



Daily Compliance Activity Report

Trade Date: 10/02/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		ABT	B	1,795	68.50	n/a	n/a	35.90	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		ACC	B	3,075	43.37	n/a	n/a	61.50	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		AET	B	2,965	40.57	n/a	n/a	59.30	0.0
PENNANT CAP MGMT	029	AIG	B	300,000	33.48	n/a	n/a	9,000.00	0.0
SCOPUS FUND	041	ALSN	SS	67,520	20.36	n/a	n/a	2,700.80	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		AMAT	B	9,355	11.15	n/a	n/a	187.10	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		AMP	B	2,265	56.41	n/a	n/a	45.30	0.0
CATAPULT	040	AMTD	S	15,000	15.63	n/a	n/a	600.00	0.0
ARSENAL ASSET MANAGEMENT	028	ASH	SS	1,619	71.76	n/a	26-Sep	64.76	0.0
ARSENAL ASSET MANAGEMENT	028	ASH	S	8,381	71.71	n/a	26-Sep	335.24	0.0
DC CAPITAL	044	ATI	B	100,000	31.40	n/a	14-Sep	4,000.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		ATW	B	2,780	44.59	n/a	n/a	55.60	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		AXE	B	2,810	57.20	n/a	26-Sep	56.20	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		AXL	B	10,000	11.15	n/a	1-Oct	300.00	3.0
MILLENNIUM-NEW VERNON	031	AXL	B	49,176	11.43	n/a	1-Oct	2,458.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AXL	B	5,000	11.13	n/a	1-Oct	150.00	3.0
CATAPULT	040	BAC	B	30,000	8.92	n/a	26-Sep	1,200.00	0.0
CATAPULT	040	BAC	SS	31,000	9.09	n/a	26-Sep	1,240.00	0.0
BRONSON POINT	036	BBY	B	50,000	16.95	n/a	n/a	1,500.00	0.0
TUDOR INVESTORS	028	BKE	B	25,000	46.12	n/a	n/a	750.00	3.0
CRAMER ROSENTHAL	070	CCC	S	3,400	14.17	n/a	n/a	136.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		CFNL	B	11,420	14.34	n/a	n/a	228.40	0.0
LOMAS CAPITAL	040	CMG	SS	547	301.46	n/a	20-Jul	16.41	3.0
EDGEWOOD	085	COH	B	24,754	55.53	n/a	1-Aug	1,237.70	0.0
CRAMER ROSENTHAL	070	COO	S	100	96.45	n/a	n/a	4.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		CTL	B	2,200	39.43	n/a	n/a	44.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CTXS	S	6,650	75.27	n/a	n/a	266.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		C	B	5,610	33.16	n/a	1-Oct	112.20	0.0
DELTEC ASSET MGMT.	040	DD	B	10,000	49.92	n/a	1-Oct	500.00	5.0
EAGLE ASSET MGMT. (FLORIDA) 093		DD	B	2,770	49.45	n/a	1-Oct	55.40	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DE	B	2,500	82.40		n/a 11-Jul	100.00	4.0
CRAMER ROSENTHAL	070	DG	S	8,100	51.30	n/a	5-Sep	324.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093		DOV	B	2,135	58.39	n/a	n/a	42.70	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DPZ	B	2,240	37.66	n/a	24-Jul	44.80	0.0
CRAMER ROSENTHAL	070	DSW	S	3,150	65.52	n/a	11-Feb	126.00	0.0
CHESAPEAKE PARTNERS	028	DTG	S	10,000	87.12	n/a	n/a	300.00	3.0
EAGLE ASSET MGMT. (FLORIDA) 093		DTV	B	2,775	52.00	n/a	n/a	55.50	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		DVN	B	1,525	61.33	n/a	1-Oct	30.50	0.0
NORTHWESTERN MUTUAL LIFE	047	EMC	S	36,600	27.10	n/a	n/a	1,464.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		EOG	B	1,115	114.76	n/a	n/a	22.30	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		ETN	B	2,820	46.57	n/a	26-Sep	56.40	0.0
