

Daily Compliance Activity Report Trade Date: 09/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
BNP PARIBAS SEC	040	ARO	S	33,000	13.98	n/a	n/a	1,650.00	5.0	
LATEEF MGMT	035	ATI	S	750	32.00	n/a	14-Sep	75.00	10.0	
BALYASNY ASSET MGMT	044	AXL	В	103,426	11.17	n/a	30-Jul	5,171.30	0.0	
ROSEDALE CAPITAL	046	AXL	В	6,800	11.08	n/a	30-Jul	272.00	4.0	
PATTEN & PATTEN	025	BAB	S	700	30.08	n/a	n/a	35.00	5.0	
CATAPULT	040	BAC	SS	50,000	9.02	n/a	26-Sep	2,000.00	0.0	
MERRILL ASSET/BLACKROCK	297	BFS	В	2,250	45.82	n/a	n/a	90.00	0.0	
KAM ADVISORS LLC	041	CBS	В	90,000	36.22	n/a	n/a	2,700.00	0.0	
TUDOR INVESTORS	028	CLD	В	10,000	18.23	n/a	n/a	300.00	3.0	
TUDOR INVESTORS	028	CNX	SS	10,000	29.70	n/a	n/a	300.00	3.0	
TEMAGAMI CAPITAL	041	DENN	В	13,966	5.00	n/a	n/a	418.98	3.0	
DELTEC ASSET MGMT.	040	DG	В	7,700	51.20	n/a	5-Sep	385.00	5.0	
PATTEN & PATTEN	025	DVY	В	100	57.78	n/a	n/a	5.00	5.0	
PATTEN & PATTEN	025	D	В	50	52.94	n/a	n/a	2.50	5.0	
CHESAPEAKE PARTNERS	028	ETFC	В	10,000	8.75	n/a	n/a	300.00	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.		
PATTEN & PATTEN	025	EXC	S	150	35.62	n/a	n/a	7.50	5.0		
CAERUS GLOBAL	041	FINL	S	16,571	22.75	n/a	21-Sep	662.84	4.0		
WHITE PINE CAPITAL	030	FL	S	1,700	35.99	n/a	29-Aug	85.00	0.0		
LATEEF MGMT	035	GLW	В	500	13.29	n/a	13-Sep	45.00	9.0		
LEVIN CAPITAL STRATEGIES	041	GM	С	10,000	23.47	n/a	25-Sep	300.00	0.0		
TRELLUS PARTNERS LP	028	GM	С	40,000	23.37	n/a	25-Sep	1,200.00	0.0		
SAC CHICAGO ANDREW	031	GNC	В	44,460	36.86	n/a	n/a	1,556.10	3.5		
BASSWOOD PARTNERS	267	GS	В	11,100	114.98	n/a	14-Sep	444.00	0.0		
DENVER INST. ADV	046	HLF	S	258,000	46.63	n/a	n/a	10,320.00	0.0		
LATEEF MGMT	035	HPQ	В	750	17.18	n/a	n/a	75.00	10.0		
PATTEN & PATTEN	025	HYG	S	200	92.58	n/a	n/a	10.00	5.0		
PATTEN & PATTEN	025	IGM	В	50	69.79	n/a	n/a	2.50	5.0		
PATTEN & PATTEN	025	IP	В	125	36.60	n/a	24-Sep	6.25	5.0		
CAERUS GLOBAL	041	JCP	S	15,000	24.52	n/a	13-Aug	600.00	4.0		
WEISS PECK - ROBECO INV		040	JNY	S	124,190	12.94	n/a	26-Jul	6,209.50	С	
MACELLUM CAPITAL	086	KORS	В	9,700	53.18	n/a	n/a	291.00	3.0		

