



Daily Compliance Activity Report

Trade Date: 12/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	035	AGNC	S	112,610	29.10	n/a	n/a	4,053.96	0.0
PZENA INV ADV	044	AIZ	B	1,500	34.91	n/a	n/a	52.50	0.0
HOLLIS CAPITAL	033	AMRN	S	5,000	7.64	n/a	n/a	250.00	5.0
M&I FUNDS	047	ARIA	B	5,826	20.08	n/a	n/a	233.04	4.0
MACELLUM CAPITAL	086	ASNA	SS	40,000	17.97	n/a	n/a	1,200.00	3.0
FRED ALGER MGMT	035	AVGO	S	100,000	31.05	n/a	n/a	3,600.00	0.0
SANDLER O'NEILL ASSET	031	AXP	B	20,000	56.36	n/a	20-Dec	1,000.00	5.0
SANDLER O'NEILL ASSET	031	BAC	S	50,000	11.50	n/a	20-Dec	2,500.00	5.0
M&I FUNDS	047	CHKP	B	18,239	47.24	n/a	n/a	729.56	4.0
SCOPUS FUND	041	COST	B	6,540	98.32	n/a	n/a	261.60	4.0
SIMMONS VENTURES	041	CROX	B	10,000	13.73	n/a	n/a	400.00	4.0
MACELLUM CAPITAL	086	DSW	SS	23,200	63.76	n/a	11-Feb	696.00	3.0
TUDOR INVESTORS	028	EBAY	B	12,500	49.96	n/a	n/a	375.00	3.0
SYMPHONY ASSET	033	JCP	SS	15,570	19.49	n/a	12-Nov	467.10	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYMPHONY ASSET	033	JOSB	C	14,520	42.03	n/a	n/a	435.60	0.0
HARVEST MGMT (JMP)	029	KSS	SS	7,200	42.27	n/a	30-Nov	288.00	4.0
METROPOLITAN CAPITAL	044	LVS	S	18,500	45.17	n/a	13-Jun	925.00	0.0
FRED ALGER MGMT	035	MDVN	S	20,000	50.68	n/a	n/a	720.00	0.0
FRED ALGER MGMT	035	MRC	S	20,000	27.21	n/a	n/a	720.00	0.0
BASSWOOD PARTNERS	267	MS	S	39,400	18.52	n/a	20-Dec	1,576.00	0.0
ROARING BLUE LION MGMT	031	PLCE	B	22,300	43.43	n/a	27-Nov	892.00	4.0
FRED ALGER MGMT	035	TRW	S	51,570	52.41	n/a	n/a	1,856.52	0.0
SYMPHONY ASSET	033	UA	SS	6,870	47.54	n/a	26-Oct	206.10	0.0
HARVEST MGMT (JMP)	029	XRT	B	5,000	60.57	n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	12,500	18.61	n/a	n/a	375.00	3.0
TOTAL (Trade Date) :								24,012.98	

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) :									24,012.98
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									24,012.98

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