



Daily Compliance Activity Report

Trade Date: 09/04/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AMT	B	14,729	70.00	n/a	n/a	589.16	0.0
RBC CAPITAL MARKETS	040	ANF	B	19,000	34.95	n/a	16-Aug	760.00	4.0
SEVEN LOCKS CAPITAL	025	AOS	S	2,750	55.33	n/a	19-Jul	82.50	3.0
ARSENAL ASSET MANAGEMENT	028	ASH	S	18,976	72.59	n/a	23-Aug	759.04	0.0
ARSENAL ASSET MANAGEMENT	028	AXL	SS	50,000	11.20	n/a	30-Jul	2,000.00	0.0
MILLRACE FUND LP	028	AXL	B	5,000	11.08	n/a	30-Jul	200.00	4.0
OZ MGMT	040	AXL	B	100,000	11.18	n/a	30-Jul	3,000.00	0.0
DELTEC ASSET MGMT.	040	BEAV	B	10,000	39.88	n/a	7-Aug	500.00	5.0
PZENA INV ADV	044	BHI	B	18,050	44.08	n/a	n/a	631.76	0.0
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	2.94		n/a	n/a	7,500.00 3.0
NEUBERGER BERMAN	036	COG	S	37,900	40.74	n/a	25-Jul	1,516.00	0.0
SCOPUS FUND	041	COH	B	20,000	57.61	n/a	1-Aug	800.00	4.0
CYRUS CAPITAL	025	COT	S	25,000	8.40	n/a	n/a	750.00	3.0
NEUBERGER BERMAN	036	CPRT	S	34,800	27.59	n/a	n/a	1,392.00	0.0
INTERVAL PARTNERS	033	CRI	B	7,500	56.39	n/a	n/a	225.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	CSX	B	50,000	21.91	n/a	n/a	2,500.00	0.0
WOODWAY FINANCIAL	031	C	B	100,000	29.72	n/a	22-Aug	6,000.00	6.0
CASTLEROCK	040	DG	B	20,000	50.65	n/a	4-Sep	800.00	0.0
COBALT	041	DKS	B	75,000	50.49	n/a	22-Aug	3,000.00	0.0
INTERVAL PARTNERS	033	DKS	B	15,000	50.15	n/a	22-Aug	450.00	0.0
RBC CAPITAL MARKETS	040	EL	B	15,000	59.63	n/a	4-Sep	600.00	4.0
ROTHSCHILD ASSET	040	EPL	B	6,045	17.28	n/a	n/a	241.80	0.0
BASSWOOD PARTNERS	267	FITB	SS	25,192	15.01	n/a	n/a	1,007.68	0.0
BASSWOOD PARTNERS	267	FITB	S	157,932	15.01	n/a	n/a	6,317.28	0.0
CAPITAL GROWTH MGMT.	241	FL	B	140,000	35.15	n/a	29-Aug	7,000.00	5.0
OZ MGMT	040	F	SS	150,000	9.41	n/a	30-Aug	4,500.00	0.0
ROBERTSON STEVENS	084	HSH	B	50,000	25.98	n/a	n/a	2,000.00	0.0
STRONG/MARK GRONET	030	ITPOF	S	38,705	6.90	n/a	n/a	1,161.15	0.0
BALYASNY ASSET MGMT	044	JWN	S	20,500	57.27	n/a	31-Aug	1,025.00	0.0
M&I FUNDS	047	JWN	B	9,942	57.74	n/a	31-Aug	397.68	4.0
PIONEER OAKRIDGE	031	KFT	B	43,100	41.54	n/a	n/a	1,293.00	0.0
JP MORGAN VENTURES	046	KR	B	15,000	22.15	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	SS	40,000	13.55	n/a	31-Jul	2,000.00	5.0
NEUBERGER BERMAN	036	LUFK	S	24,800	51.88	n/a	n/a	992.00	0.0
NEUBERGER BERMAN	036	MATW	S	21,700	30.01	n/a	n/a	868.00	0.0
CRAMER ROSENTHAL	070	MRO	B	50,300	27.37	n/a	n/a	2,012.00	0.0
INTERVAL PARTNERS	033	M	B	10,000	40.18	n/a	31-Aug	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	M	B	30,300	40.48	n/a	31-Aug	909.00	0.0
SCOPUS FUND	041	M	B	30,000	40.34	n/a	31-Aug	1,200.00	4.0
SIMMONS VENTURES	041	M	B	5,000	40.25	n/a	31-Aug	200.00	4.0
LISTED ERR	099	M	B	6,010	40.49	n/a	31-Aug	0.00	0.0
LISTED ERR	099	M	SS	6,010	40.53	n/a	31-Aug	0.00	0.0
KAM ADVISORS LLC	041	PAY	B	62,800	34.69	n/a	n/a	1,884.00	0.0
BALYASNY ASSET MGMT	044	PENN	B	25,000	39.03	n/a	n/a	1,250.00	0.0
BALYASNY ASSET MGMT	044	PII	SS	20,000	75.36	n/a	n/a	1,000.00	0.0
RBC CAPITAL MARKETS	040	PVH	B	5,000	93.16	n/a	29-Aug	200.00	4.0
MATRIX ASSET ADV.	091	SLB	B	1,800	71.03	n/a	n/a	72.00	4.0
JET CAPITAL/CHRIS	041	SPY	C	35,000	140.88	n/a	n/a	1,050.00	0.0
SCOPUS FUND	041	TJX	S	25,000	46.14	n/a	31-Aug	1,000.00	4.0
KAM ADVISORS LLC	041	USG	B	105,400	20.87	n/a	1-Aug	3,162.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	VFC	SS	4,000	151.06	n/a	25-Jul	160.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			VSI	B	35,274	54.58	n/a	n/a	1,058.22 0.0
ASCEND PARTNERS	033	WRC	B	72,273	51.46	n/a	7-Aug	2,168.19	0.0
COHE & STEERS	041	WY	B	300,000	24.90	n/a	27-Jul	9,000.00	0.0
TOTAL (Trade Date):								90,084.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									90,084.46
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									90,084.46

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