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
J. GOLDMAN	028	KSS	В	15,000	50.93	n/a	31-Aug	600.00	4.0	
COOPER CREEK PART	028	LPX	SS	10,000	12.71	n/a	31-Jul	400.00	4.0	
ASCEND PARTNERS	033	LULU	С	15,000	73.99	n/a	10-Sep	750.00	0.0	
SANDLER O'NEILL ASSET	031	MS	S	15,000	16.87	n/a	11-Sep	750.00	5.0	
LATEEF MGMT	035	NKE	В	300	95.35	n/a	21-Sep	54.00	18.0	
MATRIX ASSET ADV.	091	ОХУ	В	2,500	85.10	n/a	n/a	100.00	4.0	
PATTEN & PATTEN	025	PGX	В	500	14.77	n/a	n/a	25.00	5.0	
PATTEN & PATTEN	025	РНВ	В	1,000	19.11	n/a	n/a	50.00	5.0	
BRONSON POINT	036	RCL	S	50,000	30.09	n/a	n/a	1,500.00	0.0	
CAERUS GLOBAL	041	RL	В	3,784	152.24	n/a	9-Aug	151.36	4.0	
MERRILL ASSET/BLACKROCK	297	RSE	В	6,100	14.57	n/a	n/a	244.00	0.0	
PATTEN & PATTEN	025	SPY	В	100	144.83	n/a	n/a	5.00	5.0	
PATTEN & PATTEN	025	SWN	В	75	35.02	n/a	27-Sep	3.75	5.0	
CATAPULT	040	TCB	SS	5,000	11.90	n/a	n/a	200.00	0.0	
LATEEF MGMT	035	TEVA	В	300	41.13	n/a	24-Sep	51.00	17.0	
	J. GOLDMAN COOPER CREEK PART ASCEND PARTNERS SANDLER O'NEILL ASSET LATEEF MGMT MATRIX ASSET ADV. PATTEN & PATTEN PATTEN & PATTEN BRONSON POINT CAERUS GLOBAL MERRILL ASSET/BLACKROCK PATTEN & PATTEN PATTEN & PATTEN CATAPULT	J. GOLDMAN 028 COOPER CREEK PART 028 ASCEND PARTNERS 033 SANDLER O'NEILL ASSET 031 LATEEF MGMT 035 MATRIX ASSET ADV. 091 PATTEN & PATTEN 025 BRONSON POINT 036 CAERUS GLOBAL 041 MERRILL ASSET/BLACKROCK 297 PATTEN & PATTEN 025 PATTEN & PATTEN 025 PATTEN & PATTEN 025 CATAPULT 040	J. GOLDMAN 028 KSS COOPER CREEK PART 028 LPX ASCEND PARTNERS 033 LULU SANDLER O'NEILL ASSET 031 MS LATEEF MGMT 035 NKE MATRIX ASSET ADV. 091 OXY PATTEN & PATTEN 025 PGX PATTEN & PATTEN 025 PHB BRONSON POINT 036 RCL CAERUS GLOBAL 041 RL MERRILL ASSET/BLACKROCK 297 RSE PATTEN & PATTEN 025 SPY PATTEN & PATTEN 025 SWN CATAPULT 040 TCB	J. GOLDMAN 028 KSS B COOPER CREEK PART 028 LPX SS ASCEND PARTNERS 033 LULU C SANDLER O'NEILL ASSET 031 MS S LATEEF MGMT 035 NKE B MATRIX ASSET ADV. 091 OXY B PATTEN & PATTEN 025 PGX B BRONSON POINT 036 RCL S CAERUS GLOBAL 041 RL B MERRILL ASSET/BLACKROCK 297 RSE B PATTEN & PATTEN 025 SPY B PATTEN & PATTEN 025 SWN B CATAPULT 040 TCB SS	J. GOLDMAN 028 KSS B 15,000 COOPER CREEK PART 028 LPX SS 10,000 ASCEND PARTNERS 033 LULU C 15,000 SANDLER O'NEILL ASSET 031 MS S 15,000 LATEEF MGMT 035 NKE B 300 MATRIX ASSET ADV. 091 OXY B 2,500 PATTEN & PATTEN 025 PGX B 500 PATTEN & PATTEN 025 PHB B 1,000 BRONSON POINT 036 RCL S 50,000 CAERUS GLOBAL 041 RL B 3,784 MERRILL ASSET/BLACKROCK 297 RSE B 6,100 PATTEN & PATTEN 025 SPY B 100 PATTEN & PATTEN 025 SWN B 75 CATAPULT 040 TCB SS 5,000	J. GOLDMAN 028 KSS B 15,000 50.93 COOPER CREEK PART 028 LPX SS 10,000 12.71 ASCEND