



Daily Compliance Activity Report

Trade Date: 07/19/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AGN	S	15,545	87.52	n/a	18-Jul	466.35	0.0
EVERGREEN	047	ALV	B	22,800	56.56	n/a	20-Jun	912.00	0.0
OZ MGMT	040	ALV	B	60,000	56.69	n/a	20-Jun	1,800.00	0.0
SPARTAN	093	ALV	B	10,000	56.70	n/a	20-Jun	300.00	3.0
TRELLUS PARTNERS LP	028	ALV	S	15,300	56.48	n/a	20-Jun	459.00	0.0
KLEINHEINZ CAP PART	031	ANF	B	30,000	36.81	n/a	17-May	1,500.00	5.0
ROARING BLUE LION MGMT	031	ARO	S	12,900	20.01	n/a	n/a	516.00	4.0
SPARTAN	093	AXL	B	30,000	10.20	n/a	7-Jun	900.00	3.0
BRONSON POINT	036	BWA	SS	10,000	63.79	n/a	27-Apr	300.00	0.0
STATE TEACHERS RET SYS	047	DLR	B	15,000	73.26	n/a	n/a	750.00	5.0
SCOPUS FUND	041	DLTR	B	25,900	52.57	n/a	3-Jul	1,036.00	0.0
BASIX	033	DPZ	B	11,000	33.20	n/a	17-Jul	330.00	3.0
BRONSON POINT	036	ENR	SS	10,000	78.56	n/a	3-May	300.00	0.0
GEOSPHERE CAPITAL MGMT	084	EQT	S	25,000	55.40	n/a	n/a	750.00	0.0
STATE TEACHERS RET SYS	047	EXL	B	8,000	12.30	n/a	n/a	400.00	0.0
LISTED ERR	099	EXL	S	717	12.29	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	GES	B	50,000	28.67	n/a	18-Jul	1,500.00	3.0
MASTERS CAPITAL MANAGE	025	GLW	B	100,000	12.50	n/a	1-May	4,000.00	4.0
RBC CAPITAL MARKETS	040	HAIN	B	3,000	57.08	n/a	n/a	120.00	4.0
MACELLUM CAPITAL	086	HBI	S	17,620	30.28	n/a	18-Jul	528.60	3.0
HIGHBRIDGE CAP	041	HFC	S	7,000	36.61	n/a	n/a	210.00	3.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	82.83	n/a	n/a	200.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	32.13	n/a	2-Jul	2,500.00	5.0
OZ MGMT	040	JCI	C	35,238	26.27	n/a	17-Jul	1,057.14	0.0
PIONEER OAKRIDGE	031	JCI	S	60,290	26.00	n/a	17-Jul	1,808.70	0.0
PIONEER OAKRIDGE	031	JNJ	B	32,300	69.60	n/a	n/a	969.00	0.0
TUDOR INVESTORS	028	JWN	B	25,000	53.35	n/a	6-Jul	750.00	3.0
RBC CAPITAL MARKETS	040	KMB	B	5,000	85.70	n/a	23-Apr	200.00	4.0
BASIX	033	KSU	B	10,800	71.98	n/a	n/a	324.00	3.0
WOOSTER CAPITAL	035	LEA	B	50,000	36.99	n/a	4-May	2,500.00	5.0
BRONSON POINT	036	LVS	B	20,000	41.99	n/a	13-Jun	600.00	0.0
MACELLUM CAPITAL	086	MGM	B	26,130	10.31	n/a	13-Jun	783.90	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	MKTX	S	19,150	30.12	n/a	n/a	766.00	0.0
NOKOMIS PARTNERS	031	MSFT	S	56,000	30.57	n/a	n/a	1,680.00	3.0
RBC CAPITAL MARKETS	040	MTN	SS	3,000	49.84	n/a	n/a	120.00	4.0
HIGHBRIDGE CAP	041	MTW	S	23,000	11.10	n/a	11-Jul	690.00	3.0
TRELLUS PARTNERS LP	028	M	B	10,000	35.17	n/a	6-Jul	300.00	0.0
RBC CAPITAL MARKETS	040	NKE	B	10,000	95.23	n/a	29-Jun	400.00	4.0
MILLENNIUM ICS OPPORTUNITIES TONY060		OIS	B	14,300	74.14		n/a	n/a	429.00 0.0
DEVENNY CAP LLC/MILLENNIUM	044	PAG	B	10,000	24.49	n/a	26-Apr	300.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	15,000	30.92	n/a	17-Jul	750.00	5.0
MELLON/BANK OF NEW YORK	046	PNC	B	93,350	61.98	n/a	n/a	3,734.00	0.0
1798 CAP/LOMBARD ASSET	040	POT	C	12,500	45.38	n/a	n/a	625.00	0.0
CAMBIAR CAP	046	PRX	S	200,000	50.02	n/a	18-Jul	8,000.00	0.0
ASCEND PARTNERS	033	PVH	B	49,100	80.48	n/a	18-Jul	1,473.00	0.0
RBC CAPITAL MARKETS	040	RCL	B	7,700	24.94	n/a	n/a	308.00	4.0
HOLLIS CAPITAL	033	RKT	S	10,000	63.77	n/a	2-Jul	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	SHW	S	2,423	123.94	n/a	19-Jul	72.69	3.0
RBC CAPITAL MARKETS	040	SJM	SS	3,000	76.73	n/a	n/a	120.00	4.0
INVESCO	031	WAG	B	122,911	34.30	n/a	n/a	4,916.44	0.0
MELLON/BANK OF NEW YORK	046	WFC	B	174,040	34.30	n/a	13-Jul	6,961.60	0.0
BALLAST CAP	040	WY	S	32,000	23.18	n/a	4-May	1,600.00	5.0
VISIUM/BALY BOBBY	044	XLI	C	25,000	35.64	n/a	n/a	1,250.00	0.0
MERRILL ASSET/BLACKROCK	297	Y	B	3,500	344.66	n/a	n/a	140.00	0.0
BALYASNY ASSET MGMT	044	ZUMZ	S	9,550	36.25	n/a	n/a	477.50	0.0
TOTAL (Trade Date) :								64,383.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	07/19	WOOSTER CAPITAL (WOOSGOLDMA)	035	LEA	B	50,000	36.99	n/a	4-May	2500.00 5.0
AO,CXL	01/23	LATEEF MGMT (LATE5331)	035	SYY	B	150	30.14	n/a	n/a	2550.00 0.0
AO,CRT	01/23	LATEEF MGMT (LATE5331)	035	SYY	B	150	30.14	n/a	n/a	25.50 17.0

TOTAL (AO, CXL, CRT) :	-24.50
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TOTAL (Trade Date) :	64,383.92
TOTAL (AO, CXL, CRT) :	-24.50

TOTAL (RUN DATE) / NFS:	64,359.42
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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