



## Daily Compliance Activity Report

Trade Date: 08/29/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	ARO	S	25,000	13.94	n/a	n/a	1,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	40,000	11.17	n/a	30-Jul	1,600.00	0.0
MILLRACE FUND LP	028	AXL	B	40,000	11.01	n/a	30-Jul	1,600.00	4.0
DELTEC ASSET MGMT.	040	BEAV	B	4,563	39.65	n/a	7-Aug	228.15	5.0
BALYASNY ASSET MGMT	044	CAR	SS	25,000	17.13	n/a	n/a	1,250.00	0.0
NEW JERSEY DIV OF INV.	030	CNK	S	10,000	23.48	n/a	n/a	400.00	4.0
SANDLER O'NEILL ASSET	031	COF	B	10,000	56.69	n/a	22-Aug	500.00	5.0
BTG PACTUAL	040	COH	B	10,000	56.99	n/a	1-Aug	300.00	3.0
BALYASNY ASSET MGMT	044	COST	S	10,000	96.98	n/a	n/a	500.00	0.0
BASSWOOD PARTNERS	267	DAN	B	24,700	13.76	n/a	27-Jul	988.00	0.0
BALYASNY ASSET MGMT	044	DLTR	S	25,000	48.60	n/a	16-Aug	1,250.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	DPZ	B	20,000	36.08	n/a	24-Jul	640.01	0.0
BALYASNY ASSET MGMT	044	EAT	S	10,000	34.79	n/a	10-Aug	500.00	0.0
METROPOLITAN CAPITAL	044	FL	B	10,900	34.49	n/a	29-Aug	545.00	5.0
KENNEDY CAPITAL	046	FRME	S	35,332	14.04	n/a	n/a	1,413.28	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	GIS	B	10,000	39.70	n/a	n/a	400.00	4.0
SCOPUS FUND	041	GPI	B	25,000	54.67	n/a	27-Jul	1,000.00	4.0
STRONG/MARK GRONET	030	ITPOF	S	36,940	7.30	n/a	n/a	1,108.20	0.0
BALYASNY ASSET MGMT	044	JCP	SS	25,000	26.62	n/a	13-Aug	1,250.00	0.0
SCOPUS FUND	041	JCP	B	25,000	26.13	n/a	13-Aug	1,000.00	4.0
SCOUT/UMB	047	JCP	B	318,563	26.51	n/a	13-Aug	9,556.89	0.0
THE JAY GOLDMAN	028	KSS	S	50,000	52.25	n/a	24-Aug	2,000.00	4.0
SUN AMERICA ASSET MGMT	030	LSI	S	59,090	7.60	n/a	n/a	2,363.60	0.0
BALYASNY ASSET MGMT	044	LTD	B	10,000	47.67	n/a	n/a	500.00	0.0
NEUBERGER BERMAN	036	MATW	S	9,275	29.88	n/a	n/a	371.00	0.0
P.SCHOENFELD ASSET MGMT LLC	041	MWW	S	45,300	7.01	n/a	n/a	1,812.00	0.0
SCOPUS FUND	041	M	B	100,000	40.55	n/a	24-Aug	4,000.00	4.0
SIMMONS VENTURES	041	M	B	5,000	40.35	n/a	24-Aug	200.00	4.0
PZENA INV ADV	044	ORCL	S	12,219	31.84	n/a	n/a	427.67	0.0
CATAPULT/KGLT	040	PBRA	S	25,000	20.73	n/a	n/a	1,000.00	4.0
NEW JERSEY DIV OF INV.	030	RGC	S	50,000	13.79	n/a	n/a	2,000.00	4.0
OZ MGMT	040	RKT	S	3,453	66.73	n/a	20-Aug	103.59	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	SAI	B	62,744	11.78	n/a	n/a	2,509.76	0.0
BASSWOOD PARTNERS	267	TEL	B	11,900	34.82	n/a	n/a	476.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TEX	S	6,000	21.31		n/a	180.00	3.0
BTG PACTUAL	040	TGT	B	10,000	64.15	n/a	29-Aug	300.00	3.0
CASTLEROCK	040	TGT	B	25,000	64.27	n/a	29-Aug	1,000.00	0.0
RBC CAPITAL MARKETS	040	TSN	S	20,000	15.78	n/a	n/a	800.00	4.0
CAERUS GLOBAL	041	WRC	B	25,000	50.91	n/a	7-Aug	1,000.00	4.0
COHE & STEERS	041	WY	B	250,000	24.77	n/a	27-Jul	7,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	27,500	61.22	n/a	n/a	825.00	0.0
BALYASNY ASSET MGMT	044	ZUMZ	S	50,000	31.52	n/a	n/a	2,500.00	0.0
<b>TOTAL (Trade Date):</b>								<b>58,898.15</b>	

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):									58,898.15
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									58,898.15
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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