



Daily Compliance Activity Report

Trade Date: 08/22/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	ACOM	B	1,500	30.40		n/a	n/a	45.00 3.0
LEVIN CAPITAL STRATEGIES	041	APC	B	10,883	69.15	n/a	9-Aug	326.49	0.0
COBALT	041	ASH	B	50,000	73.83	n/a	27-Jul	2,000.00	4.0
PNC CAPITAL ADV	028	BA	B	50,629	72.77	n/a	7-Aug	2,025.16	0.0
RBC CAPITAL MARKETS	040	BWLD	B	8,000	75.54	n/a	n/a	320.00	4.0
KENNEDY CAPITAL	046	CALD	B	27,595	4.20	n/a	n/a	551.90	0.0
SIMMONS VENTURES	041	COH	B	5,000	55.00	n/a	1-Aug	200.00	4.0
KENNEDY CAPITAL	046	CRUS	S	8,000	39.04	n/a	n/a	320.00	0.0
NOKOMIS PARTNERS	031	CXO	B	21,550	93.67	n/a	n/a	646.50	3.0
SOROS	274	CXO	SS	44,500	93.12	n/a	n/a	1,780.00	0.0
ELM RIDGE ADVISORS	044	DELL	B	50,000	11.59	n/a	n/a	2,000.00	0.0
PLATTE RIVER CAPITAL	240	DELL	B	237,300	11.56	n/a	n/a	9,492.00	0.0
TOURMALINE PARTNERS CHRIS	041	DMD	SS	10,000	10.24	n/a	n/a	300.00	0.0
KENNEDY CAPITAL	046	EXPR	B	40,287	15.49	n/a	n/a	1,611.48	0.0
NOKOMIS PARTNERS	031	IDCC	B	15,000	32.55	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DC CAPITAL	044	IP	S	20,000	34.30	n/a	20-Aug	800.00	4.0
JET CAPITAL/CHRIS	041	IYR	SS	30,500	64.53	n/a	n/a	915.00	0.0
ENTRUST CAPITAL	040	KSS	B	9,500	51.72	n/a	10-Aug	475.00	5.0
RBC CAPITAL MARKETS	040	LVS	B	22,000	43.50	n/a	13-Jun	880.00	4.0
NEUBERGER BERMAN	036	MATW	S	6,806	30.74	n/a	n/a	272.24	0.0
SUN AMERICA ASSET MGMT	030	MSFT	S	26,800	30.56	n/a	n/a	1,072.00	0.0
STANDARD PACIFIC CAPITAL	084	MU	S	600,000	6.39	n/a	n/a	30,000.00	5.0
CAERUS GLOBAL	041	PBY	B	10,000	9.31	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	PENN	SS	10,000	38.58	n/a	n/a	400.00	4.0
SCOPUS FUND	041	POT	S	25,000	42.22	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	PVH	B	25,000	87.00	n/a	18-Jul	1,250.00	0.0
GEORGE WEISS	034	PVH	SS	23,000	87.05	n/a	18-Jul	920.00	0.0
RBC CAPITAL MARKETS	040	PVH	S	10,000	87.01	n/a	18-Jul	400.00	4.0
T. ROWE PRICE	033	RBN	S	10,200	60.05	n/a	n/a	408.00	0.0
DISCIPLINED GROWTH INV.	030	RCL	B	1,900	26.02	n/a	n/a	95.00	0.0
CATAPULT	040	SBUX	SS	15	48.12	n/a	27-Jul	0.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	SBUX	S	8,282	48.12	n/a	27-Jul	331.28	0.0
TOURMALINE PARTNERS CHRIS	041	SEE	B	15,000	13.46	n/a	2-Jun	450.00	0.0
TOCQUEVILLE	035	TFX	S	22,167	63.11	n/a	n/a	1,108.35	0.0
CATAPULT	040	ULTA	S	5,015	91.88	n/a	n/a	200.60	0.0
CATAPULT	040	VIAB	B	10,060	50.49	n/a	n/a	402.40	0.0
CAISSE DEPOT PLACEMENT Q	295	VRSK	S	10,000	48.27	n/a	n/a	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	24.25	n/a	27-Jul	1,250.00	5.0
RBC CAPITAL MARKETS	040	YUM	B	15,000	65.57	n/a	20-Aug	600.00	4.0
TOTAL (Trade Date):								66,199.00	

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) :									66,199.00
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									66,199.00

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