



Daily Compliance Activity Report

Trade Date: 09/25/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	AAPL	S	6,230	676.97	n/a	n/a	311.50	0.0
WINSLOW CAPITAL	030	AAPL	S	100	687.17	n/a	n/a	3.00	3.0
FORWARD MGMT	033	AF	B	15,000	10.46	n/a	19-Jul	600.00	0.0
PROSPECTOR PARTNERS LLC	036	AIG	B	10,000	33.68	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	ALTR	S	200	35.74	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	AMT	S	200	70.99	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	AMZN	S	100	256.16	n/a	n/a	3.00	3.0
RBC CAPITAL MARKETS	040	ANF	S	5,000	34.55	n/a	16-Aug	200.00	4.0
MILLRACE FUND LP	028	AXL	B	5,000	11.27	n/a	30-Jul	200.00	4.0
ROSEDALE CAPITAL	046	AXL	B	20,000	11.07	n/a	30-Jul	800.00	4.0
TRELLUS PARTNERS LP	028	AXL	B	60,000	11.38	n/a	30-Jul	1,800.00	0.0
VERITION	028	AXL	B	20,000	11.08	n/a	30-Jul	600.00	3.0
BASSWOOD PARTNERS	267	BLK	B	4,700	181.52	n/a	n/a	188.00	0.0
WINSLOW CAPITAL	030	BWA	S	100	70.70	n/a	27-Jul	3.00	3.0
RBC CAPITAL MARKETS	040	BWLD	B	7,700	83.42	n/a	n/a	308.00	4.0
WINSLOW CAPITAL	030	CAM	S	200	57.01	n/a	n/a	6.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CAT	S	100	88.21	n/a	11-Jul	3.00	3.0
WINSLOW CAPITAL	030	CELG	S	200	76.91	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CERN	S	100	75.08	n/a	n/a	3.00	3.0
BASSWOOD PARTNERS	267	CMA	B	19,417	31.55	n/a	n/a	776.68	0.0
ROTHSCHILD ASSET	040	CMS	B	48,015	23.45	n/a	n/a	1,920.60	0.0
WINSLOW CAPITAL	030	COG	S	200	44.27	n/a	25-Jul	6.00	3.0
WINSLOW CAPITAL	030	COH	S	100	55.13	n/a	1-Aug	3.00	3.0
WINSLOW CAPITAL	030	COST	S	100	102.67	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CRM	S	200	153.76	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CVS	S	300	47.93	n/a	n/a	9.00	3.0
BASSWOOD PARTNERS	267	C	B	3,808	33.56	n/a	17-Sep	152.32	0.0
CHESAPEAKE PARTNERS	028	DGI	B	20,000	20.97	n/a	n/a	600.00	3.0
WINSLOW CAPITAL	030	DG	S	200	52.67	n/a	5-Sep	6.00	3.0
WINSLOW CAPITAL	030	DHR	S	400	54.63	n/a	n/a	12.00	3.0
PZENA INV ADV	044	DLPH	B	46,750	31.68	n/a	n/a	1,636.26	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	EAT	B	5,000	34.84	n/a	10-Aug	200.00	4.0
WINSLOW CAPITAL	030	ECL	S	200	64.27	n/a	9-Aug	6.00	3.0
WINSLOW CAPITAL	030	EMC	S	600	27.50	n/a	n/a	18.00	3.0
WINSLOW CAPITAL	030	ESRX	S	400	63.34	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	EW	S	100	104.90	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	FLR	S	100	57.56	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	FTI	S	300	48.58	n/a	n/a	9.00	3.0
ASCEND PARTNERS	033	GIL	B	55,840	30.99	n/a	24-Sep	1,675.20	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		GM	B	5,000	23.62		n/a 25-Sep	150.00	3.0
WINSLOW CAPITAL	030	GOOG	S	100	758.36	n/a	n/a	3.00	3.0
BASSWOOD PARTNERS	267	GWW	SS	800	204.17	n/a	13-Sep	32.00	0.0
KLEINHEINZ CAP PART	031	HAIN	SS	30,000	64.23	n/a	n/a	1,500.00	5.0
PROSPECTOR PARTNERS LLC	036	HES	B	5,000	54.51	n/a	n/a	200.00	4.0
WATERFRONT CAP	028	HOT	S	52,100	57.68	n/a	13-Jun	2,084.00	0.0
CAPITAL RESEARCH GROUP		296 HPQ	B	857,238	17.09		n/a n/a	30,003.33	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	IBM	S	100	205.71	n/a	n/a	3.00	3.0
BRANDWINE	028	INTC	B	95,700	22.78	n/a	n/a	3,828.00	0.0
WINSLOW CAPITAL	030	INTU	S	200	57.96	n/a	n/a	6.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	36.21	n/a	24-Sep	750.00	5.0
KINGDON ASSET MGMT	041	IP	S	200,000	36.46	n/a	24-Sep	8,000.00	0.0
