



## Daily Compliance Activity Report

Trade Date: 08/28/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	200	673.82	n/a	n/a	6.00	0.0
KENNEDY CAPITAL	046	ABFS	S	24,738	9.29	n/a	n/a	742.14	0.0
PZENA INV ADV	044	ABT	S	200	65.71	n/a	n/a	7.00	0.0
OHIO PERS	047	ACAS	B	82,987	11.20	n/a	n/a	2,489.61	0.0
GEORGE WEISS	034	AEO	S	19,000	22.06	n/a	2-Dec	760.00	0.0
PZENA INV ADV	044	ALL	S	575	37.50	n/a	n/a	20.13	0.0
SUN AMERICA ASSET MGMT	030	ARIA	B	3,525	20.27	n/a	n/a	141.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	AXP	B	39,633	57.34	n/a	22-Aug	1,268.25	0.0
PZENA INV ADV	044	AXS	S	1,900	33.66	n/a	n/a	66.50	0.0
PZENA INV ADV	044	BDX	B	825	75.74	n/a	n/a	28.88	0.0
DELTEC ASSET MGMT.	040	BEAV	B	10,000	39.03	n/a	7-Aug	500.00	5.0
PZENA INV ADV	044	BHI	B	7,875	46.80	n/a	n/a	275.63	0.0
CENTURION PARTNERS	041	BMY	S	10,000	32.76	n/a	n/a	400.00	4.0
OHIO PERS	047	BRKB	S	10,951	85.13	n/a	n/a	328.53	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	CAT	SS	55,800	86.13	n/a	11-Jul	2,232.00	4.0
MTB INV ADV	034	CBG	S	22,190	17.45	n/a	n/a	721.18	3.3
MTB INV ADV	034	CBS	S	15,597	36.29	n/a	n/a	506.90	3.2
LEVIN CAPITAL STRATEGIES	041	CCL	B	20,200	34.54	n/a	n/a	606.00	0.0
CAPITAL RESEARCH GROUP		296	CSCO	B	250,000	19.33	n/a	n/a	8,750.00 0.0
LEVIN CAPITAL STRATEGIES	041	DKS	S	41,471	48.55	n/a	22-Aug	1,244.13	0.0
SUN AMERICA ASSET MGMT	030	DPZ	B	2,524	35.76	n/a	24-Jul	100.96	0.0
KENNEDY CAPITAL	046	FRME	S	31,782	14.02	n/a	n/a	1,271.28	0.0
MTB INV ADV	034	F	S	50,937	9.36	n/a	2-Aug	1,655.45	3.2
NORTHWESTERN MUTUAL LIFE	047	HD	S	122,975	56.63	n/a	14-Aug	4,919.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	HD	B	6,090	56.41	n/a	14-Aug	194.87	0.0
MTB INV ADV	034	INTC	S	19,327	24.94	n/a	n/a	628.13	3.3
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	34.38	n/a	20-Aug	2,500.00	5.0
STRONG/MARK GRONET	030	ITPOF	S	36,050	7.80	n/a	n/a	1,081.50	0.0
SCOPUS FUND	041	ITW	B	17,100	59.43	n/a	n/a	684.00	4.0
ROTHSCHILD ASSET	040	JAH	B	9,811	48.56	n/a	n/a	392.44	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	JAZZ	B	5,092	46.01	n/a	n/a	203.68	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	JCI	B	10,000	27.23		n/a 20-Jul	300.00	3.0
MTB INV ADV	034	JWN	S	10,051	57.96	n/a	24-Aug	326.66	3.3
THE JAY GOLDMAN	028	JWN	B	20,000	58.00	n/a	24-Aug	800.00	4.0
TALPION LLC	040	KR	C	5,100	22.05	n/a	n/a	204.00	0.0
CAERUS GLOBAL	041	KSS	SS	20,000	52.10	n/a	24-Aug	800.00	4.0
HARVEST MGMT (JMP)	029	KSS	B	30,000	52.76	n/a	24-Aug	1,200.00	4.0
ROTHSCHILD ASSET	040	LEA	B	25,931	39.50	n/a	3-Aug	1,037.24	0.0
DISCIPLINED GROWTH INV.	030	LTD	S	3,700	48.29	n/a	n/a	185.00	0.0
NEUBERGER BERMAN	036	MATW	S	15,577	29.65	n/a	n/a	623.08	0.0
