

## **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	В	45 <b>,</b> 700	13.00	n/a	n/a	1,828.00	0.0
PERIMETER	273	ALLT	В	12,460	25.90	n/a	n/a	373.80	0.0
ROSEDALE CAPITAL	046	ALV	S	8 <b>,</b> 500	60.07	n/a	23-Jul	425.00	5.0
BRONSON POINT ROYCE TRADING	036 031	AOL AOL	SS S	50,000 10,000	33.62 33.34	n/a n/a	n/a n/a	1,500.00 500.00	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	В	8,800	39.97	n/a	20-May	440.00	0.0
MTB INV ADV	034	CTL	В	10,000	42.84	n/a	n/a	325.00	3.3
NEUBERGER BERMAN	036	DFT	В	26 <b>,</b> 900	26.22	n/a	n/a	1,076.00	0.0
CAERUS GLOBAL	041	DKS	В	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	В	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	В	10,000	11.53	n/a	27-Jul	400.00	4.0
OZ MGMT	040	GM	С	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	В	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	В	10,000	42.15	n/a	n/a	300.00	0.0
SENATOR INVESTMENT GROUP	036	LNG	В	148,632	14.34	n/a	n/a	4,458.96	0.0
	INTERVAL PARTNERS  LATEEF MGMT  JET CAPITAL/CHRIS  ROYCE TRADING  MTB INV ADV  PROSPECTOR PARTNERS LLC  OZ MGMT  RBC CAPITAL MARKETS  RAINIER INV MGMT  HOPLITE MGMT  CSFB GLOBAL PROPRIETARY  PAULSON & CO INC  MFP INVESTORS  INTERVAL PARTNERS	INTERVAL PARTNERS  LATEEF MGMT  JET CAPITAL/CHRIS  MTB INV ADV  PROSPECTOR PARTNERS LLC  OZ MGMT  OZ MGMT  RAINIER INV MGMT  CSFB GLOBAL PROPRIETARY  MFP INVESTORS  O33  A34  A40  A40  A40  A40  A41  A41  A41  A4	INTERVAL PARTNERS 033 DRI  LATEEF MGMT 035 ENR  JET CAPITAL/CHRIS 041 EXPE  ROYCE TRADING 031 FRM  MTB INV ADV 034 GE  PROSPECTOR PARTNERS LLC 036 GLW  OZ MGMT 040 GM  RBC CAPITAL MARKETS 040 HOG  RAINIER INV MGMT 035 HON  HOPLITE MGMT 025 HPQ  CSFB GLOBAL PROPRIETARY 041 IP  PAULSON & CO INC 041 IYR  MFP INVESTORS 085 JNS  INTERVAL PARTNERS 033 KORS	INTERVAL PARTNERS  033 DRI SS  LATEEF MGMT  035 ENR B  JET CAPITAL/CHRIS  041 EXPE SS  ROYCE TRADING  031 FRM S  MTB INV ADV  034 GE S  PROSPECTOR PARTNERS LLC  036 GLW B  CZ MGMT  040 GM C  RBC CAPITAL MARKETS  040 HOG SS  RAINIER INV MGMT  035 HON B  HOPLITE MGMT  025 HPQ SS  CSFB GLOBAL PROPRIETARY  041 IP S  PAULSON & CO INC  041 IYR SS  MFP INVESTORS  085 JNS  S  INTERVAL PARTNERS  033 KORS  B	INTERVAL PARTNERS 033 DRI SS 5,000  LATEEF MGMT 035 ENR B 250  JET CAPITAL/CHRIS 041 EXPE SS 62,500  ROYCE TRADING 031 FRM S 5,000  MTB INV ADV 034 GE S 15,000  PROSPECTOR PARTNERS LLC 036 GLW B 10,000  OZ MGMT 040 GM C 115,990  RBC CAPITAL MARKETS 040 HOG SS 10,000  RAINIER INV MGMT 035 HON B 100,000  HOPLITE MGMT 025 HPQ SS 12,922  CSFB GLOBAL PROPRIETARY 041 IP S 50,000  PAULSON & CO INC 041 IYR SS 140,000  MFP INVESTORS 085 JNS S 85,000  INTERVAL PARTNERS 033 KORS B 10,000	INTERVAL PARTNERS 033 DRI SS 5,000 52.52  LATEEF MGMT 035 ENR B 250 65.09  JET CAPITAL/CHRIS 041 EXPE SS 62,500 53.49  ROYCE TRADING 031 FRM S 5,000 5.24  MTB INV ADV 034 GE S 15,000 20.97  PROSPECTOR PARTNERS LLC 036 GLW B 10,000 11.53  OZ MGMT 040 GM C 115,990 20.71  RBC CAPITAL MARKETS 040 HOG SS 10,000 41.22  RAINIER INV MGMT 035 HON B 100,000 58.64  HOPLITE MGMT 025 HPQ SS 12,922 19.64  CSFB GLOBAL PROPRIETARY 041 IP S 50,000 33.81  PAULSON & CO INC 041 IYR SS 140,000 64.36  MFP INVESTORS 085 JNS S 85,000 8.46  INTERVAL PARTNERS 033 KORS B 10,000 42.15	INTERVAL PARTNERS 033 DRI SS 5,000 52.52	INTERVAL PARTNERS 033 DRI SS 5,000 52.52	INTERVAL PARTNERS 033 DRI SS 5,000 52.52

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	041 031	LPX LPX	S S	15,000 15,000	12.31 12.40	n/a n/a	31-Jul 31-Jul	750.00 5.0 750.00 0.0	
ROICE TRADING	031	LFA	۵	13,000	12.40	II/a	31-001	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	В	10,600	66.30	n/a	n/a	424.00 0.0	
JP MORGAN VENTURES	046	SBH	В	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	В	10,000	17.88	n/a	n/a	400.00 4.0	

TOTAL (Trade Date): 44,483.74

Туре	Date Account	RR # Symbol B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):					0.00
TOTAL	(Trade Date):				44,4	83.74
TOTAL	(AO, CXL, CRT):					0.00
TOTAL	(RUN DATE) / NFS:				44,4	83.74

## Legend:

O: 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