



Daily Compliance Activity Report

Trade Date: 08/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ABMD	S	105,000	20.67	n/a	n/a	4,200.00	0.0
NEUBERGER BERMAN	036	AKRX	B	45,700	13.00	n/a	n/a	1,828.00	0.0
PERIMETER	273	ALLT	B	12,460	25.90	n/a	n/a	373.80	0.0
ROSEDALE CAPITAL	046	ALV	S	8,500	60.07	n/a	23-Jul	425.00	5.0
BRONSON POINT	036	AOL	SS	50,000	33.62	n/a	n/a	1,500.00	0.0
ROYCE TRADING	031	AOL	S	10,000	33.34	n/a	n/a	500.00	0.0
INTERVAL PARTNERS	033	ASNA	SS	10,000	18.00	n/a	n/a	300.00	0.0
LATEEF MGMT	035	BBT	S	500	31.50	n/a	n/a	50.00	10.0
MTB INV ADV	034	CBG	S	15,000	17.59	n/a	n/a	487.50	3.3
MTB INV ADV	034	CBS	S	15,000	35.67	n/a	n/a	487.50	3.3
TOCQUEVILLE	035	CE	B	8,800	39.97	n/a	20-May	440.00	0.0
MTB INV ADV	034	CTL	B	10,000	42.84	n/a	n/a	325.00	3.3
NEUBERGER BERMAN	036	DFT	B	26,900	26.22	n/a	n/a	1,076.00	0.0
CAERUS GLOBAL	041	DKS	B	15,000	50.37	n/a	8-Aug	600.00	4.0
CATAPULT	040	DKS	S	3,885	50.27	n/a	8-Aug	155.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INTERVAL PARTNERS	033	DRI	SS	5,000	52.52	n/a	13-Jul	150.00	0.0
LATEEF MGMT	035	ENR	B	250	65.09	n/a	3-Aug	42.50	17.0
JET CAPITAL/CHRIS	041	EXPE	SS	62,500	53.49	n/a	n/a	1,875.00	0.0
ROYCE TRADING	031	FRM	S	5,000	5.24	n/a	n/a	250.00	0.0
MTB INV ADV	034	GE	S	15,000	20.97	n/a	n/a	487.50	3.3
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	11.53	n/a	27-Jul	400.00	4.0
OZ MGMT	040	GM	C	115,990	20.71	n/a	3-Aug	3,479.70	0.0
RBC CAPITAL MARKETS	040	HOG	SS	10,000	41.22	n/a	n/a	400.00	4.0
RAINIER INV MGMT	035	HON	B	100,000	58.64	n/a	7-Aug	4,000.00	0.0
HOPLITE MGMT	025	HPQ	SS	12,922	19.64	n/a	n/a	516.88	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	50,000	33.81	n/a	27-Jul	2,500.00	5.0
PAULSON & CO INC	041	IYR	SS	140,000	64.36	n/a	n/a	5,600.00	0.0
MFP INVESTORS	085	JNS	S	85,000	8.46	n/a	n/a	3,400.00	4.0
INTERVAL PARTNERS	033	KORS	B	10,000	42.15	n/a	n/a	300.00	0.0
SENATOR INVESTMENT GROUP	036	LNG	B	148,632	14.34	n/a	n/a	4,458.96	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	LOW	SS	20,000	26.57	n/a	10-Aug	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	15,000	12.31	n/a	31-Jul	750.00	5.0
ROYCE TRADING	031	LPX	S	15,000	12.40	n/a	31-Jul	750.00	0.0
ARSENAL ASSET MANAGEMENT	028	PCP	SS	5,000	159.35	n/a	1-Aug	200.00	0.0
LATEEF MGMT	035	PG	S	300	66.42	n/a	6-Aug	51.00	17.0
NEUBERGER BERMAN	036	PSB	B	10,600	66.30	n/a	n/a	424.00	0.0
JP MORGAN VENTURES	046	SBH	B	10,000	26.61	n/a	n/a	400.00	4.0
LATEEF MGMT	035	SPLS	S	1,000	13.39	n/a	n/a	100.00	10.0
PROSPECTOR PARTNERS LLC	036	TE	B	10,000	17.88	n/a	n/a	400.00	4.0
TOTAL (Trade Date):								44,483.74	

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) :									44,483.74
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									44,483.74

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