



## Daily Compliance Activity Report

Trade Date: 12/24/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABT	S	5,025	65.47	n/a	n/a	175.88	0.0
PZENA INV ADV	044	AIG	S	38,775	34.84	n/a	n/a	1,357.13	0.0
PZENA INV ADV	044	BP	B	18,900	41.93	n/a	n/a	661.54	0.0
LATEEF MGMT	035	CCK	S	125	37.23	n/a	n/a	31.25	25.0
M&I FUNDS	047	CHKP	B	4,361	47.15	n/a	n/a	174.44	4.0
LATEEF MGMT	035	DAL	S	250	11.71	n/a	17-Dec	25.00	10.0
LATEEF MGMT	035	DD	B	100	44.69	n/a	14-Dec	30.00	30.0
PZENA INV ADV	044	DELL	S	7,125	10.31	n/a	n/a	249.38	0.0
LATEEF MGMT	035	DVN	S	100	52.62	n/a	20-Dec	30.00	30.0
METROPOLITAN CAPITAL	044	FINL	B	14,000	18.95	n/a	21-Dec	700.00	5.0
PZENA INV ADV	044	GS	S	1,275	127.95	n/a	20-Dec	44.63	0.0
LATEEF MGMT	035	HPQ	S	400	13.91	n/a	n/a	40.00	10.0
LATEEF MGMT	035	IP	S	125	39.44	n/a	18-Dec	31.25	25.0
LATEEF MGMT	035	JCI	S	125	30.19	n/a	20-Dec	31.25	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	OI	B	150	20.97	n/a	n/a	30.00	20.0
LATEEF MGMT	035	OLN	S	150	21.22	n/a	n/a	30.00	20.0
PZENA INV ADV	044	ORCL	S	275	33.58	n/a	n/a	9.63	0.0
LATEEF MGMT	035	PG	S	100	68.36	n/a	13-Dec	30.00	30.0
LATEEF MGMT	035	TEVA	B	100	37.75	n/a	17-Dec	30.00	30.0
LATEEF MGMT	035	T	B	125	33.82	n/a	n/a	31.25	25.0
<b>TOTAL (Trade Date) :</b>								<b>3,742.63</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/21	TIDE POINT CAPITAL (TIDEMS)	034	BHP	B	981	77.15	n/a	n/a	29.43 0.0
AO,CXL	12/21	TIDE POINT CAPITAL (TIDEGS)	034	BHP	B	9,019	77.15	n/a	n/a	270.57 0.0
AO,	12/21	TIDE POINT CAPITAL (TIDEGS)	034	BHP	B	10,000	77.15	n/a	n/a	300.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date):	3,742.63
TOTAL (AO, CXL, CRT):	0.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>3,742.63</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