



Daily Compliance Activity Report

Trade Date: 07/26/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	AES	S	56,452	12.00	n/a	n/a	2,258.08	0.0
HIGHBRIDGE CAP	041	AGCO	B	6,000	43.31	n/a	n/a	180.00	3.0
PERRY PARTNERS	085	AMT	S	25,000	70.98	n/a	n/a	1,250.00	5.0
BASSWOOD PARTNERS	267	AXE	B	5,600	50.51	n/a	25-Jul	224.00	0.0
ROSEDALE CAPITAL	046	BSX	B	40,000	5.00	n/a	n/a	1,200.00	3.0
TRELLUS PARTNERS LP	028	CAKE	SS	25,000	33.21	n/a	26-Jul	750.00	0.0
CATAPULT/KGLT	040	CLF	B	25,000	38.47	n/a	n/a	1,000.00	4.0
SANDLER CAPITAL	028	CLH	B	75,000	59.18	n/a	n/a	3,750.00	0.0
STATE TEACHERS RET SYS	047	CLP	B	15,000	22.19	n/a	n/a	750.00	5.0
CRAMER ROSENTHAL	070	COH	C	4,700	60.13	n/a	18-Jul	188.00	0.0
PRIMECAP MGMT	084	CVS	S	100,000	44.64	n/a	n/a	4,000.00	0.0
PRIMECAP MGMT	084	DAL	S	700	9.33	n/a	n/a	21.00	0.0
PRIMECAP MGMT	084	DTV	S	200	48.68	n/a	n/a	8.00	0.0
PRIMECAP MGMT	084	ERIC	S	25,900	8.90	n/a	n/a	777.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	EXP	B	10,000	34.99	n/a	n/a	400.00	0.0
PRIMECAP MGMT	084	FDX	S	3,700	89.10	n/a	n/a	148.00	0.0
BRIGADE CAPITAL MGMT	029	FNP	S	25,000	11.18	n/a	n/a	750.00	0.0
SCOPUS FUND	041	FNP	B	40,000	11.32	n/a	n/a	1,600.00	4.0
SIMMONS VENTURES	041	FNP	SS	15,000	10.80	n/a	n/a	600.00	4.0
HIGHBRIDGE CAP	041	FTI	B	11,200	44.66	n/a	n/a	336.00	3.0
EPOCH INV MGMT	030	GLW	S	500,000	11.20	n/a	25-Jul	15,000.00	0.0
BRONSON POINT	036	HON	B	25,000	57.60	n/a	18-Jul	750.00	0.0
ARMATURE CAPITAL	041	IP	B	25,000	32.49	n/a	20-Jul	1,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	136,123	32.85	n/a	20-Jul	6,806.15	0.0
DC CAPITAL	044	IP	S	50,000	33.30	n/a	20-Jul	2,000.00	0.0
SCOPUS FUND	041	IP	B	45,000	32.33	n/a	20-Jul	1,800.00	4.0
THE JAY GOLDMAN	028	JCP	B	5,600	21.50	n/a	2-Jul	224.00	4.0
SIMMONS VENTURES	041	JNY	SS	5,000	10.15	n/a	26-Jul	200.00	4.0
ROARING BLUE LION MGMT	031	JOSB	B	5,800	41.69	n/a	n/a	232.00	4.0
HOTCHKIS & WILEY	035	KMB	S	113,800	84.65	n/a	23-Apr	4,552.00	0.0
BASIX	033	KMT	B	32,000	35.33	n/a	n/a	960.00	3.0
PRIMECAP MGMT	084	KMX	S	12,800	27.06	n/a	n/a	512.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	KSS	B	10,000	48.32	n/a	6-Jul	400.00	4.0
Õ Nilsa Vazquez		LRCX	S	300	33.7950	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	LTD	B	1,800	45.50	n/a	n/a	72.00	0.0
MACELLUM CAPITAL	086	LZB	SS	15,000	11.47	n/a	n/a	450.00	0.0
NEUBERGER BERMAN	036	MANH	B	21,855	48.00	n/a	n/a	874.20	0.0
FARALLON CAP MGMT	040	MSFT	S	100,000	29.26	n/a	n/a	3,720.00	3.5
SANDLER O'NEILL ASSET	031	MS	S	135,000	12.98	n/a	25-Jul	6,750.00	5.0
