



Daily Compliance Activity Report

Trade Date: 09/10/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
KENNEDY CAPITAL	046	ACOM	S	1,046	30.64	n/a	n/a	41.84 0.0
KENNEDY CAPITAL	046	ADTN	S	892	20.05	n/a	n/a	35.68 0.0
KENNEDY CAPITAL	046	AFSI	S	626	26.95	n/a	n/a	25.04 0.0
HOLLIS CAPITAL	033	AIG	B	6,000	33.50	n/a	n/a	300.00 5.0
KENNEDY CAPITAL	046	ALOG	S	175	70.18	n/a	n/a	7.00 0.0
KENNEDY CAPITAL	046	ANEN	S	1,263	19.09	n/a	n/a	50.52 0.0
DAVIDSON KEMPNER ADVISOR	040	AOL	B	25,000	33.23	n/a	n/a	750.00 0.0
HIGHBRIDGE CAP	041	APC	S	21,750	70.35	n/a	9-Aug	652.50 3.0
IMPALA ASSET MMT	040	ARII	S	2,500	30.62	n/a	n/a	100.00 0.0
KENNEDY CAPITAL	046	ATSG	S	3,089	4.69	n/a	n/a	61.78 0.0
BALLAST CAP	040	ATVI	B	15,000	12.01	n/a	n/a	450.00 3.0
SENATOR INVESTMENT GROUP	036	A	B	10,000	38.62	n/a	n/a	300.00 0.0
CAISSE DEPOT PLACEMENT Q	295	BAC	S	100,000	8.70	n/a	5-Sep	3,000.00 3.0
PERIMETER	273	BDC	B	23,877	38.75	n/a	n/a	716.31 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	BWLD	B	5,000	81.87	n/a	n/a	200.00	4.0
SMITH MGMT/ALDEN GLOBAL		029	BZH	S	250,000	3.14	n/a	n/a	7,500.00 3.0
RBC CAPITAL MARKETS	040	CCL	B	10,000	36.81	n/a	n/a	400.00	4.0
KENNEDY CAPITAL	046	CGNX	S	1,207	38.61	n/a	n/a	48.28	0.0
KENNEDY CAPITAL	046	CHMT	S	727	17.75	n/a	18-Feb	29.08	0.0
KENNEDY CAPITAL	046	CHSP	S	1,026	19.18	n/a	n/a	41.04	0.0
KENNEDY CAPITAL	046	CMTL	S	457	28.46	n/a	n/a	18.28	0.0
SCOPUS FUND	041	COH	B	25,000	62.71	n/a	1-Aug	1,000.00	4.0
CAERUS GLOBAL	041	CROX	B	2,200	18.35	n/a	n/a	88.00	4.0
KENNEDY CAPITAL	046	CRZO	S	1,122	27.35	n/a	n/a	44.88	0.0
RBC CAPITAL MARKETS	040	DRI	SS	10,000	53.71	n/a	13-Jul	400.00	4.0
LATEEF MGMT	035	DVN	B	250	59.51	n/a	23-Jul	40.00	16.0
KENNEDY CAPITAL	046	ENTR	S	3,500	5.90	n/a	n/a	105.00	0.0
KENNEDY CAPITAL	046	EXPR	S	2,361	15.71	n/a	n/a	94.44	0.0
BRONSON POINT	036	FAST	C	10,000	42.59	n/a	n/a	300.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYRUS CAPITAL	025	FBP	S	25,000	4.26	n/a	n/a	750.00	0.0
STATE TEACHERS RET SYS	047	FCX	S	70,703	39.73	n/a	n/a	3,535.15	0.0
RBC CAPITAL MARKETS	040	FL	B	10,000	36.90	n/a	29-Aug	400.00	4.0
KENNEDY CAPITAL	046	FMER	S	759	16.98	n/a	n/a	30.36	0.0
KENNEDY CAPITAL	046	FRME	S	851	14.61	n/a	n/a	34.04	0.0
KENNEDY CAPITAL	046	GCO	S	139	70.93	n/a	n/a	5.56	0.0
IMPALA ASSET MMT	040	GMT	S	2,570	43.29	n/a	n/a	128.50	0.0
KENNEDY CAPITAL	046	GSIG	S	2,539	9.11	n/a	n/a	76.17	0.0
KENNEDY CAPITAL	046	HERO	S	3,470	4.50	n/a	n/a	69.40	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	HPQ	S	34,400	17.40	n/a	n/a	1,100.80	0.0
HPQ	273	HPQ	S	1,650	17.40	n/a	n/a	52.80	0.0
