



## Daily Compliance Activity Report

Trade Date: 05/31/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		AKRX	B	11,048	13.57		n/a	n/a	220.96	2.0
SCOPUS FUND	041	ANF	S	70,000	32.97	n/a	17-May	2,800.00	4.0	
DC CAPITAL	044	ATI	B	50,000	31.73	n/a	30-May	2,000.00	4.0	
NUVEEN - US BANCORP		030	BBBY	S	51,648	72.65	n/a	n/a	2,324.19	4.5
NEUBERGER BERMAN	036	CCE	S	20,000	27.43	n/a	n/a	800.00	4.0	
STANDARD PACIFIC CAPITAL	084	CCK	B	295,600	33.91	n/a	n/a	14,780.00	5.0	
ARSENAL ASSET MANAGEMENT	028	CSX	B	40,000	20.62	n/a	n/a	1,600.00	4.0	
DAVIDSON INV ADV	035	CVX	S	22,300	98.44	n/a	n/a	892.00	4.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		DHX	B	9,866	9.82		n/a	n/a	197.32	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		DLLR	B	8,979	16.27		n/a	n/a	179.58	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		DXCM	B	7,803	10.50		n/a	n/a	156.06	2.0
BAIRD INVESTMENT	047	EMR	S	14,640	46.61	n/a	n/a	732.00	5.0	
DAVIDSON INV ADV	035	ESV	B	26,440	44.90	n/a	n/a	1,057.60	4.0	
BNP PARIBAS SEC	040	ETN	B	10,000	42.58	n/a	22-May	500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	EXPD	S	125,000	37.93	n/a	n/a	3,750.00	3.0
MACELLUM CAPITAL	086	EXPR	B	42,000	18.55	n/a	n/a	1,260.00	3.0
NEUBERGER BERMAN	036	FEIC	B	31,388	45.52	n/a	n/a	1,255.52	4.0
ROYCE TRADING	031	FINL	B	2,500	20.77	n/a	31-May	125.00	5.0
ROBERTSON STEVENS BC	084	HBI	B	44,200	27.48	n/a	25-May	1,768.00	4.0
WADDELL AND REED	047	HBI	B	21,900	27.72	n/a	25-May	876.00	4.0
CASTLE ARK	031	HD	B	335,290	49.50	n/a	16-May	16,764.50	5.0
CONIFER/ISF	025	HPQ	B	5,000	22.67	n/a	n/a	200.00	4.0
GALT INVESTMENT	041	JWN	B	30,000	47.62	n/a	25-May	1,500.00	5.0
NEUBERGER BERMAN	036	KFT	B	15,000	38.45	n/a	n/a	600.00	4.0
DALTON GREINER	070	KSS	S	156,000	46.30	n/a	25-May	7,800.00	5.0
MACELLUM CAPITAL	086	LAD	S	20,000	24.14	n/a	n/a	600.00	3.0
MARCATO CAPITAL MGMT.	029	LEA	B	71,200	39.78	n/a	4-May	2,136.00	3.0
ROSEDALE CAPITAL	046	LLY	B	10,000	40.83	n/a	n/a	500.00	5.0
RIDGECREST INV MGMT LLC	028	LPX	S	40,000	9.23	n/a	7-May	1,600.00	4.0
PRIMECAP MGMT	084	MDR	S	7,000	10.10	n/a	n/a	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	MOV	S	26,698	27.35	n/a	n/a	1,334.90	5.0
BRONSON POINT	036	MO	C	50,000	32.20	n/a	n/a	1,500.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			MSPD	B	20,637	3.22	n/a	n/a	412.74 2.0
THE JAY GOLDMAN	028	M	SS	20,000	38.10	n/a	25-May	800.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			NCI	B	8,778	11.94	n/a	n/a	175.56 2.0
ARSENAL ASSET MANAGEMENT	028	NSC	B	40,000	65.28	n/a	n/a	1,600.00	4.0
PECONIC PARTNERS	036	NXPI	S	42,400	20.94	n/a	n/a	2,120.00	5.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			OCZ	B	9,976	4.56	n/a	n/a	199.52 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			PIR	B	7,916	16.16	n/a	n/a	158.32 2.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	23,850	79.71	n/a	25-May	715.50	3.0
DAVIDSON INV ADV	035	RDSA	B	14,515	62.33	n/a	n/a	580.60	4.0
T. ROWE PRICE	033	ROST	B	42,000	63.45	n/a	25-May	1,680.00	4.0
GALT INVESTMENT	041	RUE	B	20,000	26.75	n/a	n/a	1,000.00	5.0
MAIRS AND POWER INV	030	SLB	B	10,000	62.00	n/a	n/a	500.00	5.0
SONTERRA CAP	041	SLE	S	25,000	21.01	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			SPPI	B	8,350	11.53	n/a	n/a	167.00 2.0
EPOCH INV MGMT	030	SPTN	B	3,348	16.64	n/a	n/a	100.44	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			THLD	B	10,837	7.14	n/a	n/a	216.74 2.0
HOTCHKIS & WILEY	035	VCI	B	5,800	19.78	n/a	n/a	290.00	5.0
ARMATURE CAPITAL	041	WY	B	50,000	19.81	n/a	4-May	2,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>85,806.05</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/30	SIMMONS VENTURES (SIMMJPM)	041	JNY	B	10,000	9.70	n/a	26-Apr	300.00 3.0
AO,CRT	05/30	SIMMONS VENTURES (SIMMJPM)	041	JNY	B	10,000	9.70	n/a	26-Apr	400.00 4.0
CRT	05/31	MARCATO CAPITAL MGMT. (MARCGS)	029	LEA	B	71,200	39.78	n/a	4-May	2136.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>2,236.00</b>
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TOTAL (Trade Date) :	85,806.05
TOTAL (AO, CXL, CRT) :	2,236.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>88,042.05</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