



Daily Compliance Activity Report

Trade Date: 08/08/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
COHE & STEERS	041	AMT	B	25,639	70.37	n/a	n/a	1,025.56	0.0	
FIRST NY SEC/CHRIS	041	ASNA	B	15,000	18.29	n/a	n/a	450.00	3.0	
FIRST NY SEC/CHRIS	041	BODY	B	10,000	8.84	n/a	n/a	500.00	5.0	
BALLAST CAP	040	BTU	S	11,000	21.77	n/a	n/a	550.00	5.0	
HALCYON LLC	041	CHMT	B	15,000	16.37	n/a	18-Feb	450.00	3.0	
OHIO PERS	047	CREE	S	29,853	26.85	n/a	n/a	895.59	0.0	
HALCYON LLC	041	CTL	SS	2,250	41.88	n/a	n/a	67.50	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			CYBX	S	9,568	44.16	n/a	n/a	287.04	0.0
SCOUT/UMB	047	EXPE	S	16,796	57.87	n/a	n/a	503.88	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			FEIC	S	13,217	55.02	n/a	n/a	396.51	0.0
OSKIE CAPITAL MGMT	224	FRGI	B	8,535	15.25	n/a	n/a	426.75	5.0	
SCOPUS FUND	041	GPS	S	41,200	34.65	n/a	n/a	1,648.00	0.0	
NEUBERGER BERMAN	036	HPP	S	25,000	17.36	n/a	n/a	1,000.00	0.0	
HALCYON LLC	041	IWM	S	20,000	80.05	n/a	n/a	400.00	2.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	KIM	S	32,900	19.44	n/a	n/a	1,316.00	0.0
BALYASNY ASSET MGMT	044	KSS	SS	25,000	52.01	n/a	3-Aug	1,250.00	0.0
LEVIN CAPITAL STRATEGIES	041	KSS	SS	12,000	51.82	n/a	3-Aug	360.00	0.0
BALLAST CAP	040	LPX	S	15,800	11.79	n/a	31-Jul	474.00	3.0
HALCYON LLC	041	LYV	SS	60,900	9.21	n/a	n/a	1,827.00	3.0
LEVIN CAPITAL STRATEGIES	041	MHP	S	5,000	49.00	n/a	n/a	150.00	0.0
BASSWOOD PARTNERS	267	MS	B	20,000	14.55	n/a	2-Aug	800.00	0.0
CSFB GLOBAL PROPRIETARY	041	NP	B	20,000	27.77	n/a	20-Jul	1,000.00	5.0
FARALLON CAP MGMT	040	NTAP	S	105,000	32.96	n/a	n/a	3,150.00	3.0
OHIO PERS	047	NVDA	B	50,000	14.22	n/a	n/a	1,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	OMC	S	12,500	51.35	n/a	n/a	375.00	0.0
CAERUS GLOBAL	041	PENN	B	2,650	37.91	n/a	n/a	106.00	4.0
LISTED ERR	099	PLCE	B	39	50.65	n/a	8-Aug	0.00	0.0
LISTED ERR	099	PLCE	S	39	51.54	n/a	8-Aug	0.00	0.0
HALCYON LLC	041	S	SS	22,601	4.52	n/a	n/a	452.02	2.0
ASCEND PARTNERS	033	TAP	S	46,005	43.94	n/a	n/a	2,300.25	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CONIFER	025	TROW	B	10,000	61.22	n/a	n/a	400.00	4.0
HALCYON LLC	041	TWC	SS	2,850	89.17	n/a	n/a	85.50	0.0
HALCYON LLC	041	TWX	SS	11,550	42.11	n/a	n/a	346.50	0.0
OSKIE CAPITAL MGMT	224	VC	S	45,000	38.94	n/a	n/a	2,250.00	5.0
HALCYON LLC	041	VIAB	SS	9,300	49.12	n/a	n/a	279.00	0.0
TUDOR INVESTORS	028	ZUMZ	SS	12,500	35.25	n/a	n/a	375.00	3.0
TOTAL (Trade Date):								27,397.10	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/07	COHE & STEERS (COHENORDGR)	041	OFC	B	220	22.74	n/a	n/a	6.60	0.0
AO,CXL	08/07	COHE & STEERS (COHEASK)	041	OFC	B	220	22.74	n/a	n/a	6.60	0.0
AO,CXL	08/07	PARKWEST (PARWGSBULK)	084	TFM	B	10,000	60.60	n/a	n/a	300.00	3.0
AO,CRT	08/07	PARKWEST (PARWGSBULK)	084	TFM	B	10,000	60.60	n/a	n/a	400.00	4.0
CRT	08/08	OSKIE CAPITAL MGMT (OSKIGSPB)	224	VC	S	45,000	38.94	n/a	n/a	2250.00	5.0

TOTAL (AO, CXL, CRT) :	2,350.00
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TOTAL (Trade Date) :	27,397.10
TOTAL (AO, CXL, CRT) :	2,350.00

TOTAL (RUN DATE) / NFS :	29,747.10
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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