



Daily Compliance Activity Report

Trade Date: 07/20/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	AAP	C	10,000	72.55	n/a	n/a	500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	AER	B	8,446	11.63		n/a	n/a	253.38 3.0
PRIMECAP MGMT	084	AES	S	25,000	12.83	n/a	n/a	1,000.00	0.0
OHIO PERS	047	AIG	S	29,000	31.11	n/a	n/a	870.00	0.0
OZ MGMT	040	ALV	S	25,508	55.64	n/a	20-Jun	765.24	0.0
COBALT	041	ANF	B	50,000	36.30	n/a	17-May	2,000.00	4.0
NUVEEN - US BANCORP		030	CMG	S	42,790	313.81	n/a	20-Jul	1,925.57 0.0
PRIMECAP MGMT	084	CVS	S	200,000	44.99	n/a	n/a	8,000.00	0.0
SANDLER O'NEILL ASSET	031	DFS	SS	25,000	35.10	n/a	16-Jul	1,250.00	5.0
OHIO PERS	047	DIS	B	18,200	48.74	n/a	n/a	546.00	0.0
SENATOR INVESTMENT GROUP	036	EMN	S	200,000	49.09	n/a	n/a	6,000.00	3.0
STATE TEACHERS RET SYS	047	EPR	B	3,000	43.25	n/a	n/a	150.00	5.0
LISTED ERR	099	EXL	B	717	12.22	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	FL	B	10,000	32.97	n/a	18-May	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	FWLT	S	25,000	17.32	n/a	n/a	1,000.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	GET	B	5,000	36.84		n/a	n/a	150.00 3.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	19.79	n/a	17-Jul	300.00	0.0
SCOPUS FUND	041	HOTT	B	50,000	9.86	n/a	n/a	2,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	82.40	n/a	n/a	200.00	0.0
HIGHBRIDGE CAP	041	JBHT	SS	5,000	54.23	n/a	n/a	150.00	3.0
OZ MGMT	040	JCI	C	72,045	25.78	n/a	20-Jul	2,161.35	0.0
HIGHBRIDGE CAP	041	LYB	SS	6,500	40.94	n/a	n/a	195.00	3.0
MILLENNIUM-ICS-SAYAN GHOSH	028	MWV	S	63,800	29.06	n/a	20-Jul	2,552.00	0.0
KLEINHEINZ CAP PART	031	M	S	100,000	35.26	n/a	6-Jul	5,000.00	5.0
RBC CAPITAL MARKETS	040	NKE	B	5,000	93.25	n/a	29-Jun	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	15,000	30.35	n/a	20-Jul	750.00	5.0
COOPER CREEK PART	028	RKT	SS	3,770	61.99	n/a	20-Jul	150.80	4.0
BALYASNY ASSET MGMT	044	SBUX	SS	10,000	52.87	n/a	17-Jul	500.00	0.0
TUDOR INVESTORS	028	ST	B	5,000	26.78	n/a	n/a	150.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	UAL	B	16,000	22.16	n/a	n/a	480.00	3.0
INVESCO	031	WAG	B	54,400	34.34	n/a	n/a	2,176.00	0.0
WALL STREET CAPITAL	084	WFM	S	24,700	84.90	n/a	n/a	1,111.50	4.5
RBC CAPITAL MARKETS	040	XRT	B	10,000	59.03	n/a	n/a	400.00	4.0
TOTAL (Trade Date) :								43,286.84	

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):									43,286.84
---------------------	--	--	--	--	--	--	--	--	-----------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									43,286.84
-------------------------	--	--	--	--	--	--	--	--	-----------

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