



## Daily Compliance Activity Report

Trade Date: 08/24/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AKRX	B	75,000	13.19	n/a	n/a	1,500.00	0.0
PIONEER OAKRIDGE	031	ALGN	B	11,000	32.99	n/a	n/a	220.00	0.0
HIGHBRIDGE CAP	041	ALV	B	2,500	60.40	n/a	23-Jul	75.00	3.0
PIONEER OAKRIDGE	031	AMG	B	1,000	117.64	n/a	2-Mar	20.00	0.0
PIONEER OAKRIDGE	031	ANSS	B	5,000	67.37	n/a	n/a	100.00	0.0
PIONEER OAKRIDGE	031	AOS	B	4,000	53.38	n/a	19-Jul	80.00	0.0
PIONEER OAKRIDGE	031	AREX	B	23,000	27.69	n/a	n/a	460.00	0.0
ARSENAL ASSET MANAGEMENT	028	ASH	B	10,000	73.14	n/a	23-Aug	400.00	0.0
PIONEER OAKRIDGE	031	ATU	B	6,000	28.03	n/a	n/a	120.00	0.0
PIONEER OAKRIDGE	031	BKU	B	16,000	25.51	n/a	n/a	320.00	0.0
PIONEER OAKRIDGE	031	CLC	B	4,000	48.17	n/a	n/a	80.00	0.0
TEMAGAMI CAPITAL	041	CUB	B	6,529	48.81	n/a	n/a	261.16	4.0
BASSWOOD PARTNERS	267	DCI	C	10,200	34.88	n/a	n/a	408.00	0.0
FIRST NY SEC/CHRIS	041	DNKN	B	10,000	28.26	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
KENNEDY CAPITAL	046	FRME	S	2,409	14.14	n/a	n/a	96.36	0.0	
SIMMONS VENTURES	041	GES	SS	10,000	25.87	n/a	23-Aug	400.00	4.0	
BTG PACTUAL	040	GE	B	20,000	20.57	n/a	n/a	600.00	3.0	
PIONEER OAKRIDGE	031	GPOR	B	1,000	24.70	n/a	n/a	20.00	0.0	
NEUBERGER BERMAN	036	GTLS	S	12,408	70.59	n/a	n/a	496.32	0.0	
ARSENAL ASSET MANAGEMENT	028	GVA	S	10,000	27.80	n/a	n/a	400.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	HAL	B	5,000	33.74		n/a	n/a	150.00	0.0
PIONEER OAKRIDGE	031	HITT	B	7,000	51.18	n/a	n/a	140.00	0.0	
HIGHBRIDGE CAP	041	HP	SS	3,500	46.50	n/a	n/a	105.00	3.0	
PIONEER OAKRIDGE	031	IDXX	B	4,000	94.71	n/a	n/a	80.00	0.0	
PIONEER OAKRIDGE	031	INFA	B	2,000	29.76	n/a	n/a	40.00	0.0	
STRONG/MARK GRONET	030	ITPOF	S	145,170	8.28	n/a	n/a	4,355.10	0.0	
NORTHWESTERN MUTUAL LIFE	047	KO	B	52,100	38.45	n/a	18-Jul	2,084.00	0.0	
TEMAGAMI CAPITAL	041	LMT	B	1,504	92.37	n/a	26-Jul	60.16	4.0	
MERRILL ASSET/BLACKROCK	297	LNC	S	5,800	23.46	n/a	n/a	232.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	MATW	S	3,954	29.93	n/a	n/a	158.16	0.0
PIONEER OAKRIDGE	031	MCRS	B	8,000	52.77	n/a	n/a	160.00	0.0
PIONEER OAKRIDGE	031	MIDD	B	6,000	111.72	n/a	n/a	120.00	0.0
KENNEDY CAPITAL	046	NP	B	1,548	28.00	n/a	14-Aug	61.92	0.0
PIONEER OAKRIDGE	031	OAS	B	15,000	29.44	n/a	n/a	300.00	0.0
HIGHBRIDGE CAP	041	OIH	SS	6,500	40.67	n/a	n/a	130.00	2.0
PIONEER OAKRIDGE	031	OPNT	B	7,000	31.53	n/a	n/a	140.00	0.0
NORTHWESTERN MUTUAL LIFE	047	PEP	S	27,300	73.13	n/a	n/a	1,092.00	0.0
NEUBERGER BERMAN	036	POOL	B	12,500	38.19	n/a	n/a	500.00	0.0
CRAMER ROSENTHAL	070	PPL	S	800	29.21	n/a	n/a	32.00	0.0
ROTHSCHILD ASSET	040	PQ	B	60,339	6.29	n/a	n/a	2,413.56	0.0
PIONEER OAKRIDGE	031	PRAA	B	4,000	98.76	n/a	n/a	80.00	0.0
