



## Daily Compliance Activity Report

Trade Date: 08/16/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOUT/UMB	047	ALTR	B	48,516	36.85	n/a	n/a	1,455.48	0.0
BASSWOOD PARTNERS	267	AYI	SS	4,900	62.46	n/a	n/a	196.00	0.0
BASSWOOD PARTNERS	267	BECN	SS	11,200	26.42	n/a	n/a	448.00	0.0
SCOPUS FUND	041	BWA	S	40,000	71.47	n/a	27-Jul	1,600.00	4.0
CATAPULT	040	BYI	SS	12,830	43.84	n/a	n/a	513.20	0.0
ROYCE TRADING	031	B	B	3,000	23.97	n/a	n/a	150.00	0.0
OHIO PERS	047	CBE	S	24,391	73.79	n/a	15-Aug	731.73	0.0
BALYASNY ASSET MGMT	044	CBST	S	7,500	43.14	n/a	n/a	375.00	0.0
JETSTREAM GLOBAL FUND LP	065	CSCO	S	85,000	18.68	n/a	n/a	4,250.00	5.0
BASSWOOD PARTNERS	267	CTAS	SS	2,100	41.36	n/a	n/a	84.00	0.0
SENATOR INVESTMENT GROUP	036	DAL	B	100,000	9.12	n/a	n/a	3,000.00	3.0
GLG PARTNERS	034	DLTR	B	33,013	49.50	n/a	16-Aug	990.39	0.0
RIVERPARK CAPITAL	025	DLTR	B	3,000	47.49	n/a	16-Aug	149.25	4.0
NCM CAPITAL MGMT	035	DPS	S	4,275	44.91	n/a	n/a	171.00	0.0
ROYCE TRADING	031	DVR	B	10,000	1.79	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	ELY	B	24,000	6.06	n/a	n/a	1,200.00	0.0
BRONSON POINT	036	FB	B	100,000	20.05	n/a	n/a	3,000.00	0.0
KAM ADVISORS LLC	041	FCX	B	65,000	35.35	n/a	n/a	1,950.00	0.0
LEVIN CAPITAL STRATEGIES	041	FDO	B	30,300	64.65	n/a	19-Jul	909.00	0.0
PAW PARTNERS	025	FL	S	7,500	34.67	n/a	8-Aug	375.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.29	n/a	15-Aug	400.00	4.0
OZ MGMT	040	F	B	100,000	9.64	n/a	2-Aug	3,000.00	0.0
IRIDIAN ASSET MGMT.	036	GLW	S	213,580	11.62	n/a	27-Jul	10,679.00	0.0
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	11.66	n/a	27-Jul	400.00	4.0
CYPRESS CAP MGMT LLC	040	GME	B	36,855	17.15	n/a	n/a	1,474.20	4.0
NEUBERGER BERMAN	036	HBI	B	10,000	32.49	n/a	1-Aug	400.00	0.0
BRONSON POINT	036	HOG	B	50,000	42.03	n/a	n/a	1,500.00	0.0
RBC CAPITAL MARKETS	040	HOG	SS	4,000	42.38	n/a	n/a	160.00	4.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	81.48	n/a	n/a	200.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	34.71	n/a	27-Jul	2,500.00	5.0
DC CAPITAL	044	IP	S	45,000	35.10	n/a	27-Jul	1,800.00	4.0
OHIO PERS	047	IR	B	92,000	45.80	n/a	20-Jul	2,760.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OHIO PERS	047	LII	S	53,494	46.12	n/a	n/a	1,604.82	0.0
CASTLEROCK	040	LOW	SS	5,000	27.46	n/a	10-Aug	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	10,000	12.98	n/a	31-Jul	500.00	5.0
ROYCE TRADING	031	LZB	S	3,000	12.79	n/a	n/a	150.00	0.0
NEUBERGER BERMAN	036	MATW	S	5,721	30.06	n/a	n/a	228.84	0.0
CENTURION PARTNERS	041	MSFT	B	20,000	30.64	n/a	n/a	800.00	4.0
ROYCE TRADING	031	MTH	S	1,000	36.50	n/a	n/a	50.00	0.0
RBC CAPITAL MARKETS	040	MTN	SS	6,000	49.93	n/a	n/a	240.00	4.0
BALYASNY ASSET MGMT	044	MYGN	C	5,000	24.13	n/a	n/a	250.00	0.0
BALYASNY ASSET MGMT	044	M	S	10,000	38.58	n/a	9-Aug	500.00	0.0
NEUBERGER BERMAN	036	NLSN	B	10,000	28.73	n/a	n/a	400.00	0.0
CORVEX CAPITAL	041	NLY	S	125,000	16.99	n/a	n/a	3,750.00	0.0
BALYASNY ASSET MGMT	044	PFE	S	20,000	24.04	n/a	n/a	1,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	25,000	32.18	n/a	20-Jul	1,250.00	5.0
SCOPUS FUND	041	PLCE	B	22,050	55.92	n/a	16-Aug	882.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	PLCE	SS	10,000	55.23	n/a	16-Aug	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	25,000	65.55	n/a	26-Jul	1,250.00	5.0
ROYCE TRADING	031	RTEC	B	1,000	9.65	n/a	n/a	50.00	0.0
RBC CAPITAL MARKETS	040	SAFM	B	4,000	39.73	n/a	n/a	160.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	SHAW	B	12,500	41.77		n/a	n/a	250.00 2.0
BRONSON POINT	036	SJM	B	40,000	79.07	n/a	n/a	1,200.00	0.0
ROYCE TRADING	031	TWGP	B	5,000	18.59	n/a	n/a	250.00	0.0
FORTRESS INVESTMENT (US)	036	TYC	B	19,000	57.98	n/a	3-Aug	380.00	0.0
RBC CAPITAL MARKETS	040	ULTA	SS	3,000	89.06	n/a	n/a	120.00	4.0
BALYASNY ASSET MGMT	044	URBN	S	15,000	31.26	n/a	n/a	750.00	0.0
NCM CAPITAL MGMT	035	WFR	S	232,515	2.70	n/a	n/a	9,300.60	0.0
KAM ADVISORS LLC	041	X	SS	50,000	22.77	n/a	n/a	1,500.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>74,537.51</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/15	NEUBERGER BERMAN (NBER700809)	036	AIG	B	52,000	33.96	n/a	n/a	2080.00 0.0
AO,	08/15	NEUBERGER BERMAN (NBER700809)	036	AIG	B	52,000	33.96	n/a	n/a	2080.00 0.0
CRT	08/16	JETSTREAM GLOBAL FUND LP (JETSUSE GS)	065	CSCO	S	85,000	18.68	n/a	n/a	4250.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>4,250.00</b>
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TOTAL (Trade Date) :	74,537.51
TOTAL (AO, CXL, CRT) :	4,250.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>78,787.51</b>
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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