



## Daily Compliance Activity Report

Trade Date: 08/03/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	ARO	SS	5,000	13.52	n/a	n/a	200.00	4.0
ROSEDALE CAPITAL	046	AXL	S	30,000	10.28	n/a	30-Jul	1,200.00	4.0
Õ Doug Rogers		BAC	B	160	25.0400	n/a	2-Aug	0.00	0.0
Õ Doug Rogers		BAC	B	167	25.0400	n/a	2-Aug	0.00	0.0
Õ Doug Rogers		BAC	B	190	25.0400	n/a	2-Aug	0.00	0.0
GEORGE WEISS	034	BBBY	B	16,000	62.43	n/a	n/a	480.00	0.0
RBC CAPITAL MARKETS	040	BWLD	B	4,000	73.31	n/a	n/a	160.00	4.0
CATAPULT	040	DSW	SS	7,500	58.90	n/a	11-Feb	300.00	0.0
CATAPULT	040	EAT	B	13,000	33.24	n/a	13-Jul	520.00	0.0
RBC CAPITAL MARKETS	040	HAIN	B	4,000	56.46	n/a	n/a	160.00	4.0
CAMBIAR CAP	046	HBI	S	100,640	31.69	n/a	1-Aug	4,025.60	0.0
RBC CAPITAL MARKETS	040	HD	SS	5,000	52.22	n/a	7-Jun	200.00	4.0
BRONSON POINT	036	HRL	SS	50,000	27.97	n/a	n/a	1,500.00	0.0
EMPYREAN CAPITAL	084	IP	B	50,000	32.69	n/a	27-Jul	1,500.00	0.0
TALPION LLC	040	IT	SS	5,000	47.64	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	JCI	B	2,500	24.70	n/a	20-Jul	250.00	10.0
GEORGE WEISS	034	JWN	B	12,000	54.07	n/a	3-Aug	480.00	0.0
NOMURA INTERNATIONAL PLC	046	KSS	B	40,000	50.96	n/a	3-Aug	2,038.37	0.0
MILLRACE FUND LP	028	LEA	B	16,000	37.68	n/a	3-Aug	640.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	150,000	11.16	n/a	31-Jul	7,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	49,674	11.05	n/a	31-Jul	2,483.70	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	70,326	11.17	n/a	31-Jul	3,516.30	5.0
RBC CAPITAL MARKETS	040	MTN	SS	21,700	52.01	n/a	n/a	868.00	4.0
APEX CAPITAL MGMT.	261	MTW	B	150,000	12.17	n/a	11-Jul	6,000.00	0.0
KLEINHEINZ CAP PART	031	M	B	50,000	37.59	n/a	3-Aug	2,500.00	5.0
CAPITAL GROWTH MGMT.	241	NOV	B	70,000	75.09	n/a	n/a	3,500.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	26.53	n/a	20-Jul	400.00	4.0
SENATOR INVESTMENT GROUP	036	OCR	S	150,000	31.80	n/a	n/a	4,500.00	3.0
WEINTRAUB CAPITAL MGT.	084	ONE	SS	50,000	11.93	n/a	n/a	2,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	PCAR	B	10,000	39.89	n/a	11-Jul	400.00	0.0
RBC CAPITAL MARKETS	040	PENN	SS	5,000	37.94	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	RAH	B	5,000	63.76	n/a	n/a	200.00	4.0
GEORGE WEISS	034	SBH	B	112,000	26.56	n/a	n/a	4,480.00	0.0
RBC CAPITAL MARKETS	040	SJM	SS	5,000	75.75	n/a	n/a	200.00	4.0
CAPITAL GROWTH MGMT.	241	SU	B	60,000	31.37	n/a	n/a	2,400.00	4.0
WEINTRAUB CAPITAL MGT.	084	SWN	SS	100,000	30.95	n/a	3-Aug	4,000.00	4.0
GEORGE WEISS	034	TBT	B	20,000	15.09	n/a	n/a	800.00	0.0
BALLAST CAP	040	THO	SS	4,200	31.36	n/a	n/a	210.00	5.0
RBC CAPITAL MARKETS	040	TUP	B	2,000	52.01	n/a	n/a	80.00	4.0
TALPION LLC	040	VC	B	200	27.39	n/a	n/a	8.00	0.0
RBC CAPITAL MARKETS	040	VFC	SS	2,000	149.14	n/a	25-Jul	80.00	4.0
TALPION LLC	040	WRLD	SS	800	72.62	n/a	n/a	32.00	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	15,000	87.21	n/a	n/a	450.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>60,661.97</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/02	WILLIAMS TRADING/BLUE MTN (WTBMGS)	087	VMED	B	134,866	27.07	n/a	n/a	4045.98 0.0
AO,CXL	08/02	WILLIAMS TRADING/FOX POINT (WTFPGS)	025	VMED	B	134,866	27.07	n/a	n/a	4045.98 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	60,661.97
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>60,661.97</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