



Daily Compliance Activity Report

Trade Date: 07/17/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ARG	B	7,400	83.02	n/a	13-Jun	370.00	0.0
KAYNE ANDERSON ADV	084	ATR	B	20,000	49.75	n/a	n/a	800.00	0.0
DSM CAPITAL PARTNERS	085	BIDU	B	11,300	103.03	n/a	n/a	565.00	0.0
SANDLER O'NEILL ASSET	031	BK	SS	50,000	21.57	n/a	11-Jul	2,500.00	5.0
SAGE ASSET MGMT	025	BZ	B	42,800	7.32	n/a	n/a	2,140.00	5.0
HIGHBRIDGE CAP	041	CHRW	SS	3,000	57.01	n/a	n/a	90.00	3.0
KAYNE ANDERSON ADV	084	CPRT	S	20,000	23.92	n/a	n/a	800.00	0.0
GOLD SACHS SPECIAL SIT	030	DAN	B	325,000	11.85	n/a	26-Apr	16,250.00	5.0
RBC CAPITAL MARKETS	040	DE	SS	10,000	75.89	n/a	11-Jul	400.00	4.0
OMEGA ADVISORS	041	DISH	B	120,000	28.70	n/a	n/a	4,800.00	4.0
ARSENAL ASSET MANAGEMENT	028	DOV	B	20,000	51.48	n/a	n/a	800.00	0.0
CAERUS GLOBAL	041	DPZ	S	10,000	32.06	n/a	17-Jul	400.00	4.0
TUDOR INVESTORS	028	DPZ	SS	25,000	32.19	n/a	17-Jul	750.00	3.0
EPOCH INV MGMT	030	FORR	B	250	33.80	n/a	n/a	7.50	0.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	19.35	n/a	17-Jul	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	C	57,995	19.46	n/a	17-Jul	1,739.85	0.0
EPOCH INV MGMT	030	GWR	B	100	54.58	n/a	n/a	3.00	0.0
KAYNE ANDERSON ADV	084	HITT	B	10,000	47.38	n/a	n/a	400.00	0.0
BAIRD INVESTMENT	047	HOG	B	12,800	43.86	n/a	n/a	640.00	0.0
DSM CAPITAL PARTNERS	085	HOLX	B	4,400	19.05	n/a	n/a	220.00	0.0
NEWLAND CAPITAL MGT	025	HUBG	B	16,887	31.84	n/a	n/a	675.48	4.0
BAIRD INVESTMENT	047	IHG	B	19,100	23.81	n/a	n/a	955.00	0.0
EPOCH INV MGMT	030	INGR	B	250	45.80	n/a	n/a	7.50	0.0
ARMATURE CAPITAL	041	IP	B	50,000	32.19	n/a	2-Jul	2,000.00	0.0
MILLENNIUM-ICS-SAYAN GHOSH028	028	IP	B	31,700	31.79	n/a	2-Jul	1,268.00	0.0
BRIGADE CAPITAL MGMT	029	IWM	SS	100,000	79.72	n/a	n/a	3,000.00	0.0
HIGHBRIDGE CAP	041	JBHT	SS	5,000	53.50	n/a	n/a	150.00	3.0
EPOCH INV MGMT	030	JOSB	B	150	41.26	n/a	n/a	4.50	0.0
EPOCH INV MGMT	030	KDN	B	200	20.40	n/a	n/a	6.00	0.0
WOODWAY FINANCIAL	031	KO	B	44,915	77.21	n/a	17-Jul	2,694.90	6.0
EPOCH INV MGMT	030	LDR	B	50	58.12	n/a	n/a	1.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OHIO PERS	047	LII	S	90,500	45.87	n/a	n/a	2,715.00	0.0
HOPLITE MGMT	025	LPX	B	49,220	11.34	n/a	7-May	1,968.80	0.0
BNP PARIBAS SEC	040	MAS	SS	25,000	13.69	n/a	n/a	1,250.00	5.0
CONIFER	025	MAS	B	14,000	13.54	n/a	n/a	560.00	4.0
BALLAST CAP	040	MAT	S	11,700	33.79	n/a	n/a	585.00	5.0
FIRST NY SEC/CHRIS	041	M	B	8,000	34.22	n/a	6-Jul	240.00	3.0
TRELLUS PARTNERS LP	028	M	B	9,000	34.18	n/a	6-Jul	270.00	0.0
NICOLAS APPLGATE	084	NEWP	S	12,600	10.70	n/a	n/a	378.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	27.14	n/a	11-May	400.00	4.0
TUDOR INVESTORS	028	PNRA	S	15,000	147.28	n/a	17-Jul	450.00	3.0
BAIRD INVESTMENT	047	PRGO	B	6,500	115.22	n/a	17-Jul	325.00	5.0
TUDOR INVESTORS	028	RBC	B	5,000	65.09	n/a	n/a	150.00	3.0
MILLENNIUM-ICS-SAYAN GHOSH	028	RKT	B	16,800	59.80	n/a	2-Jul	672.00	0.0
RIDGECREST INV MGMT LLC	028	RKT	B	6,500	62.23	n/a	2-Jul	260.00	4.0
EPOCH INV MGMT	030	TFX	B	100	61.96	n/a	n/a	3.00	0.0
EPOCH INV MGMT	030	THS	B	100	58.98	n/a	n/a	3.00	0.0
BALLAST CAP	040	URBN	B	5,800	30.60	n/a	n/a	290.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAM ADVISORS LLC	041	VAL	SS	41,800	50.93	n/a	n/a	1,254.00	0.0
FORTRESS INVESTMENT (US)	036	VMC	B	22,000	43.82	n/a	n/a	440.00	0.0
BAIRD INVESTMENT	047	WBC	B	9,300	49.69	n/a	28-Jun	465.00	0.0
SCOPUS FUND	041	YUM	B	25,000	64.34	n/a	13-Jul	1,000.00	4.0
MERRILL ASSET/BLACKROCK	297	Y	B	5,900	343.61	n/a	n/a	236.00	0.0
TOTAL (Trade Date):								58,653.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									58,653.03
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									58,653.03

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