PARTNERS 033 LULU C 15,000 73.99 SANDLER O'NEILL ASSET 031 MS S 15,000 16.87 LATEEF MGMT 035 NKE B 300 95.35 MATRIX ASSET ADV. 091 OXY B 2,500 85.10 PATTEN & PATTEN 025 PGX B 500 14.77 PATTEN & PATTEN 025 PHB B 1,000 19.11 BRONSON POINT 036 RCL S 50,000 30.09 CAERUS GLOBAL 041 RL B 3,784 152.24 MERRILL ASSET/BLACKROCK 297 RSE B 6,100 14.57 PATTEN & PATTEN 025 SPY B 100 144.83 PATTEN & PATTEN 025 SWN B 75 35.02 CATAPULT 040 TCB SS 5,000 11.90	J. GOLDMAN 028 KSS B 15,000 50.93 n/a COOPER CREEK PART 028 LPX SS 10,000 12.71 n/a ASCEND PARTNERS 033 LULU C 15,000 73.99 n/a SANDLER O'NEILL ASSET 031 MS S 15,000 16.87 n/a LATEEF MGMT 035 NKE B 300 95.35 n/a MATRIX ASSET ADV. 091 OXY B 2,500 85.10 n/a PATTEN & PATTEN 025 PGX B 500 14.77 n/a PATTEN & PATTEN 025 PHB B 1,000 19.11 n/a BRONSON POINT 036 RCL S 50,000 30.09 n/a CAERUS GLOBAL 041 RL B 3,784 152.24 n/a MERRILL ASSET/BLACKROCK 297 RSE B 6,100 14.57 n/a PATTEN & PATTEN 025 SPY B 100 144.83 n/a PATTEN & PATTEN 025 SWN B 75 35.02 n/a CATAPULT 040 TCB SS 5,000 11.90 n/a	J. GOLDMAN 028 KSS B 15,000 50.93	T. GOLDMAN 028 KSS B 15,000 50.93 n/a 31-Aug 600.00 COOPER CREEK PART 028 LPX SS 10,000 12.71 n/a 31-Jul 400.00 ASCEND PARTNERS 033 LULU C 15,000 73.99 n/a 10-Sep 750.00 SANDLER O'NEILL ASSET 031 MS S 15,000 16.87 n/a 11-Sep 750.00 MATRIX ASSET ADV. 091 OXY B 2,500 85.10 n/a 21-Sep 54.00 PATTEN & PATTEN 025 PHB B 1,000 19.11 n/a n/a 10.00 PATTEN & PATTEN 036 RCL S 50,000 30.09 n/a n/a n/a 1,500.00 BRONSON POINT 036 RCL S 50,000 30.09 n/a n/a n/a 1,500.00 PATTEN & PATTEN 041 RL B 3,784 152.24 n/a 9-Aug 151.36 MERRILL ASSET/BLACKROCK 297 RSE B 6,100 14.57 n/a n/a n/a 244.00 PATTEN & PATTEN 025 SWN B 75 35.02 n/a 27-Sep 3.75 CATAPULT 040 TCB SS 5,000 11.90 n/a n/a 0.00 0.00	J. GOLDMAN 028 KSS B 15,000 50.93 n/a 31-Aug 600.00 4.0 COOPER CREEK PART 028 LPX SS 10,000 12.71 n/a 31-Jul 400.00 4.0 ASCEND PARTNERS 033 LULU C 15,000 73.99 n/a 10-Sep 750.00 0.0 SANDLER O'NEILL ASSET 031 MS S 15,000 16.87 n/a 11-Sep 750.00 5.0 LATEEF MCMT 035 NKE B 300 95.35 n/a 21-Sep 54.00 18.0 MATRIX ASSET ADV. 091 OXY B 2,500 85.10 n/a n/a 100.00 4.0 PATTEN & PATTEN 025 PGX B 500 14.77 n/a n/a n/a 25.00 5.0 EATTEN & PATTEN 025 PHB B 1,000 19.11 n/a n/a 50.00 5.0 ERONSON POINT 036 RCL S 50,000 30.09 n/a n/a 1,500.00 0.0 CABRUS GLOBAL 041 RL B 3,784 152.24 n/a 9-Aug 151.36 4.0 MERRILL ASSET/BLACKBOCK 297 RSE B 6,100 14.57 n/a n/a 27-Sep 3.75 5.0 FATTEN & PATTEN 025 SMN B 75 35.02 n/a 27-Sep 3.75 5.0 CATAPULT 040 TCB SS 50,000 11.90 n/a n/a 27-Sep 3.75 5.0 CATAPULT 040 TCB SS 55,000 11.90 n/a n/a 27-Sep 3.75 5.0 CATAPULT 040 TCB SS 55,000 11.90 n/a n/a 200.00 0.0

