



Daily Compliance Activity Report

Trade Date: 08/07/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SPARTAN	093	ALV	S	6,500	58.96	n/a	23-Jul	195.00	3.0
LEVIN CAPITAL STRATEGIES	041	APC	S	10,000	69.92	n/a	31-Jul	300.00	0.0
NORTHWESTERN MUTUAL LIFE	047	APC	B	4,650	70.58	n/a	31-Jul	186.00	0.0
WOOSTER CAPITAL	035	AXL	S	50,000	10.76	n/a	30-Jul	2,500.00	5.0
GALT INVESTMENT	041	BBRG	S	11,720	16.82	n/a	n/a	468.80	4.0
NORTHWESTERN MUTUAL LIFE	047	CAM	B	4,225	52.25	n/a	n/a	169.00	0.0
NEUBERGER BERMAN	036	CBL	S	50,000	20.39	n/a	n/a	2,000.00	0.0
COUGAR TRADING	044	CHD	B	7,500	51.96	n/a	7-Aug	375.00	5.0
RBC CAPITAL MARKETS	040	CHD	B	5,000	52.48	n/a	7-Aug	200.00	4.0
SANDLER CAPITAL	028	CHD	S	167,900	51.86	n/a	7-Aug	8,395.00	0.0
1798 CAP/LOMBARD ASSET	040	COL	SS	5,000	50.97	n/a	7-Aug	250.00	0.0
OHIO PERS	047	CRUS	S	46,000	38.12	n/a	n/a	1,380.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CRZO	B	8,775	25.60	n/a	n/a	351.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CXO	B	4,700	93.91	n/a	n/a	188.00	0.0
SENATOR INVESTMENT GROUP	036	CXW	S	25,000	31.42	n/a	n/a	750.00	0.0
RBC CAPITAL MARKETS	040	DE	B	5,000	79.55	n/a	11-Jul	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PEAK INV/OAKMONT/CYPRESS	084	DHI	B	99,200	17.68	n/a	n/a	3,968.00	4.0
CORVEX CAPITAL	041	DTV	B	83,892	49.41	n/a	n/a	2,516.76	0.0
LATEEF MGMT	035	DVN	S	250	58.76	n/a	23-Jul	42.50	17.0
OSKIE CAPITAL MGMT	224	ESRX	B	20,000	56.16	n/a	n/a	1,000.00	5.0
SEVEN LOCKS CAPITAL	025	GET	B	8,000	37.36	n/a	n/a	240.00	0.0
WOOSTER CAPITAL	035	GM	SS	75,000	20.28	n/a	3-Aug	3,750.00	5.0
YORK CAPITAL	036	GPS	S	25,000	34.00	n/a	n/a	750.00	3.0
OHIO PERS	047	INVN	B	126,000	13.79	n/a	n/a	3,780.00	0.0
HALCYON LLC	041	IWM	B	80,000	80.14	n/a	n/a	1,600.00	0.0
NEUBERGER BERMAN	036	KIM	S	50,000	19.65	n/a	n/a	2,000.00	0.0
MILLRACE FUND LP	028	LEA	B	4,000	39.17	n/a	3-Aug	160.00	4.0
OZ MGMT	040	LEA	S	50,000	38.99	n/a	3-Aug	1,500.00	0.0
ROSEDALE CAPITAL	046	LEA	S	10,000	39.40	n/a	3-Aug	500.00	5.0
WOOSTER CAPITAL	035	LEA	S	25,000	39.25	n/a	3-Aug	1,250.00	5.0
PEAK INV/OAKMONT/CYPRESS	084	LEN	B	57,900	30.33	n/a	n/a	2,316.00	4.0
T. ROWE PRICE	033	LINTA	S	124,400	19.44	n/a	n/a	4,976.00	0.0
HALCYON LLC	041	MIC	S	5,000	40.79	n/a	n/a	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	084	MRX	B	25,000	32.92	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	MW	S	20,000	29.03	n/a	n/a	1,000.00	0.0
KLEINHEINZ CAP PART	031	M	B	50,000	37.11	n/a	3-Aug	2,500.00	5.0
OMEGA ADVISORS	041	OCN	S	223,002	22.94	n/a	n/a	8,920.08	4.0
COHE & STEERS	041	OFC	B	20,000	22.74	n/a	n/a	600.00	0.0
NEUBERGER BERMAN	036	OFC	S	26,000	22.73	n/a	n/a	1,040.00	0.0
RBC CAPITAL MARKETS	040	PENN	SS	7,000	37.84	n/a	n/a	280.00	4.0
FORTRESS INVESTMENT (US)	036	PWR	S	33,950	24.75	n/a	n/a	679.00	0.0
FORTRESS INVESTMENT (US)	036	RKT	B	13,000	61.51	n/a	26-Jul	260.00	0.0
RBC CAPITAL MARKETS	040	SBUX	B	40,000	45.17	n/a	27-Jul	1,600.00	4.0
SENATOR INVESTMENT GROUP	036	SCHW	SS	75,000	13.17	n/a	n/a	2,250.00	0.0
DAVIDSON KEMPNER ADVISOR	040	SPY	C	25,900	140.54	n/a	n/a	1,295.00	0.0
LATEEF MGMT	035	SWY	B	1,000	15.95	n/a	n/a	100.00	10.0
LATEEF MGMT	035	SYI	S	500	28.99	n/a	n/a	50.00	10.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.31	n/a	n/a	800.00	4.0
PARKWEST	084	TFM	B	10,000	60.60	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST (CEREDEX)	273	TLM	S	20,000	13.49		n/a n/a	640.00	0.0
CAPITAL RESEARCH GROUP	296	UAL	B	100,000	18.26		n/a n/a	3,500.00	0.0
LATEEF MGMT	035	UN	S	500	35.32	n/a	n/a	50.00	10.0
FORTRESS INVESTMENT (US)	036	UTX	SS	12,000	78.15	n/a	n/a	480.00	0.0
FORTRESS INVESTMENT (US)	036	WBC	B	18,000	57.53	n/a	27-Jul	360.00	0.0
JANA CAPITAL	044	WRC	S	20,000	48.51	n/a	7-Aug	800.00	0.0
SCOPUS FUND	041	WRC	B	50,000	48.68	n/a	7-Aug	2,000.00	0.0
SIMMONS VENTURES	041	WRC	B	5,000	48.79	n/a	7-Aug	200.00	4.0
WEINTRAUB CAPITAL MGT.	084	WRC	S	50,000	48.51	n/a	7-Aug	2,000.00	2.0
TOTAL (Trade Date):								81,111.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/07	OSKIE CAPITAL MGMT (OSKIGSPB)	224	ESRX	B	20,000	56.16	n/a	n/a	1000.00 5.0
CRT	08/07	WOOSTER CAPITAL (WOOSGOLDMA)	035	GM	SS	75,000	20.28	n/a	3-Aug	3750.00 5.0
TOTAL (AO, CXL, CRT) :										4,750.00

TOTAL (Trade Date):	81,111.14
TOTAL (AO, CXL, CRT):	4,750.00

TOTAL (RUN DATE) / NFS:	85,861.14
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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