



## Daily Compliance Activity Report

Trade Date: 07/10/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	200	619.58	n/a	n/a	6.00	3.0
LATEEF MGMT	035	ATI	B	500	31.33	n/a	10-Jul	85.00	17.0
OHIO PERS	047	BRE	B	18,000	51.08	n/a	n/a	540.00	3.0
LATEEF MGMT	035	CBL	S	300	19.99	n/a	n/a	30.00	10.0
LATEEF MGMT	035	CMCSK	S	325	30.71	n/a	n/a	39.00	12.0
SIMMONS VENTURES	041	CROX	B	5,000	14.74	n/a	n/a	200.00	4.0
WEINTRAUB CAPITAL MGT.	084	DD	B	50,000	48.63	n/a	10-Jul	2,000.00	4.0
LATEEF MGMT	035	DOW	B	1,000	30.74	n/a	4-Jun	100.00	10.0
OHIO PERS	047	EMR	S	20,000	45.04	n/a	n/a	600.00	3.0
BALLAST CAP	040	FCX	S	8,800	33.40	n/a	n/a	440.00	5.0
LATEEF MGMT	035	HPQ	B	250	19.18	n/a	n/a	37.50	15.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	IR	B	2,500	40.47	n/a	20-Jun	75.00	3.0
ASCEND PARTNERS	033	JWN	S	28,015	51.91	n/a	6-Jul	1,400.75	5.0
TROUBH PART	070	LOW	S	25,000	27.35	n/a	22-May	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	MRK	S	150	41.55	n/a	n/a	30.00	20.0
ARSENAL ASSET MANAGEMENT	028	MWV	B	40,000	28.21	n/a	2-Jul	1,600.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	35,000	28.12	n/a	2-Jul	1,750.00	5.0
MERRILL ASSET/BLACKROCK	297	OHI	B	51,100	23.39	n/a	n/a	2,044.00	4.0
STRONG/MARK GRONET	030	PATK	S	24,620	15.12	n/a	n/a	984.80	4.0
MADISON ST PARTNERS LLC	046	PCAR	SS	15,000	35.91	n/a	13-Jun	750.00	5.0
KAYNE ANDERSON ADV	084	PETM	B	19,387	67.87	n/a	n/a	775.48	4.0
SCOPUS FUND	041	RDEN	SS	21,500	39.65	n/a	14-May	860.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	23,513	53.63	n/a	2-Jul	1,175.65	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	1,487	53.73	n/a	2-Jul	74.35	5.0
LEVIN CAPITAL STRATEGIES	041	RL	B	10,100	145.38	n/a	23-May	303.00	3.0
WAGONHOUND/NICOLAS	033	ROST	B	3,049	66.95	n/a	10-Jul	121.96	4.0
OHIO PERS	047	SE	S	75,000	29.08	n/a	n/a	2,250.00	3.0
LATEEF MGMT	035	SPLS	B	1,200	13.00	n/a	n/a	120.00	10.0
LATEEF MGMT	035	SWY	B	350	17.62	n/a	n/a	70.00	20.0
LATEEF MGMT	035	TEVA	B	375	39.26	n/a	9-Jul	75.00	20.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	TRV	S	125	63.42	n/a	n/a	31.25	25.0
FORTRESS INVESTMENT (US)	036	URI	B	45,000	35.91	n/a	17-Apr	1,800.00	4.0
WEINTRAUB CAPITAL MGT.	084	VC	S	565	34.82	n/a	n/a	22.60	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	WLP	B	10,000	61.18		n/a	n/a	400.00 4.0
BNP PARIBAS SEC	040	WY	S	20,000	22.15	n/a	4-May	1,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>23,041.34</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									23,041.34
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									23,041.34
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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