OHIO PERS	047	HUBB	S	20,000	81.74	n/a	n/a	600.00	0.0
KENNEDY CAPITAL	046	ICFI	S	1,443	22.20	n/a	n/a	57.72	0.0
KENNEDY CAPITAL	046	ICLR	S	1,039	24.14	n/a	n/a	41.56	0.0
KENNEDY CAPITAL	046	ICON	S	2,037	19.24	n/a	n/a	81.48	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	INTC	B	111,000	23.67	n/a	n/a	3,552.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HPQ	273	INTC	B	5,450	23.67	n/a	n/a	174.40	0.0
KENNEDY CAPITAL	046	IOSP	S	1,270	31.63	n/a	n/a	50.80	0.0
KENNEDY CAPITAL	046	IPAR	S	1,575	16.61	n/a	n/a	63.00	0.0
KENNEDY CAPITAL	046	IPGP	S	585	64.57	n/a	n/a	23.40	0.0
KENNEDY CAPITAL	046	IPHS	S	633	50.03	n/a	n/a	25.32	0.0
KENNEDY CAPITAL	046	ISBC	S	1,948	17.21	n/a	n/a	77.92	0.0
M&I FUNDS	047	JWN	B	4,117	57.90	n/a	31-Aug	164.68	4.0
STATE TEACHERS RET SYS	047	KEY	B	87,666	8.65	n/a	n/a	4,383.30	0.0
RBC CAPITAL MARKETS	040	KORS	B	7,000	53.69	n/a	n/a	280.00	4.0
ASCEND PARTNERS	033	LULU	SS	41,911	77.18	n/a	10-Sep	1,257.33	0.0
CASTLEROCK	040	LULU	B	10,000	76.71	n/a	10-Sep	400.00	4.0
CASTLEROCK	040	LULU	SS	19,927	77.71	n/a	10-Sep	797.08	4.0
THE JAY GOLDMAN	028	LULU	SS	25,000	77.68	n/a	10-Sep	1,000.00	4.0
STATE TEACHERS RET SYS	047	MGM	S	184,423	10.92	n/a	13-Jun	9,221.15	0.0
KENNEDY CAPITAL	046	MIDD	S	215	117.02	n/a	n/a	8.60	0.0
KENNEDY CAPITAL	046	MKSI	S	516	27.61	n/a	n/a	20.64	0.0
KENNEDY CAPITAL	046	MMSI	S	1,390	14.60	n/a	n/a	55.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	MTW	B	116,000	14.07	n/a	11-Jul	3,480.00	0.0
KENNEDY CAPITAL	046	NEWP	S	1,027	13.03	n/a	n/a	41.08	0.0
KENNEDY CAPITAL	046	NGPC	S	2,131	7.33	n/a	n/a	63.93	0.0
STATE TEACHERS RET SYS	047	NIHD	S	72,896	6.30	n/a	n/a	3,644.80	0.0
KENNEDY CAPITAL	046	NTGR	S	1,336	38.90	n/a	n/a	53.44	0.0
KENNEDY CAPITAL	046	NWBI	S	1,995	12.20	n/a	n/a	79.80	0.0
KENNEDY CAPITAL	046	OFIX	S	750	43.15	n/a	n/a	30.00	0.0
IMPALA ASSET MMT	040	PHM	S	82,000	14.58	n/a	n/a	2,460.00	0.0
RBC CAPITAL MARKETS	040	PII	SS	4,000	80.94	n/a	n/a	160.00	4.0
KENNEDY CAPITAL	046	PMTC	S	548	22.26	n/a	n/a	21.92	0.0
CAISSE DEPOT PLACEMENT Q	295	PRU	SS	36,000	56.13	n/a	n/a	1,800.00	5.0
Õ Jill Rosenberg		PSA	B	300	25.0000	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	PVTB	S	946	16.97	n/a	n/a	37.84	0.0
DELTEC ASSET MGMT.	040	PXP	B	10,000	37.18	n/a	n/a	500.00	5.0
IMPALA ASSET MMT	040	QLTY	S	3,771	9.88	n/a	n/a	75.42	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
KENNEDY CAPITAL	046	QSFT	S	886	27.96	n/a	n/a	35.44	0.0	
KENNEDY CAPITAL	046	RCII	S	532	35.57	n/a	n/a	21.28	0.0	
KENNEDY CAPITAL	046	RFMD	S	2,626	3.87	n/a	n/a	52.52	0.0	
KENNEDY CAPITAL	046	SANM	S	2,096	8.96	n/a	n/a	62.88	0.0	
