



Daily Compliance Activity Report

Trade Date: 09/05/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DCTR	035	AVP	B	10,100	15.20	n/a	4-Sep	202.00	2.0
DTCR	035	AVP	B	14,300	15.20	n/a	4-Sep	286.00	2.0
EPOCH INV MGMT	030	BA	S	550	71.69	n/a	7-Aug	16.50	0.0
RBC CAPITAL MARKETS	040	BWLD	B	4,000	79.36	n/a	n/a	160.00	4.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.00		n/a	n/a	7,500.00 3.0
EPOCH INV MGMT	030	CIT	S	1,350	38.12	n/a	20-Aug	40.50	0.0
CRAMER ROSENTHAL	070	CLX	S	200	72.77	n/a	4-Sep	8.00	0.0
KAM ADVISORS LLC	041	CMCSA	B	115,000	33.72	n/a	n/a	3,450.00	0.0
EPOCH INV MGMT	030	CMCSK	S	550	32.99	n/a	n/a	16.50	0.0
CRAMER ROSENTHAL	070	CME	S	300	55.24	n/a	28-Apr	12.00	0.0
CRAMER ROSENTHAL	070	CMS	S	500	23.28	n/a	n/a	20.00	0.0
DELTEC ASSET MGMT.	040	COF	B	10,000	55.95	n/a	5-Sep	500.00	5.0
NEUBERGER BERMAN	036	CPRT	S	30,000	27.32	n/a	n/a	1,200.00	0.0
CRAMER ROSENTHAL	070	DG	S	400	51.35	n/a	5-Sep	16.00	0.0
EPOCH INV MGMT	030	DHR	S	600	53.16	n/a	n/a	18.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	DNB	S	200	81.64	n/a	n/a	8.00	0.0
EPOCH INV MGMT	030	ECL	S	250	63.90	n/a	9-Aug	7.50	0.0
CYRUS CAPITAL	025	FBP	S	72,500	4.19	n/a	n/a	2,175.00	3.0
HIGHBRIDGE CAP	041	FCX	B	14,500	35.64	n/a	n/a	435.00	3.0
CRAMER ROSENTHAL	070	FITB	S	900	14.95	n/a	n/a	36.00	0.0
ROTHSCHILD ASSET	040	GGC	B	38,612	39.45	n/a	n/a	1,544.48	0.0
CRAMER ROSENTHAL	070	GIS	S	500	38.95	n/a	n/a	20.00	0.0
CRAMER ROSENTHAL	070	GPN	S	200	41.70	n/a	n/a	8.00	0.0
CENTURION PARTNERS	041	HES	S	5,000	48.80	n/a	n/a	200.00	4.0
DTCR	035	HOG	B	10,500	41.50	n/a	n/a	210.00	2.0
DCTR	035	HOG	B	7,400	41.50	n/a	n/a	148.00	2.0
CRAMER ROSENTHAL	070	HSP	S	400	34.19	n/a	4-Sep	16.00	0.0
RBC CAPITAL MARKETS	040	HST	S	15,000	15.14	n/a	13-Jun	600.00	4.0
CRAMER ROSENTHAL	070	HSY	S	200	72.37	n/a	n/a	8.00	0.0
1798 CAP/LOMBARD ASSET	040	HTZ	B	50,000	14.54	n/a	n/a	2,500.00	0.0
CENTURION PARTNERS	041	HTZ	S	12,000	14.26	n/a	n/a	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WADDELL AND REED	047	INTC	B	535,810	24.39	n/a	n/a	21,432.40	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	34.13	n/a	20-Aug	1,250.00	5.0
STRONG/MARK GRONET	030	ITPOF	S	39,490	6.33	n/a	n/a	1,184.70	0.0
CENTURION PARTNERS	041	JNY	B	10,000	12.87	n/a	26-Jul	400.00	4.0
CRAMER ROSENTHAL	070	JWN	S	300	57.45	n/a	31-Aug	12.00	0.0
M&I FUNDS	047	JWN	B	10,042	57.38	n/a	31-Aug	401.68	4.0
CRAMER ROSENTHAL	070	KEY	S	1,600	8.37	n/a	n/a	64.00	0.0
RBC CAPITAL MARKETS	040	KO	SS	10,000	37.52	n/a	4-Sep	400.00	4.0
CAERUS GLOBAL	041	KR	SS	30,000	22.63	n/a	n/a	1,200.00	4.0
HALCYON LLC	041	KSU	B	4,500	76.74	n/a	n/a	135.00	3.0
BRIGADE CAPITAL MGMT	029	LCC	B	50,000	11.16	n/a	n/a	1,500.00	0.0
EPOCH INV MGMT	030	LH	S	400	88.99	n/a	n/a	12.00	0.0
CRAMER ROSENTHAL	070	LSI	S	2,000	7.69	n/a	n/a	80.00	0.0
CRAMER ROSENTHAL	070	LTD	S	300	48.50	n/a	n/a	12.00	0.0
DISCIPLINED GROWTH INV.	030	LTD	B	7,200	48.50	n/a	n/a	360.00	0.0