CATAPULT	040	PVH	B	4,845	88.00	n/a	18-Jul	193.80	0.0
PIONEER OAKRIDGE	031	QCOR	B	5,000	42.71	n/a	n/a	100.00	0.0
MERRILL ASSET/BLACKROCK	297	RF	S	19,200	7.00	n/a	n/a	768.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	RKT	B	4,000	65.89	n/a	20-Aug	120.00	3.0
PIONEER OAKRIDGE	031	RP	B	26,000	25.93	n/a	n/a	520.00	0.0
PIONEER OAKRIDGE	031	RRTS	B	7,000	17.16	n/a	n/a	140.00	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>SBUX</b>	<b>S</b>	<b>34,401</b>	<b>47.83</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL	070	SCG	S	400	47.84	n/a	n/a	16.00	0.0
PIONEER OAKRIDGE	031	SF	B	5,000	32.37	n/a	n/a	100.00	0.0
PIONEER OAKRIDGE	031	SIRO	B	6,000	53.42	n/a	n/a	120.00	0.0
CRAMER ROSENTHAL	070	SJM	S	300	84.53	n/a	n/a	12.00	0.0
PIONEER OAKRIDGE	031	SLXP	B	14,000	45.26	n/a	20-Aug	280.00	0.0
CRAMER ROSENTHAL	070	STI	S	900	25.10	n/a	n/a	36.00	0.0
CRAMER ROSENTHAL	070	STJ	S	800	37.73	n/a	n/a	32.00	0.0
CRAMER ROSENTHAL	070	STT	S	600	41.46	n/a	22-Aug	24.00	0.0
PIONEER OAKRIDGE	031	SWI	B	6,000	54.35	n/a	n/a	120.00	0.0
CRAMER ROSENTHAL	070	SWK	S	600	67.45	n/a	n/a	24.00	0.0
CRAMER ROSENTHAL	070	SYK	S	500	53.59	n/a	n/a	20.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	TGI	S	1,311	59.41	n/a	n/a	52.44	0.0
PIONEER OAKRIDGE	031	TGI	B	8,000	59.58	n/a	n/a	160.00	0.0
NEUBERGER BERMAN	036	TRMB	S	37,100	46.79	n/a	n/a	1,484.00	0.0
HIGHBRIDGE CAP	041	TRW	B	6,000	41.74	n/a	n/a	180.00	3.0
PIONEER OAKRIDGE	031	TXRH	B	19,000	17.21	n/a	n/a	380.00	0.0
CRAMER ROSENTHAL	070	TYC	S	1,500	56.65	n/a	3-Aug	60.00	0.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	15,000	71.91	n/a	n/a	750.00	5.0
CATAPULT	040	ULTA	B	5,250	92.91	n/a	n/a	210.00	0.0
CATAPULT	040	URBN	SS	10,602	36.64	n/a	n/a	424.08	0.0
CATAPULT	040	URBN	S	3,146	36.67	n/a	n/a	125.84	0.0
FRIESS MGMT	033	USG	B	186,400	20.68	n/a	1-Aug	7,456.00	0.0
HIGHBRIDGE CAP	041	USG	B	25,000	20.51	n/a	1-Aug	750.00	3.0
CYRUS CAPITAL	025	VC	S	10,000	40.88	n/a	n/a	300.00	3.0
SCOPUS FUND	041	WRC	B	23,260	48.45	n/a	7-Aug	930.40	4.0
ARSENAL ASSET MANAGEMENT	028	WSO	B	10,000	75.11	n/a	n/a	400.00	0.0
CRAMER ROSENTHAL	070	WU	S	400	17.35	n/a	n/a	16.00	0.0
PIONEER OAKRIDGE	031	WXS	B	3,000	64.67	n/a	n/a	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	041	WY	B	54,100	24.25	n/a	27-Jul	1,623.00	0.0
CRAMER ROSENTHAL	070	XEL	S	800	27.80	n/a	n/a	32.00	0.0
<b>TOTAL (Trade Date):</b>								<b>36,810.30</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/24	HIGHBRIDGE CAP (HIBCCSFB)	041	OIH	SS	6,500	40.67	n/a	n/a	130.00 2.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>130.00</b>

TOTAL (Trade Date):	36,810.30
TOTAL (AO, CXL, CRT):	130.00
<b>TOTAL (RUN DATE) / NFS:</b>	<b>36,940.30</b>

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