



Daily Compliance Activity Report

Trade Date: 07/16/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AGCO	SS	6,000	43.00	n/a	11-Jul	180.00	3.0
TRELLUS PARTNERS LP	028	ALV	B	14,500	53.58	n/a	20-Jun	435.00	0.0
COBALT	041	BA	SS	100,000	72.52	n/a	16-Jul	4,000.00	4.0
BRONSON POINT	036	BWA	SS	10,000	63.36	n/a	27-Apr	300.00	0.0
HIGHBRIDGE CAP	041	CHRW	SS	3,000	59.08	n/a	n/a	90.00	3.0
RAINIER INV MGMT	035	CTSH	S	113,165	57.98	n/a	n/a	4,526.60	0.0
PERRY PARTNERS	085	C	S	100,000	27.06	n/a	2-Jul	5,000.00	5.0
RBC CAPITAL MARKETS	040	DRI	SS	15,000	50.53	n/a	13-Jul	600.00	4.0
RBC CAPITAL MARKETS	040	FDO	B	10,000	68.76	n/a	12-Jul	400.00	4.0
ROARING BLUE LION MGMT	031	FL	S	7,270	32.86	n/a	18-May	290.80	4.0
ARSENAL ASSET MANAGEMENT	028	FMC	B	9,400	53.84	n/a	8-Dec	376.00	0.0
OZ MGMT	040	F	S	89,973	9.25	n/a	5-Jul	2,699.19	0.0
JANA CAPITAL	044	GLW	SS	75,000	12.24	n/a	1-May	3,000.00	0.0
OZ MGMT	040	GM	SS	30,963	19.33	n/a	5-Jul	928.89	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	GRC	B	5,735	30.32	n/a	n/a	229.40	0.0
FRONTIER	029	HMA	S	118,960	7.72	n/a	n/a	3,568.80	0.0
TRELLUS PARTNERS LP	028	IP	B	30,000	30.22	n/a	2-Jul	900.00	0.0
LISTED ERR	099	KSS	B	300	47.59	n/a	6-Jul	0.00	0.0
SENATOR INVESTMENT GROUP	036	LOW	B	500,000	25.95	n/a	22-May	15,000.00	3.0
CASTLEROCK	040	MCD	SS	22,016	91.92	n/a	16-Jul	880.64	4.0
MERRILL ASSET/BLACKROCK	297	MCY	S	56,593	39.73	n/a	n/a	2,263.72	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	5,000	81.84	n/a	n/a	200.00	0.0
HIGHBRIDGE CAP	041	MON	B	2,000	84.82	n/a	27-Jun	60.00	3.0
RBC CAPITAL MARKETS	040	NKE	B	5,000	93.58	n/a	29-Jun	200.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	27.20	n/a	11-May	400.00	4.0
STRONG/MARK GRONET	030	PBH	S	30,000	16.38	n/a	n/a	1,200.00	0.0
CAMBIAR CAP	046	PRX	S	126,310	50.44	n/a	16-Jul	5,052.40	0.0
KENNEDY CAPITAL	046	PRX	B	20,000	51.50	n/a	16-Jul	800.00	0.0
TOURMALINE PARTNERS LLC	086	RDC	B	25,000	34.23	n/a	n/a	750.00	0.0
BRONSON POINT	036	TYC	S	5,000	52.12	n/a	14-Jun	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PECONIC PARTNERS	036	UAL	S	50,000	24.31	n/a	n/a	2,500.00	0.0
RBC CAPITAL MARKETS	040	UA	B	5,000	47.04	n/a	12-Jul	200.00	4.0
HIGHBRIDGE CAP	041	URI	B	4,500	34.43	n/a	17-Apr	135.00	3.0
TOURMALINE PARTNERS LLC	086	VC	S	45,000	31.77	n/a	n/a	1,350.00	0.0
Õ James Mitchell		V	S	130126.4302		n/a	13-Jul	0.00	0.0
MASTERS CAPITAL MANAGE	025	WY	S	40,000	23.68	n/a	4-May	1,600.00	4.0
MERRILL ASSET/BLACKROCK	297	Y	B	5,800	342.91	n/a	n/a	232.00	0.0
TOTAL (Trade Date) :								60,498.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/13	CAVOLEPH (CAVOFLIP)	085	CL	S	2,200	105.00	n/a	18-Jun	88.00 4.0
AO,CRT	07/13	CAVOLEPH (CAVOFLIP)	085	CL	S	2,200	105.00	n/a	18-Jun	88.00 4.0
AO,	07/13	LISTED ERR (LISTED ERR)	099	PENN	B	35,700	41.45	n/a	n/a	0.00 0.0
AO,	07/13	LISTED ERR (LISTED ERR)	099	PENN	S	35,700	41.40	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	60,498.44
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	60,498.44
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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