



# Daily Compliance Activity Report

Trade Date: 08/17/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	ALV	B	5,000	62.45	n/a	23-Jul	200.00	0.0
SIMMONS VENTURES	041	ARO	B	15,000	12.71	n/a	n/a	600.00	4.0
CYRUS CAPITAL	025	ATR	B	20,000	50.81	n/a	n/a	800.00	0.0
CYRUS CAPITAL	025	AWI	B	10,000	43.64	n/a	n/a	400.00	0.0
SENATOR INVESTMENT GROUP	036	BA	B	100,000	73.51	n/a	7-Aug	3,000.00	3.0
CAISSE DEPOT PLACEMENT Q	295	BK	B	40,000	22.73	n/a	2-Aug	2,000.00	5.0
RBC CAPITAL MARKETS	040	BLMN	B	3,000	13.07	n/a	n/a	120.00	4.0
RBC CAPITAL MARKETS	040	BWLD	B	19,000	74.06	n/a	n/a	760.00	4.0
STELLIAM INV ADV	034	CTXS	B	40,000	78.19	n/a	n/a	2,000.00	5.0
LATEEF MGMT	035	DE	B	750	76.54	n/a	11-Jul	90.00	12.0
BRONSON POINT	036	DISCA	SS	25,000	52.68	n/a	n/a	750.00	0.0
NEUBERGER BERMAN	036	DNR	B	21,500	15.76	n/a	n/a	860.00	0.0
NEUBERGER BERMAN	036	FBHS	B	20,200	24.30	n/a	n/a	808.00	0.0
RBC CAPITAL MARKETS	040	FL	S	900	36.00	n/a	17-Aug	36.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.59	n/a	15-Aug	400.00	4.0
BRONSON POINT	036	FOSL	SS	10,000	89.25	n/a	n/a	300.00	0.0
CHILTON CAPITAL MGMT	031	GLW	B	68,020	11.93	n/a	27-Jul	2,040.60	3.0
FORTRESS INVESTMENT (US)	036	GM	B	75,000	21.90	n/a	3-Aug	3,000.00	0.0
OZ MGMT	040	GM	C	75,000	21.92	n/a	3-Aug	2,250.00	0.0
LATEEF MGMT	035	HON	S	1,000	59.30	n/a	7-Aug	100.00	10.0
NEUBERGER BERMAN	036	INFA	B	13,500	31.53	n/a	n/a	540.00	0.0
LATEEF MGMT	035	JNJ	S	1,500	67.59	n/a	n/a	150.00	10.0
BRONSON POINT	036	LOW	B	2,600	27.76	n/a	10-Aug	78.00	0.0
SCOPUS FUND	041	LPX	B	25,000	13.52	n/a	31-Jul	1,000.00	0.0
WCG MANAGEMENT	044	LPX	S	60,000	13.32	n/a	31-Jul	1,800.00	3.0
NEUBERGER BERMAN	036	MATW	S	4,295	30.49	n/a	n/a	171.80	0.0
RBC CAPITAL MARKETS	040	MCD	SS	10,000	87.45	n/a	8-Aug	400.00	4.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	11,200	78.55	n/a	n/a	448.00	0.0
LATEEF MGMT	035	MMM	S	500	94.16	n/a	10-Aug	60.00	12.0
RBC CAPITAL MARKETS	040	MTN	SS	7,000	50.69	n/a	n/a	280.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
T. ROWE PRICE	033	NTRS	B	87,100	47.22	n/a	2-Aug	3,484.00	0.0
ARSENAL ASSET MANAGEMENT	028	PCP	SS	10,000	161.83	n/a	1-Aug	400.00	0.0
RBC CAPITAL MARKETS	040	PENN	SS	18,000	38.04	n/a	n/a	720.00	4.0
WCG MANAGEMENT	044	PKG	S	40,000	31.98	n/a	20-Jul	1,200.00	3.0
RBC CAPITAL MARKETS	040	RAH	SS	18,000	67.30	n/a	n/a	720.00	4.0
T. ROWE PRICE	033	RBN	S	63,400	60.01	n/a	n/a	2,536.00	0.0
NORTHWESTERN MUTUAL LIFE	047	ROST	B	83,785	69.46	n/a	17-Aug	3,351.40	0.0
RBC CAPITAL MARKETS	040	SBUX	B	10,000	48.21	n/a	27-Jul	400.00	4.0
CYRUS CAPITAL	025	SPY	B	14,230	142.02	n/a	n/a	569.20	0.0
IRIDIAN ASSET MGMT.	036	TEVA	B	58,890	40.50	n/a	15-Aug	2,944.50	0.0
RBC CAPITAL MARKETS	040	TGT	B	3,000	64.09	n/a	15-Aug	120.00	4.0
RBC CAPITAL MARKETS	040	TUP	B	3,000	54.16	n/a	n/a	120.00	4.0
NEUBERGER BERMAN	036	URBN	B	19,900	31.36	n/a	n/a	796.00	0.0
WCG MANAGEMENT	044	URI	S	7,000	35.16	n/a	17-Apr	210.00	3.0
IRIDIAN ASSET MGMT.	036	USB	S	3,520	33.16	n/a	n/a	176.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	VHC	B	12,000	25.62	n/a	n/a	360.00	3.0
ARSENAL ASSET MANAGEMENT	028	WBC	B	5,000	58.01	n/a	27-Jul	200.00	0.0
IRIDIAN ASSET MGMT.	036	WFC	S	3,420	34.07	n/a	2-Aug	171.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	125,000	24.14	n/a	27-Jul	6,250.00	5.0
<b>TOTAL (Trade Date):</b>							<b>50,170.50</b>		

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) :									50,170.50
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									50,170.50

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