



Daily Compliance Activity Report

Trade Date: 08/30/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ABB	B	25,000	17.15	n/a	n/a	1,000.00	0.0
LATEEF MGMT	035	ATI	B	100	29.43	n/a	7-Aug	25.00	25.0
LATEEF MGMT	035	ATI	S	175	29.52	n/a	7-Aug	31.50	18.0
NEUBERGER BERMAN	036	BHP	B	15,925	65.08	n/a	n/a	637.00	0.0
PARKWEST	084	CRAY	B	25,000	11.54	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	CXO	S	15,600	88.49	n/a	n/a	624.00	0.0
BALYASNY ASSET MGMT	044	DAN	B	21,332	13.63	n/a	27-Jul	1,066.60	0.0
LATEEF MGMT	035	DE	B	125	74.36	n/a	11-Jul	25.00	20.0
LEVIN CAPITAL STRATEGIES	041	DLPH	S	10,000	30.02	n/a	n/a	300.00	0.0
LATEEF MGMT	035	DOW	B	100	29.44	n/a	30-Aug	25.00	25.0
PERIMETER	273	ENH	B	45,347	37.43	n/a	n/a	1,360.41	0.0
ROTHSCHILD ASSET	040	EPL	B	65,103	17.07	n/a	n/a	2,604.12	0.0
NEUBERGER BERMAN	036	FCX	B	54,819	34.68	n/a	n/a	2,192.76	0.0
METROPOLITAN CAPITAL	044	FL	B	3,200	34.47	n/a	29-Aug	160.00	0.0
SANDLER CAPITAL	028	FL	B	140,000	34.46	n/a	29-Aug	7,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	FMER	B	200	15.75	n/a	n/a	30.00	15.0
LATEEF MGMT	035	GLW	B	250	11.60	n/a	20-Aug	25.00	10.0
SCOPUS FUND	041	GPI	B	25,000	55.03	n/a	27-Jul	1,000.00	4.0
BASSWOOD PARTNERS	267	GS	B	9,100	104.42	n/a	22-Aug	364.00	0.0
NEUBERGER BERMAN	036	HCA	B	15,000	28.39	n/a	n/a	600.00	0.0
BALYASNY ASSET MGMT	044	HOT	SS	21,599	54.72	n/a	13-Jun	1,079.95	0.0
LATEEF MGMT	035	HPQ	B	150	16.85	n/a	n/a	27.00	18.0
PZENA INV ADV	044	HPQ	B	149,850	16.88	n/a	n/a	5,244.90	0.0
ROBERTSON STEVENS	084	HSB	B	31,400	25.80	n/a	n/a	1,256.00	0.0
TALPION LLC	040	HTZ	B	10,000	14.25	n/a	n/a	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	85,000	34.44	n/a	20-Aug	4,250.00	5.0
STRONG/MARK GRONET	030	ITPOF	S	36,070	7.36	n/a	n/a	1,082.10	0.0
LATEEF MGMT	035	JCI	S	175	27.06	n/a	20-Jul	31.50	18.0
BALYASNY ASSET MGMT	044	JCP	B	19,864	26.02	n/a	13-Aug	993.20	0.0
BALYASNY ASSET MGMT	044	JCP	C	20,000	26.25	n/a	13-Aug	1,000.00	0.0
NEUBERGER BERMAN	036	JOY	B	19,472	52.77	n/a	11-Jul	778.88	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	JWN	S	40,000	57.88	n/a	24-Aug	1,600.00	4.0
BALYASNY ASSET MGMT	044	MAR	SS	10,000	37.61	n/a	13-Jun	500.00	0.0
NEUBERGER BERMAN	036	MATW	S	5,800	29.74	n/a	n/a	232.00	0.0
NEUBERGER BERMAN	036	MAT	B	10,000	35.27	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	MDR	B	25,000	11.00	n/a	n/a	1,000.00	0.0
MAIRS AND POWER INV	030	MDU	B	10,000	21.69	n/a	n/a	500.00	5.0
P.SCHOENFELD ASSET MGMT LLC	041	MWW	S	60,029	6.92	n/a	n/a	2,401.16	0.0
BALYASNY ASSET MGMT	044	MW	B	15,000	31.36	n/a	n/a	750.00	0.0
SIMMONS VENTURES	041	M	B	5,000	40.58	n/a	24-Aug	200.00	4.0
PARKWEST	084	NDZ	S	12,488	10.40	n/a	n/a	499.52	4.0
LATEEF MGMT	035	NYB	S	350	13.18	n/a	6-Aug	35.00	10.0
NEUBERGER BERMAN	036	OII	S	37,000	53.01	n/a	n/a	1,480.00	0.0
LATEEF MGMT	035	OI	B	150	17.51	n/a	n/a	27.00	18.0
LATEEF MGMT	035	PBCT	B	125	11.99	n/a	19-Jul	25.00	20.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	72,000	31.75	n/a	20-Aug	3,600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	PKG	S	91,900	31.74	n/a	20-Aug	4,595.00	0.0
LATEEF MGMT	035	PKG	S	125	31.69	n/a	20-Aug	25.00	20.0
BALYASNY ASSET MGMT	044	ROST	SS	18,259	69.54	n/a	24-Aug	912.95	0.0
NEUBERGER BERMAN	036	RRC	B	10,000	64.65	n/a	23-Jul	400.00	0.0
NEUBERGER BERMAN	036	SEE	B	25,000	14.33	n/a	2-Jun	1,000.00	0.0
LATEEF MGMT	035	SPLS	B	300	10.77	n/a	n/a	30.00	10.0
THE JAY GOLDMAN	028	TGT	B	25,000	64.20	n/a	30-Aug	1,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	10,000	72.02	n/a	n/a	500.00	5.0
LATEEF MGMT	035	UN	S	125	34.59	n/a	n/a	25.00	20.0
PZENA INV ADV	044	VLO	S	107,450	30.79	n/a	n/a	3,760.76	0.0
INVESCO	031	WMT	S	76,021	72.44	n/a	17-Aug	3,040.84	0.0
CAERUS GLOBAL	041	WRC	B	5,000	51.38	n/a	7-Aug	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	25,250	61.21	n/a	n/a	757.50	0.0
TOTAL (Trade Date):								65,710.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	08/30	CSFB GLOBAL PROPRIETARY (CSFBGLOBA)	041	PKG	B	72,000	31.75	n/a 20-Aug 3600.00	5.0
TOTAL (AO, CXL, CRT) :									3,600.00

TOTAL (Trade Date):	65,710.65
TOTAL (AO, CXL, CRT):	3,600.00

TOTAL (RUN DATE) / NFS:	69,310.65
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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