RBC CAPITAL MARKETS	040	SBUX	B	15,000	50.93	n/a	27-Jul	600.00	4.0	
KENNEDY CAPITAL	046	SD	S	50,000	7.09	n/a	n/a	1,500.00	0.0	
EPOCH INV MGMT	030	SJM	B	3,000	85.90	n/a	n/a	90.00	0.0	
NEWLAND CAPITAL MGT	025	SPR	S	15,000	25.01	n/a	3-Aug	600.00	4.0	
FINDLAY PARK PART	085	STT	B	304,000	43.13	n/a	5-Sep	19,669.38	0.0	
KENNEDY CAPITAL	046	SUSQ	S	2,452	10.87	n/a	n/a	98.08	0.0	
STATE TEACHERS RET SYS	047	S	S	313,816	5.17	n/a	n/a	15,690.80	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT)251	TEX	SS	25,000	23.15		n/a	n/a	750.00	3.0
KENNEDY CAPITAL	046	THRM	S	748	12.76	n/a	n/a	29.92	0.0	
NEUBERGER BERMAN	036	TIBX	B	19,200	32.68	n/a	n/a	768.00	0.0	
KENNEDY CAPITAL	046	TITN	B	3,525	20.06	n/a	n/a	141.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WATERFRONT CAP	028	TOL	S	98,700	33.60	n/a	n/a	3,948.00	0.0
RBC CAPITAL MARKETS	040	TUP	B	6,000	55.78	n/a	n/a	240.00	4.0
KENNEDY CAPITAL	046	UMPQ	S	1,175	13.04	n/a	n/a	47.00	0.0
KENNEDY CAPITAL	046	VCLK	S	2,617	16.33	n/a	n/a	104.68	0.0
RBC CAPITAL MARKETS	040	VFC	SS	4,000	155.62	n/a	25-Jul	160.00	4.0
HIGHBRIDGE CAP	041	XLI	SS	28,000	36.75	n/a	n/a	840.00	3.0
P.SCHOENFELD ASSET MGMT LLC041		XLI	C	64,000	36.94	n/a	n/a	2,560.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	XRX	S	391,864	7.57	n/a	n/a	12,539.62	0.0
HPQ	273	XRX	S	11,919	7.57	n/a	n/a	381.41	0.0
TUDOR INVESTORS	028	ZUMZ	B	12,500	27.49	n/a	n/a	375.00	3.0
TOTAL (Trade Date) :								119,071.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/07	ACK ASSET (ACKAMS)	028	AXL	B	19,259	12.39	n/a	30-Jul	577.77	0.0
AO,CXL	09/07	ACK ASSET (ACKABEARPB)	028	AXL	B	50,000	12.39	n/a	30-Jul	1500.00	0.0
AO,	09/07	ACK ASSET (ACKABEARPB)	028	AXL	B	30,741	12.39	n/a	30-Jul	922.23	0.0
CRT	09/10	RBC CAPITAL MARKETS (RBCCMAIN)	040	KORS	B	7,000	53.69	n/a	n/a	280.00	4.0
AO,	09/07	ACK ASSET (ACKAMS)	028	MTW	B	19,259	14.56	n/a	11-Jul	577.77	0.0
AO,CXL	09/07	ACK ASSET (ACKABEARPB)	028	MTW	B	50,000	14.56	n/a	11-Jul	1500.00	0.0
AO,	09/07	ACK ASSET (ACKABEARPB)	028	MTW	B	30,741	14.56	n/a	11-Jul	922.23	0.0
AO,CXL	09/07	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	POT	SS	10,000	42.55	n/a	n/a	300.00	3.0	
AO,CRT	09/07	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	POT	SS	10,000	42.55	n/a	n/a	400.00	4.0	
CRT	09/10	FINDLAY PARK PART (FINDAMERS)	085	STT	B	300,000	43.13	n/a	5-Sep	19410.57	0.0

TOTAL (AO, CXL, CRT) :**19,790.57**

TOTAL (Trade Date):

119,071.67

TOTAL (AO, CXL, CRT):

19,790.57

TOTAL (RUN DATE) / NFS:**138,862.24**

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