ARSENAL ASSET MANAGEMENT	028	EXP	B	10,000	48.00	n/a	n/a	400.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		FCX	B	2,815	39.52	n/a	n/a	56.30	0.0
SAC CHICAGO ANDREW	031	FL	SS	97,588	35.06	n/a	29-Aug	3,415.58	0.0
OZ MGMT	040	F	SS	150,000	9.89	n/a	1-Oct	4,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GCO	S	22,000	64.68	n/a	n/a	660.00	3.0
CRAMER ROSENTHAL	070	GEO	S	1,050	27.98	n/a	n/a	42.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	GE	B	100,000	22.73	n/a	n/a	5,000.00	0.0
CYRUS CAPITAL	025	GM	B	22,600	23.92	n/a	1-Oct	678.00	3.0
OZ MGMT	040	GM	B	125,000	23.99	n/a	1-Oct	3,750.00	0.0
PATRIOT STRATEGY PARTNERS	036	GM	B	20,000	23.32	n/a	1-Oct	800.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		HD	B	2,390	60.29	n/a	14-Aug	47.80	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		HON	B	2,630	61.22	n/a	12-Sep	52.60	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		HPP	B	7,755	18.64	n/a	n/a	155.10	0.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	S	50,000	14.06	n/a	n/a	1,500.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	79.26	n/a	n/a	200.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		IBM	B	1,125	209.31	n/a	n/a	22.50	0.0
MERCHANTS GATE CAP LP	036	JCP	S	200,000	23.59	n/a	13-Aug	8,000.00	0.0
NORTHWESTERN MUTUAL LIFE	047	JNPR	S	26,800	16.79	n/a	n/a	1,072.00	0.0
SIMMONS VENTURES	041	JNY	SS	1,100	13.00	n/a	26-Jul	44.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		JPM	B	3,640	40.86	n/a	26-Sep	72.80	0.0
CRAMER ROSENTHAL	070	KO	B	62,700	38.36	n/a	18-Sep	2,508.00	0.0
LOMAS CAPITAL	040	LAMR	B	143,184	37.51	n/a	n/a	4,295.52	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	LAMR	S	5,000	37.55	n/a	n/a	200.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		LAZ	B	3,115	29.71	n/a	5-Sep	62.30	0.0
DISCIPLINED GROWTH INV.	030	LTD	B	11,000	49.41	n/a	n/a	550.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		LUFK	B	2,885	53.45	n/a	n/a	57.70	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		MD	B	1,755	73.57	n/a	n/a	35.10	0.0
TUDOR INVESTORS	028	MGA	SS	5,000	44.16	n/a	n/a	150.00	3.0
CRAMER ROSENTHAL	070	MRK	B	26,600	45.47	n/a	n/a	1,064.00	0.0
NORTHWESTERN MUTUAL LIFE	047	MSFT	B	116,450	29.59	n/a	n/a	4,658.00	0.0
CRAMER ROSENTHAL	070	MSI	S	900	50.17	n/a	n/a	36.00	0.0
HOLLIS CAPITAL	033	MTZ	B	5,000	20.44	n/a	n/a	250.00	5.0
EAGLE ASSET MGMT. (FLORIDA) 093		MYL	B	7,380	24.35	n/a	1-Oct	147.60	0.0
BRONSON POINT	036	M	S	50,000	38.97	n/a	28-Sep	1,500.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		NGG	B	2,275	56.16	n/a	n/a	45.50	0.0
CRAMER ROSENTHAL	070	NOV	B	15,700	80.49	n/a	n/a	628.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		OII	B	3,120	53.72	n/a	n/a	62.40	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		OMC	B	3,150	51.88	n/a	n/a	63.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EDGEWOOD	085	ORCL	B	33,423	31.71	n/a	n/a	1,671.15	0.0
