



Daily Compliance Activity Report

Trade Date: 07/31/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			ACTG	S	30,747	26.00	n/a	n/a	922.41 0.0
CENTURION PARTNERS	041	AEO	B	30,000	20.82	n/a	2-Dec	1,200.00	4.0
KLEINHEINZ CAP PART	031	ANF	S	30,000	33.75	n/a	17-May	1,500.00	5.0
SCOPUS FUND	041	BA	SS	25,000	74.12	n/a	30-Jul	1,000.00	4.0
Õ Nilsa Vazquez		CBI	S	3	1.3400	n/a	n/a	0.00	0.0
CATAPULT	040	CNK	SS	9,450	23.29	n/a	n/a	378.00	0.0
RBC CAPITAL MARKETS	040	DE	SS	10,000	77.61	n/a	11-Jul	400.00	4.0
RBC CAPITAL MARKETS	040	HAIN	B	2,000	56.74	n/a	n/a	80.00	4.0
CORVEX CAPITAL	041	HUN	C	205,000	12.60	n/a	n/a	6,150.00	0.0
CAERUS GLOBAL	041	IGT	B	20,000	11.46	n/a	13-Jun	800.00	4.0
TOCQUEVILLE	035	IM	B	20,500	15.00	n/a	n/a	1,025.00	0.0
THE JAY GOLDMAN	028	JWN	B	20,000	54.30	n/a	27-Jul	800.00	4.0
CATAPULT	040	KSS	B	18,149	50.21	n/a	27-Jul	725.96	0.0
THE JAY GOLDMAN	028	KSS	S	25,000	50.23	n/a	27-Jul	1,000.00	4.0
CATAPULT/KGLT	040	LNG	B	25,000	13.79	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	10.03	n/a	31-Jul	2,500.00	5.0
CATAPULT	040	LULU	B	9,880	57.25	n/a	7-Jun	395.20	0.0
RIDGECREST INV MGMT LLC	028	LULU	B	15,000	56.47	n/a	7-Jun	600.00	4.0
DALTON GREINER	070	MLI	B	18,730	42.75	n/a	26-Jul	936.50	0.0
COLUMBUS CIRCLE	036	MON	B	1,800	86.11	n/a	23-Jul	72.00	0.0
RBC CAPITAL MARKETS	040	MTN	SS	900	50.08	n/a	n/a	36.00	4.0
KLEINHEINZ CAP PART	031	M	S	50,000	35.90	n/a	27-Jul	2,500.00	5.0
LATEEF MGMT	035	PFE	S	1,750	24.25	n/a	n/a	197.00	14.0
OHIO PERS	047	PGR	B	60,170	19.74	n/a	n/a	1,805.10	0.0
STANDARD PACIFIC CAPITAL	084	PH	B	90,000	80.77	n/a	n/a	4,500.00	5.0
ASCEND PARTNERS	033	PVH	B	10,000	79.75	n/a	18-Jul	300.00	0.0
OHIO PERS	047	RLD	S	98,326	9.29	n/a	n/a	2,949.78	0.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.41	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	B	10,000	4.36	n/a	n/a	500.00	5.0
JETSTREAM GLOBAL FUND LP	065	TITN	S	1,100	29.22	n/a	n/a	55.00	5.0
NEUBERGER BERMAN	036	TNC	B	7,000	41.61	n/a	n/a	280.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	TXRH	B	13,000	17.40	n/a	n/a	390.00	3.0
NORTHWESTERN MUTUAL LIFE	047	WIN	B	129,600	9.95	n/a	n/a	5,184.00	0.0
TOTAL (Trade Date):								40,981.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	ETH	B	7,000	20.31	n/a	n/a	350.00 5.0
AO,CRT	07/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	ETH	B	7,000	20.31	n/a	n/a	210.00 3.0
AO,	07/27	GREEN ARROW DOUG (GADRJPM)	040	LAD	B	10,000	27.72	n/a	n/a	400.00 0.0
AO,CXL	07/27	GREEN ARROW DOUG (GADRMLICS)	040	LAD	B	10,000	27.72	n/a	n/a	400.00 0.0
TOTAL (AO, CXL, CRT) :										-140.00

TOTAL (Trade Date) :	40,981.95
TOTAL (AO, CXL, CRT) :	-140.00

TOTAL (RUN DATE) / NFS :	40,841.95
---------------------------------	------------------

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