NEUBERGER BERMAN	036	MANH	B	10,800	51.40	n/a	n/a	432.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	MATW	S	26,100	29.60	n/a	n/a	1,044.00	0.0
EPOCH INV MGMT	030	MCD	S	400	89.18	n/a	8-Aug	12.00	0.0
RBC CAPITAL MARKETS	040	MCD	SS	5,000	89.06	n/a	8-Aug	200.00	4.0
CRAMER ROSENTHAL	070	MHP	S	300	52.01	n/a	n/a	12.00	0.0
DISCIPLINED GROWTH INV.	030	MIDD	B	2,300	119.18	n/a	n/a	115.00	0.0
CRAMER ROSENTHAL	070	MMC	S	700	34.09	n/a	n/a	28.00	0.0
EPOCH INV MGMT	030	MMC	S	1,500	33.97	n/a	n/a	45.00	0.0
EPOCH INV MGMT	030	MON	S	300	87.51	n/a	17-Aug	9.00	0.0
CRAMER ROSENTHAL	070	MRO	S	500	27.34	n/a	n/a	20.00	0.0
CENTURION PARTNERS	041	MSFT	S	10,000	30.30	n/a	n/a	400.00	4.0
FRONTIER	029	ONNN	S	88,130	6.09	n/a	n/a	2,643.90	0.0
EPOCH INV MGMT	030	ORCL	S	1,350	32.09	n/a	n/a	40.50	0.0
LISTED ERR	099	PAY	B	7,800	34.68	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	PEP	S	150	71.70	n/a	n/a	4.50	0.0
NEUBERGER BERMAN	036	POOL	B	21,300	40.18	n/a	n/a	852.00	0.0
CAPITAL GROWTH MGMT.	241	PRU	S	50,000	54.56	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	PVH	B	4,000	92.93	n/a	29-Aug	160.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	B	5,200	27.41	n/a	n/a	260.00	0.0
ROYCE TRADING	031	SF	S	3,300	33.15	n/a	n/a	165.00	0.0
NOKOMIS PARTNERS	031	SLB	SS	11,400	71.38	n/a	n/a	228.00	2.0
SIMMONS VENTURES	041	SSO	SS	10,000	58.07	n/a	n/a	400.00	4.0
ROYCE TRADING	031	STL	S	5,000	9.87	n/a	n/a	250.00	0.0
DISCIPLINED GROWTH INV.	030	TJX	B	13,500	45.65	n/a	31-Aug	675.00	0.0
ROYCE TRADING	031	TKR	S	3,000	39.16	n/a	n/a	150.00	0.0
ROYCE TRADING	031	TOL	S	3,500	32.50	n/a	n/a	175.00	0.0
RBC CAPITAL MARKETS	040	TUP	B	4,000	53.46	n/a	n/a	160.00	4.0
EPOCH INV MGMT	030	TWX	S	1,100	42.58	n/a	n/a	33.00	0.0
HIGHBRIDGE CAP	041	URI	B	7,500	34.36	n/a	17-Apr	225.00	3.0
EPOCH INV MGMT	030	UTX	S	250	77.95	n/a	n/a	7.50	0.0
DCTR	035	VRA	B	3,700	20.53	n/a	n/a	74.00	2.0
DTCR	035	VRA	B	5,300	20.53	n/a	n/a	106.00	2.0
EPOCH INV MGMT	030	V	S	300	128.03	n/a	26-Jul	9.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CENTURION PARTNERS	041	WFC	S	20,000	33.77	n/a	5-Sep	800.00	4.0
ARSENAL ASSET MANAGEMENT	028	WHR	S	5,000	75.55	n/a	n/a	200.00	0.0
ASCEND PARTNERS	033	WRC	B	7,900	51.93	n/a	7-Aug	237.00	0.0
HALCYON LLC	041	WTSIA	B	10,000	2.95	n/a	n/a	150.00	1.5
RBC CAPITAL MARKETS	040	WYNN	SS	4,000	99.54	n/a	13-Jun	160.00	4.0
IMPALA ASSET MMT	040	WYN	S	15,700	51.18	n/a	n/a	785.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	S	35,000	24.94	n/a	27-Jul	1,750.00	5.0
KAM ADVISORS LLC	041	XLI	SS	48,500	35.84	n/a	n/a	1,455.00	0.0
EPOCH INV MGMT	030	YUM	S	650	63.44	n/a	23-Aug	19.50	0.0
TOTAL (Trade Date) :								67,277.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	09/04	LISTED ERR (LISTED ERR)	099	PAY	S	7,800	34.72	n/a n/a	0.00 0.0

TOTAL (AO, CXL, CRT) : 0.00

TOTAL (Trade Date) : 67,277.16

TOTAL (AO, CXL, CRT) : 0.00

TOTAL (RUN DATE) / NFS: 67,277.16

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