



Daily Compliance Activity Report

Trade Date: 08/02/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	ABG	S	17,806	25.40	n/a	25-Jul	712.24	4.0
GREEN ARROW DOUG	040	ACAT	B	15,000	43.89	n/a	n/a	600.00	0.0
OHIO PERS	047	ASH	B	18,701	69.21	n/a	27-Jul	561.03	0.0
ROSEDALE CAPITAL	046	AXL	B	30,000	9.89	n/a	30-Jul	900.00	3.0
SCOPUS FUND	041	AXL	B	50,000	9.86	n/a	30-Jul	2,000.00	4.0
WOOSTER CAPITAL	035	AXL	B	100,000	9.81	n/a	30-Jul	3,000.00	3.0
TOCQUEVILLE	035	BRKS	B	30,500	8.99	n/a	n/a	1,525.00	0.0
KINGDON ASSET MGMT	041	COH	B	10,000	49.26	n/a	1-Aug	400.00	0.0
NEW JERSEY DIV OF INV.	030	CRUS	S	20,000	36.03	n/a	n/a	600.00	3.0
BALLAST CAP	040	CVS	S	2,000	44.53	n/a	n/a	100.00	5.0
KINGDON ASSET MGMT	041	EL	B	10,000	50.58	n/a	10-Jul	400.00	0.0
NOMURA INTERNATIONAL PLC	046	EL	SS	10,000	50.76	n/a	10-Jul	507.55	0.0
BRONSON POINT	036	FB	B	100,000	20.30	n/a	n/a	3,000.00	0.0
OHIO PERS	047	FMC	S	23,960	52.37	n/a	8-Dec	718.80	0.0
NOMURA INTERNATIONAL PLC	046	F	SS	70,000	8.88	n/a	2-Aug	621.61	0.0
OZ MGMT	040	F	C	116,131	8.87	n/a	2-Aug	3,483.93	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	B	115,990	19.23	n/a	2-Aug	3,479.70	0.0
TRELLUS PARTNERS LP	028	GM	SS	4,900	19.69	n/a	2-Aug	147.00	0.0
VERITION	028	GM	B	10,000	19.32	n/a	2-Aug	300.00	3.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	10,000	81.15	n/a	n/a	400.00	0.0
ARMATURE CAPITAL	041	IP	S	30,000	31.79	n/a	27-Jul	1,200.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	70,000	31.96	n/a	27-Jul	3,500.00	5.0
UNITED STATES PENSION	085	JPM	B	288,200	35.29	n/a	2-Aug	11,528.00	4.0
GREEN ARROW DOUG	040	KORS	S	10,000	39.80	n/a	n/a	400.00	0.0
ROSEDALE CAPITAL	046	LEA	S	5,000	37.75	n/a	4-May	250.00	5.0
WOOSTER CAPITAL	035	LEA	B	81,700	36.28	n/a	4-May	4,085.00	5.0
WOOSTER CAPITAL	035	LEA	S	6,700	37.14	n/a	4-May	335.00	5.0
KINGDON ASSET MGMT	041	LTD	B	30,000	47.51	n/a	n/a	1,200.00	0.0
SHIKIAR ASSET	025	M	S	31,000	36.44	n/a	27-Jul	1,550.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	25.61	n/a	20-Jul	400.00	4.0
BRONSON POINT	036	ODFL	S	30,000	43.02	n/a	n/a	900.00	0.0
GEORGE WEISS	034	PCAR	B	4,000	38.63	n/a	11-Jul	120.00	0.0
GREEN ARROW DOUG	040	PII	B	20,000	72.06	n/a	n/a	800.00	0.0
METROPOLITAN CAPITAL	044	PLCE	S	5,500	51.61	n/a	5-Jun	275.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	PVH	B	2,000	74.99	n/a	18-Jul	80.00	0.0
NEW JERSEY DIV OF INV.	030	ROK	S	30,000	66.13	n/a	n/a	1,200.00	4.0
SCOPUS FUND	041	SBH	S	50,000	26.08	n/a	n/a	2,000.00	4.0
JET CAPITAL/CHRIS	041	SIGA	B	57,400	2.74	n/a	n/a	1,722.00	0.0
OHIO PERS	047	SPR	B	38,000	23.00	n/a	20-Jul	1,140.00	0.0
UNITED STATES PENSION	085	SPY	S	85,000	136.81	n/a	n/a	2,550.00	3.0
OHIO PERS	047	TDG	S	7,650	119.31	n/a	n/a	229.50	0.0
KINGDON ASSET MGMT	041	TGT	B	4,500	61.19	n/a	2-Aug	180.00	0.0
CORVEX CAPITAL	041	TIBX	C	141,629	26.76	n/a	n/a	4,248.87	0.0
NOMURA INTERNATIONAL PLC	046	TIF	SS	20,000	54.18	n/a	n/a	1,083.56	0.0
KINGDON ASSET MGMT	041	TJX	B	30,000	44.74	n/a	27-Jul	1,200.00	0.0
NEUBERGER BERMAN	036	TNC	B	8,200	41.38	n/a	n/a	328.00	0.0
RBC CAPITAL MARKETS	040	TUP	B	2,000	51.11	n/a	n/a	80.00	4.0
WILLIAMS TRADING/FOX POINT	025	VMED	B	134,866	27.07	n/a	n/a	4,045.98	0.0
GEORGE WEISS	034	XOP	B	2,000	49.50	n/a	n/a	80.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	XRT	SS	25,000	58.01	n/a	n/a	1,000.00	4.0
VISIUM/BALY BOBBY	044	X	SS	20,000	21.11	n/a	n/a	1,000.00	0.0
KINGDON ASSET MGMT	041	YUM	B	75,000	64.80	n/a	19-Jul	3,000.00	0.0
MATRIX ASSET ADV.	091	ZMH	B	1,200	58.20	n/a	n/a	48.00	4.0
TOTAL (Trade Date):							75,215.77		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/02	WOOSTER CAPITAL (WOOSGOLDMA)	035	AXL	B	100,000	9.81	n/a	30-Jul	3000.00 3.0
AO,CXL	08/01	WINSLOW CAPITAL (WINS171)	030	MA	B	915	427.49	n/a	1-Aug	27.45 0.0
AO,CXL	08/01	WINSLOW CAPITAL (WINS171)	030	MA	B	1,085	427.49	n/a	1-Aug	32.55 0.0
AO,	08/01	WINSLOW CAPITAL (WINS171)	030	MA	B	1,085	427.49	n/a	1-Aug	32.55 0.0
AO,	08/01	WINSLOW CAPITAL (WINS161)	030	MA	B	915	427.49	n/a	1-Aug	27.45 0.0
AO,CXL	08/01	HIGHBRIDGE CAP (HIBCCSFB)	041	XLU	SS	6,750	38.11	n/a	n/a	202.50 3.0
AO,CRT	08/01	HIGHBRIDGE CAP (HIBCCSFB)	041	XLU	SS	6,750	38.11	n/a	n/a	135.00 2.0

TOTAL (AO, CXL, CRT) :**2,932.50**

TOTAL (Trade Date) :**75,215.77****TOTAL (AO, CXL, CRT) :****2,932.50**

TOTAL (RUN DATE) / NFS:**78,148.27**

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