Account	RR #	Symbol	B/S	Shares Price		MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	TGT	SS	3 , 795	63.63	n/a	30-Aug	151.80	4.0
SAC CHICAGO ANDREW	031	TGT	S	50,000	63.57	n/a	30-Aug	1,750.00	3.5
SAC CHICAGO ANDREW	031	TJX	SS	20,000	44.54	n/a	31-Aug	700.00	3.5
PATTEN & PATTEN	025	UNP	S	15	119.15	n/a	n/a	0.75	5.0
KLEINHEINZ CAP PART	031	URI	В	40,000	33.11	n/a	17-Apr	2,000.00	5.0
TUDOR INVESTORS	028	URI	В	5,000	33.01	n/a	17-Apr	150.00	3.0
PATTEN & PATTEN	025	VXZ	В	600	33.45	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	WAG	В	125	36.66	n/a	n/a	6.25	5.0
ACK ASSET	028	WSM	SS	36,000	43.20	n/a	n/a	1,080.00	0.0
PATTEN & PATTEN	025	XLP	В	200	35.98	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	XLV	В	200	40.36	n/a	n/a	10.00	5.0

TOTAL (Trade Date): 46,292.38

Cancel/Corrects and As-Of Trades

Туре	Date	Account		RR #	Symbol	B/S	Shares	Price	MRI 1	Research	Comm.	Shr.
AO,	09/26	BAIRD INVESTMENT (BA	AIRVB242L)	047	FTNT	В	175	24.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRVB241L)	047	FTNT	В	175	21.82	n/a	n/a	8.75	0.0
AO,	09/26	BAIRD INVESTMENT (BA	AIRVB241L)	047	FTNT	В	175	24.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRWMCLFD)	047	FTNT	В	3,350	21.82	n/a	n/a	167.50	0.0
AO,	09/26	BAIRD INVESTMENT (BA	AIRWMCLFD)	047	FTNT	В	3,350	24.82	n/a	n/a	167.50	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRJB473L)	047	FTNT	В	4,350	21.82	n/a	n/a	217.50	0.0
AO,	09/26	BAIRD INVESTMENT (BA	AIRJB473L)	047	FTNT	В	4,350	24.82	n/a	n/a	217.50	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRBLCFB)	047	FTNT	В	3,225	21.82	n/a	n/a	161.25	0.0
AO,	09/26	BAIRD INVESTMENT (BA	AIRBLCFB)	047	FTNT	В	3,225	24.82	n/a	n/a	161.25	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRVB245L)	047	FTNT	В	75	21.82	n/a	n/a	3.75	0.0
AO,	09/26	BAIRD INVESTMENT (BA	AIRVB245L)	047	FTNT	В	75	24.82	n/a	n/a	3.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRVB240L)	047	FTNT	В	325	21.82	n/a	n/a	16.25	0.0
AO,	09/26	BAIRD INVESTMENT (BA	AIRVB240L)	047	FTNT	В	325	24.82	n/a	n/a	16.25	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRVB243L)	047	FTNT	В	175	21.82	n/a	n/a	8.75	0.0
AO,	09/26	BAIRD INVESTMENT (BA	AIRVB243L)	047	FTNT	В	175	24.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	BAIRD INVESTMENT (BA	AIRVB242L)	047	FTNT	В	175	21.82	n/a	n/a	8.75	0.0
AO,CXL	09/26	SANDLER O'NEILL ASSE	ET (SANOMSIL)	031	LAZ	В	2,900	28.60	n/a	5-Sep	145.00	5.0
AO,CXL	09/26	WOOSTER CAPITAL (WOO	OSGOLDMA)	035	LEA	В	10,000	37.48	n/a	3-Aug	500.00	5.0
AO, CRT	09/26	WOOSTER CAPITAL (WOO	OSGOLDMA)	035	LEA	В	10,000	37.47	n/a	3-Aug	500.00	5.0

TOTAL (AO, CXL, CRT): -145.00

TOTAL (Trade Date): 46,292.38

TOTAL (AO, CXL, CRT): -145.00 46,147.38

TOTAL (RUN DATE) / NFS:

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