OHIO PERS	047	IR	S	7,000	45.53	n/a	30-Aug	210.00	0.0
WINSLOW CAPITAL	030	ISRG	S	100	514.42	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	ITW	S	100	60.18	n/a	n/a	3.00	3.0
SIMMONS VENTURES	041	JNY	SS	15,000	13.27	n/a	26-Jul	600.00	4.0
OHIO PERS	047	JOY	B	5,450	58.03	n/a	11-Jul	163.50	0.0
CRAMER ROSENTHAL	070	JPM	B	19,100	40.95	n/a	17-Sep	764.00	0.0
CRAMER ROSENTHAL	070	KFT	B	21,600	41.68	n/a	n/a	864.00	0.0
SENATOR INVESTMENT GROUP	036	KFT	S	150,000	41.79	n/a	n/a	4,500.00	3.0
WINSLOW CAPITAL	030	KORS	S	200	53.63	n/a	n/a	6.00	3.0
FORWARD MGMT	033	LAMR	B	10,000	37.14	n/a	n/a	400.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	17,600	29.41	n/a	5-Sep	880.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOPLITE MGMT	025	LPX	S	200,000	13.76	n/a	31-Jul	8,000.00	0.0
WINSLOW CAPITAL	030	LVS	S	200	46.93	n/a	13-Jun	6.00	3.0
OHIO PERS	047	MHO	S	15,000	21.72	n/a	n/a	450.00	0.0
WINSLOW CAPITAL	030	MON	S	200	91.54	n/a	17-Aug	6.00	3.0
CHESAPEAKE PARTNERS	028	MPC	S	20,765	54.15	n/a	n/a	622.95	3.0
LEVIN CAPITAL STRATEGIES	041	M	S	25,250	38.21	n/a	31-Aug	757.50	0.0
BASSWOOD PARTNERS	267	PCAR	SS	13,500	41.21	n/a	12-Sep	540.00	0.0
WINSLOW CAPITAL	030	PCLN	S	100	641.71	n/a	n/a	3.00	3.0
CHESAPEAKE PARTNERS	028	PHH	S	10,000	20.65	n/a	n/a	300.00	3.0
WATERFRONT CAP	028	PNK	B	50,000	12.39	n/a	n/a	2,000.00	0.0
SENATOR INVESTMENT GROUP	036	PNR	B	100,000	43.37	n/a	n/a	3,000.00	3.0
WINSLOW CAPITAL	030	QCOM	S	300	63.39	n/a	n/a	9.00	3.0
DISCIPLINED GROWTH INV.	030	RCL	S	7,600	30.61	n/a	n/a	380.00	0.0
WINSLOW CAPITAL	030	RL	S	100	153.41	n/a	9-Aug	3.00	3.0
BASSWOOD PARTNERS	267	ROP	SS	5,400	110.69	n/a	n/a	216.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NICOLAS	033	ROST	B	2,867	65.89	n/a	31-Aug	114.68	0.0
WINSLOW CAPITAL	030	RRC	S	200	67.61	n/a	23-Jul	6.00	3.0
WINSLOW CAPITAL	030	SBAC	S	200	61.54	n/a	n/a	6.00	3.0
JP MORGAN VENTURES	046	SBH	S	10,000	27.07	n/a	n/a	400.00	4.0
WINSLOW CAPITAL	030	SBUX	S	300	51.18	n/a	27-Jul	9.00	3.0
FORWARD MGMT	033	SIVB	B	2,500	61.08	n/a	n/a	100.00	0.0
WINSLOW CAPITAL	030	SLB	S	200	73.27	n/a	n/a	6.00	3.0
SYMPHONY ASSET	033	SWY	S	136,041	16.55	n/a	n/a	4,081.23	0.0
LATEEF MGMT	035	SYX	S	1,625	30.97	n/a	n/a	181.00	12.3
WINSLOW CAPITAL	030	TDC	S	100	75.35	n/a	n/a	3.00	3.0
TUDOR INVESTORS	028	TEX	B	14,000	22.61	n/a	n/a	420.00	3.0
PROSPECTOR PARTNERS LLC	036	TE	B	10,000	17.73	n/a	n/a	400.00	4.0
HARVEST MGMT (JMP)	029	UA	SS	10,000	55.32	n/a	18-Sep	400.00	4.0
WINSLOW CAPITAL	030	UNH	S	200	56.29	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	UNP	S	300	121.32	n/a	n/a	9.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	UTX	S	100	79.15	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	VRSN	S	200	47.77	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	V	S	300	134.75	n/a	11-Sep	9.00	3.0
CHESAPEAKE PARTNERS	028	WLL	B	10,000	47.50	n/a	n/a	300.00	3.0
SENATOR INVESTMENT GROUP	036	XRAY	B	60,000	37.92	n/a	n/a	1,800.00	3.0
WINSLOW CAPITAL	030	YUM	S	100	67.69	n/a	17-Sep	3.00	3.0
TOTAL (Trade Date) :								92,012.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/24	COOPER CREEK PART (COOPGS)	028	SWFT	B	10,000	8.59	n/a	n/a	400.00 4.0
AO,CRT	09/24	COOPER CREEK PART (COOPGS)	028	SWFT	B	10,000	8.59	n/a	n/a	300.00 3.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS:	91,912.75
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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