MATRIX ASSET ADV.	091	OXY	B	900	85.40	n/a	n/a	36.00	4.0
CRAMER ROSENTHAL	070	PFE	B	9,660	25.00	n/a	n/a	386.40	0.0
MERRILL ASSET/BLACKROCK	297	PFS	B	2,400	15.96	n/a	n/a	96.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		PG	B	1,870	68.78	n/a	1-Oct	37.40	0.0
CHESAPEAKE PARTNERS	028	PHH	S	9,269	21.05	n/a	n/a	278.07	3.0
THOMPSON SIEGAL&WALMSLEY	029	PKY	B	16,842	12.99	n/a	n/a	502.93	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		SFD	B	6,755	20.24	n/a	n/a	135.10	0.0
EPOCH INV MGMT	030	SJM	B	35,000	86.92	n/a	n/a	1,050.00	0.0
CRAMER ROSENTHAL	070	SLB	B	16,700	72.67	n/a	n/a	668.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		SPW	B	2,040	63.88	n/a	n/a	40.80	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		STBZ	B	4,695	16.61	n/a	n/a	93.90	0.0
SIGMA CAPITAL ASSOCIATES	041	SYN	B	25,000	31.81	n/a	n/a	875.00	3.5
NORTHWESTERN MUTUAL LIFE	047	TDC	S	6,100	75.42	n/a	n/a	244.00	0.0
LOMAS CAPITAL	040	THO	B	27,601	35.65	n/a	n/a	828.03	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISIPLINED GROWTH INV.	030	TJX	B	13,200	44.91	n/a	28-Sep	660.00	0.0
SCOUT/UMB	047	TRW	S	108,345	47.63	n/a	n/a	3,250.35	0.0
VISIUM/BALY BOBBY	044	TTWO	B	20,000	10.24	n/a	n/a	1,000.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		TUP	B	2,285	53.83	n/a	n/a	45.70	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		T	B	2,695	37.75	n/a	n/a	53.90	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		UNP	B	1,245	119.01	n/a	n/a	24.90	0.0
LOMAS CAPITAL	040	UNP	SS	1,203	119.06	n/a	n/a	36.09	3.0
EDGEWOOD	085	VIAB	B	24,105	54.00	n/a	n/a	1,205.25	0.0
LOMAS CAPITAL	040	WM	SS	7,774	31.66	n/a	n/a	233.22	3.0
EAGLE ASSET MGMT. (FLORIDA) 093		XRX	B	11,275	7.33	n/a	n/a	225.50	0.0
LOMAS CAPITAL	040	YUM	SS	2,110	66.38	n/a	17-Sep	63.30	3.0
EAGLE ASSET MGMT. (FLORIDA) 093		ZMH	B	2,520	67.29	n/a	n/a	50.40	0.0
TOTAL (Trade Date) :								90,540.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/01	CATAPULT (CATAML)	040	AAP	S	5,602	67.96	n/a	n/a	224.08	0.0
AO,	10/01	CATAPULT CAP/DEFRANCO (CATDML)	040	AAP	S	5,602	67.96	n/a	n/a	224.08	0.0
AO,CXL	10/01	CATAPULT (CATAML)	040	BC	SS	8,712	22.56	n/a	n/a	348.48	0.0
AO,	10/01	CATAPULT CAP/DEFRANCO (CATDML)	040	BC	SS	8,712	22.56	n/a	n/a	348.48	0.0
AO,CXL	10/01	CATAPULT (CATAML)	040	CMI	B	4,000	92.58	n/a	11-Jul	160.00	0.0
AO,	10/01	CATAPULT CAP/DEFRANCO (CATDML)	040	CMI	B	4,000	92.58	n/a	11-Jul	160.00	0.0
AO,CXL	10/01	CATAPULT (CATAML)	040	DNKN	SS	11,876	29.22	n/a	n/a	475.04	0.0
AO,	10/01	CATAPULT CAP/DEFRANCO (CATDML)	040	DNKN	SS	11,876	29.22	n/a	n/a	475.04	0.0
AO,CRT	10/01	CAPITAL GROWTH MGMT. (CAPG4892)	241	PII	S	20,000	80.95	n/a	n/a	1000.00	5.0
AO,CXL	10/01	CAPITAL GROWTH MGMT. (CAPG4845)	241	PII	S	20,000	80.95	n/a	n/a	1000.00	5.0

TOTAL (AO, CXL, CRT) :**0.00**

TOTAL (Trade Date) :**90,540.00****TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (RUN DATE) / NFS :**90,540.00**

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