



Daily Compliance Activity Report

Trade Date: 08/15/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AIG	B	255,920	34.22	n/a	n/a	10,236.80	0.0
SPARTAN	093	AXL	S	10,000	10.86	n/a	30-Jul	300.00	0.0
GREEN ARROW DOUG	040	BBY	S	30,000	19.33	n/a	n/a	1,200.00	0.0
RBC CAPITAL MARKETS	040	BLMN	B	8,000	12.95	n/a	n/a	320.00	4.0
RBC CAPITAL MARKETS	040	BWLD	B	13,000	73.52	n/a	n/a	520.00	4.0
RBC CAPITAL MARKETS	040	CCL	B	7,000	33.75	n/a	n/a	280.00	4.0
NEUBERGER BERMAN	036	CHS	B	22,400	16.00	n/a	5-Feb	896.00	0.0
SENATOR INVESTMENT GROUP	036	CVH	B	50,000	32.62	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	FL	B	5,000	34.46	n/a	8-Aug	200.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.21	n/a	15-Aug	400.00	4.0
ROYCE TRADING	031	FOR	B	20,000	12.22	n/a	15-Aug	1,000.00	0.0
FORTRESS INVESTMENT (US)	036	GDI	S	26,000	61.25	n/a	n/a	520.00	0.0
OZ MGMT	040	GM	C	20,590	20.32	n/a	3-Aug	617.70	0.0
BASSWOOD PARTNERS	267	HOG	B	15,600	41.38	n/a	n/a	624.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.76	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	JPM	B	294,600	37.21	n/a	15-Aug	10,311.00	0.0
WATERFRONT CAP	028	KR	SS	27,200	22.08	n/a	n/a	1,088.00	0.0
ROSEDALE CAPITAL	046	LOW	SS	20,000	26.96	n/a	10-Aug	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	10,000	12.64	n/a	31-Jul	500.00	5.0
WATERFRONT CAP	028	MAR	SS	49,000	36.77	n/a	13-Jun	1,960.00	0.0
NEUBERGER BERMAN	036	MATW	S	3,843	29.69	n/a	n/a	153.72	0.0
RBC CAPITAL MARKETS	040	MTN	SS	16,000	50.00	n/a	n/a	640.00	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.57	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	PENN	SS	19,000	38.33	n/a	n/a	760.00	4.0
BALYASNY ASSET MGMT	044	PFE	B	25,000	24.09	n/a	n/a	1,250.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	75,000	31.87	n/a	20-Jul	3,750.00	5.0
NOMURA CAPITAL	029	PTGI	S	2,990	14.90	n/a	n/a	89.70	3.0
NOMURA CAPITAL	029	QLTY	S	2,504	10.06	n/a	n/a	75.12	3.0
RBC CAPITAL MARKETS	040	RAH	SS	25,200	65.55	n/a	n/a	1,008.00	4.0
SHEFFIELD ASSET MGMT	031	RKT	S	7,500	64.59	n/a	26-Jul	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	SAFM	B	6,000	40.06	n/a	n/a	240.00	4.0
ROSEDALE CAPITAL	046	SCHW	B	20,000	12.90	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	SYK	SS	25,000	53.87	n/a	n/a	1,250.00	0.0
SYMPHONY ASSET	033	TE	S	70,000	17.83	n/a	n/a	2,100.00	0.0
OZ MGMT	040	TGT	SS	66,137	64.51	n/a	15-Aug	1,984.11	0.0
RBC CAPITAL MARKETS	040	TUP	B	13,000	53.64	n/a	n/a	520.00	4.0
BARROW HANLEY MEWHINNEY	031	T	S	4,100	37.04	n/a	n/a	143.50	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	23.81	n/a	27-Jul	1,250.00	5.0
TOTAL (Trade Date) :								50,787.65	

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) :									50,787.65
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									50,787.65

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