.00	3.0
FORTRESS INVESTMENT (US)	036	GE	B	42,000	20.90	n/a	n/a	840.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GGP	S	5,000	20.17		n/a n/a	150.00	3.0
LATEEF MGMT	035	GLW	B	500	11.58	n/a	20-Aug	50.00	10.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GM	B	25,000	21.34		n/a 3-Aug	750.00	3.0
NEUBERGER BERMAN	036	GTLS	S	20,504	70.22	n/a	n/a	820.16	0.0
LATEEF MGMT	035	HPQ	B	150	17.53	n/a	n/a	25.50	17.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	HPQ	S	250	17.52	n/a	n/a	25.00	10.0
KENNEDY CAPITAL	046	ICLR	B	552	23.10	n/a	n/a	22.08	0.0
KENNEDY CAPITAL	046	IPHS	S	329	46.90	n/a	n/a	13.16	0.0
FORTRESS INVESTMENT (US)	036	IP	B	28,000	34.46	n/a	20-Aug	560.00	0.0
STRONG/MARK GRONET	030	ITPOF	S	35,900	8.11	n/a	n/a	1,077.00	0.0
SCOPUS FUND	041	ITW	B	25,000	60.21	n/a	n/a	1,000.00	4.0
LATEEF MGMT	035	JCI	S	500	27.00	n/a	20-Jul	50.00	10.0
NICOLAS APPELGATE	084	KNXA	S	52,500	45.79	n/a	n/a	2,100.00	0.0
BRANDWINE	028	KR	B	212,500	22.00	n/a	n/a	8,500.00	0.0
BALLAST CAP	040	KSS	B	19,000	52.77	n/a	24-Aug	950.00	0.0
MERRILL ASSET/BLACKROCK	297	LNC	S	4,900	23.90	n/a	n/a	196.00	0.0
BALYASNY ASSET MGMT	044	LULU	SS	10,000	64.21	n/a	7-Jun	500.00	0.0
NEUBERGER BERMAN	036	MATW	S	9,200	29.80	n/a	n/a	368.00	0.0
FORTRESS INVESTMENT (US)	036	MMM	SS	21,000	92.54	n/a	10-Aug	420.00	0.0
KENNEDY CAPITAL	046	MMSI	S	10,721	14.19	n/a	n/a	428.84	0.0
FORTRESS INVESTMENT (US)	036	MTW	S	75,000	12.56	n/a	11-Jul	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIMMONS VENTURES	041	M	B	7,500	39.49	n/a	24-Aug	300.00	4.0
CSFB GLOBAL PROPRIETARY	041	NP	S	10,000	28.02	n/a	14-Aug	500.00	0.0
KENNEDY CAPITAL	046	NP	B	7,300	28.00	n/a	14-Aug	292.00	0.0
FORTRESS INVESTMENT (US)	036	NSC	SS	21,000	73.35	n/a	n/a	420.00	0.0
COATUE MANAGEMENT	040	NWSA	B	100,000	23.42	n/a	n/a	5,000.00	0.0
LATEEF MGMT	035	OI	B	200	18.02	n/a	n/a	30.00	15.0
1798 CAP/LOMBARD ASSET	040	PHM	B	30,000	13.61	n/a	n/a	1,500.00	0.0
FORTRESS INVESTMENT (US)	036	PH	SS	13,000	81.48	n/a	n/a	260.00	0.0
LATEEF MGMT	035	PKG	S	125	31.99	n/a	20-Aug	25.00	20.0
KENNEDY CAPITAL	046	PMTC	B	446	21.08	n/a	n/a	17.84	0.0
NEUBERGER BERMAN	036	POOL	B	25,000	38.43	n/a	n/a	1,000.00	0.0
KENNEDY CAPITAL	046	POR	S	5,506	27.03	n/a	n/a	220.24	0.0
KENNEDY CAPITAL	046	PRX	S	3,058	49.79	n/a	27-Aug	122.32	0.0
KENNEDY CAPITAL	046	PSS	S	6,024	21.64	n/a	n/a	240.96	0.0
KENNEDY CAPITAL	046	RCII	B	156	36.36	n/a	n/a	6.24	0.0
MERRILL ASSET/BLACKROCK	297	RF	S	16,200	7.20	n/a	n/a	648.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	RHI	B	122,400	27.15	n/a	n/a	4,896.00	0.0
FORTRESS INVESTMENT (US)	036	RKT	B	11,000	66.62	n/a	20-Aug	220.00	0.0
LATEEF MGMT	035	RKT	S	500	66.33	n/a	20-Aug	50.00	10.0
FORTRESS INVESTMENT (US)	036	RTN	B	18,000	56.33	n/a	30-Jul	360.00	0.0
TOURMALINE PARTNERS CHRIS	041	SEE	B	20,000	13.19	n/a	2-Jun	600.00	0.0
LATEEF MGMT	035	SFG	B	125	30.72	n/a	n/a	25.00	20.0
ARSENAL ASSET MANAGEMENT	028	SPR	SS	10,000	24.99	n/a	3-Aug	400.00	0.0
COATUE MANAGEMENT	040	SWY	SS	250,000	15.45	n/a	n/a	12,500.00	0.0
KLEINHEINZ CAP PART	031	SWY	S	150,000	15.47	n/a	n/a	7,500.00	5.0
FORTRESS INVESTMENT (US)	036	TKR	SS	36,000	40.72	n/a	n/a	720.00	0.0
FORTRESS INVESTMENT (US)	036	TRMB	SS	12,000	48.06	n/a	n/a	240.00	0.0
NEUBERGER BERMAN	036	TRMB	S	9,000	46.73	n/a	n/a	360.00	0.0
LATEEF MGMT	035	TSN	B	150	15.04	n/a	n/a	25.50	17.0
FORTRESS INVESTMENT (US)	036	TYC	B	17,000	56.87	n/a	3-Aug	340.00	0.0
PROSPECTOR PARTNERS LLC	036	UFS	B	5,000	72.07	n/a	n/a	200.00	4.0
KENNEDY CAPITAL	046	UIL	S	4,229	35.52	n/a	n/a	169.16	0.0
FORTRESS INVESTMENT (US)	036	UPS	SS	14,000	75.26	n/a	n/a	280.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	VRA	B	25,000	23.38	n/a	n/a	750.00	3.0
KENNEDY CAPITAL	046	WAB	S	1,767	79.52	n/a	n/a	70.68	0.0
FORTRESS INVESTMENT (US)	036	WBC	B	18,000	58.37	n/a	27-Jul	360.00	0.0
FORTRESS INVESTMENT (US)	036	WCC	SS	14,000	58.97	n/a	n/a	280.00	0.0
SCOPUS FUND	041	WRC	B	40,400	48.79	n/a	7-Aug	1,616.00	4.0
CSFB GLOBAL PROPRIETARY	041	WY	S	75,000	24.69	n/a	27-Jul	3,750.00	5.0
FORTRESS INVESTMENT (US)	036	XLI	SS	28,000	36.62	n/a	n/a	560.00	0.0
TOTAL (Trade Date) :								83,429.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									83,429.61
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									83,429.61
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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