THE JAY GOLDMAN	028	M	SS	15,000	35.37	n/a	6-Jul	600.00	4.0
SCOPUS FUND	041	NKE	B	10,000	96.12	n/a	29-Jun	400.00	4.0
HOTCHKIS & WILEY	035	NOC	S	130,600	64.67	n/a	20-Jul	5,224.00	0.0
SASCO	033	OI	B	11,800	18.06	n/a	n/a	413.00	0.0
NORTHWESTERN MUTUAL LIFE	047	ORCL	B	141,550	29.77	n/a	n/a	5,662.00	0.0
OHIO PERS	047	PCP	B	4,000	156.13	n/a	20-Jul	120.00	0.0
WINSLOW CAPITAL	030	PCP	B	200,000	158.49	n/a	20-Jul	6,000.00	0.0
PRIMECAP MGMT	084	PG	S	100,000	64.76	n/a	20-Jun	4,000.00	0.0
KENNEDY CAPITAL	046	PLCE	S	65,873	49.55	n/a	5-Jun	2,634.92	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	QGEN	B	7,749	17.57	n/a	n/a	309.96	0.0
PRIMECAP MGMT	084	RIMM	S	22,400	6.94	n/a	n/a	672.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	25,000	57.80	n/a	26-Jul	1,250.00	5.0
PRIMECAP MGMT	084	ROK	S	2,700	63.59	n/a	n/a	108.00	0.0
PRIMECAP MGMT	084	SLB	S	2,300	71.14	n/a	n/a	92.00	0.0
PRIMECAP MGMT	084	SNE	S	5,200	11.75	n/a	n/a	208.00	0.0
OHIO PERS	047	SPR	B	24,000	22.67	n/a	20-Jul	720.00	0.0
COLUMBUS CIRCLE	036	STMP	S	6,300	20.71	n/a	n/a	252.00	0.0
PRIMECAP MGMT	084	S	S	20,400	3.89	n/a	n/a	408.00	0.0
OHIO PERS	047	TDG	S	11,000	119.25	n/a	n/a	330.00	0.0
DISCIPLINED GROWTH INV.	030	TJX	S	40,550	43.93	n/a	10-Jul	2,027.50	0.0
NEUBERGER BERMAN	036	TNC	B	5,244	36.95	n/a	n/a	209.76	0.0
ARSENAL ASSET MANAGEMENT	028	TRN	SS	8,401	26.60	n/a	n/a	336.04	0.0
CAERUS GLOBAL	041	TSN	B	17,750	14.71	n/a	n/a	710.00	4.0
PRIMECAP MGMT	084	UPS	S	100	74.60	n/a	n/a	4.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	VMC	S	14,400	37.08	n/a	n/a	576.00	0.0
RAINIER INV MGMT	035	VMI	S	9,140	125.46	n/a	n/a	365.60	0.0
STATE TEACHERS RET SYS	047	WRI	S	15,000	26.17	n/a	n/a	750.00	5.0
SIMMONS VENTURES	041	ZNGA	B	25,000	3.05	n/a	n/a	750.00	3.0
TOTAL (Trade Date) :							101,625.21		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	07/25	COLUMBUS CIRCLE (COLC5000)	036	ALXN	B	233	100.22	n/a	n/a	9.32	0.0
CRT	07/26	SIMMONS VENTURES (SIMMJPM)	041	FNP	SS	15,000	10.80	n/a	n/a	600.00	4.0
AO,CXL	07/23	HIGHBRIDGE CAP (HIBCGOLDPB)	041	MON	B	1,500	84.89	n/a	23-Jul	45.00	3.0
AO,CRT	07/23	HIGHBRIDGE CAP (HIBCCSFB)	041	MON	B	1,500	84.89	n/a	23-Jul	45.00	3.0
AO,CXL	07/25	FIRST NEW YORK LEDDY (FNYS)	035	S	S	20,000	3.44	n/a	n/a	1200.00	6.0
AO,CRT	07/25	FIRST NEW YORK LEDDY (FNYS)	035	S	S	20,000	3.44	n/a	n/a	800.00	4.0
TOTAL (AO, CXL, CRT) :										209.32	
TOTAL (Trade Date) :										101,625.21	
TOTAL (AO, CXL, CRT) :										209.32	
TOTAL (RUN DATE) / NFS:										101,834.53	

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