DISCIPLINED GROWTH INV.	030	MIDD	S	500	112.13	n/a	n/a	25.00	0.0
CENTURION PARTNERS	041	MO	B	30,000	34.38	n/a	n/a	1,200.00	4.0
LOCUST WOOD CAPITAL MGMT	044	MSFT	B	38,600	30.74	n/a	n/a	1,544.00	4.0
GEORGE WEISS	034	M	S	40,000	40.28	n/a	24-Aug	1,600.00	0.0
SCOPUS FUND	041	M	B	50,000	40.27	n/a	24-Aug	2,000.00	4.0
SIMMONS VENTURES	041	M	B	5,000	39.98	n/a	24-Aug	200.00	4.0
PZENA INV ADV	044	ORCL	S	9,706	31.83	n/a	n/a	339.72	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	B	500	31.89	n/a	20-Aug	25.00	5.0
ASCEND PARTNERS	033	PVH	S	10,000	92.70	n/a	18-Jul	500.00	0.0
DISIPLINED GROWTH INV.	030	RCL	S	3,200	26.89	n/a	n/a	160.00	0.0
LATEEF MGMT	035	RKT	S	3,000	66.34	n/a	20-Aug	300.00	10.0
GEORGE WEISS	034	ROST	B	9,000	69.61	n/a	24-Aug	270.00	0.0
NEUBERGER BERMAN	036	SEE	B	50,000	13.17	n/a	2-Jun	2,000.00	0.0
ROSEDALE CAPITAL	046	SEE	S	30,000	13.15	n/a	2-Jun	1,200.00	0.0
DARUMA ASSET MGMT INC	046	SHLM	B	24,076	24.41	n/a	n/a	963.04	0.0
DELTEC ASSET MGMT.	040	SI	S	12,200	94.14	n/a	n/a	610.00	5.0
CRAMER ROSENTHAL	070	SLB	B	23,500	74.54	n/a	n/a	940.00	0.0
PZENA INV ADV	044	TAP	S	275	44.38	n/a	n/a	9.63	0.0
PZENA INV ADV	044	TEL	S	300	35.04	n/a	n/a	10.50	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035	TFM	S	24,084	61.52	n/a	n/a	722.52	0.0
DISIPLINED GROWTH INV.	030	TJX	S	8,300	45.78	n/a	24-Aug	415.00	0.0
WOODWAY FINANCIAL	031	TOT	S	50,000	49.32	n/a	n/a	3,000.00	6.0
TRUSTCO/SUNTRUST (CEREDEX)	273	TYC	B	14,334	56.68	n/a	3-Aug	458.67	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	UA	B	9,513	56.23	n/a	22-Aug	380.52	4.0
COHE & STEERS	041	WY	B	277,300	24.65	n/a	27-Jul	8,319.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	S	25,000	24.70	n/a	27-Jul	1,250.00	0.0
SYMPHONY ASSET	033	XLI	C	10,815	36.57	n/a	n/a	324.45	0.0
PZENA INV ADV	044	XOM	S	225	88.07	n/a	n/a	7.88	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	25,000	60.73	n/a	n/a	750.00	0.0
NEUBERGER BERMAN	036	XRX	B	50,000	7.38	n/a	n/a	1,000.00	0.0
CADIAN CAPITAL	041	YHOO	B	100,000	14.75	n/a	n/a	3,000.00	3.0
<b>TOTAL (Trade Date):</b>								<b>73,726.10</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/27	GUGGENHEIM GLOBAL TRADING (GGT)	(GUGGCSFB)251	GGP	S	5,000	20.17	n/a	n/a	150.00 3.0
AO,CRT	08/27	GUGGENHEIM GLOBAL TRADING (GGT)	(GUGGCSFB)251	GGP	S	5,000	20.17	n/a	n/a	100.00 2.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-50.00</b>
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TOTAL (Trade Date) :	73,726.10
TOTAL (AO, CXL, CRT) :	-50.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>73,676.10</b>
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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