



Daily Compliance Activity Report

Trade Date: 07/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AA	SS	30,000	8.37	n/a	n/a	600.00	2.0
SENATOR INVESTMENT GROUP	036	ABC	B	100,000	39.59	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	AGN	S	10,900	90.04	n/a	12-Jul	327.00	3.0
TRELLUS PARTNERS LP	028	ALV	B	10,000	54.01	n/a	20-Jun	300.00	3.0
LISTED ERR	099	ANN	B	10,010	25.66	n/a	n/a	0.00	0.0
BRONSON POINT	036	BWA	SS	20,000	64.37	n/a	27-Apr	600.00	3.0
TRELLUS PARTNERS LP	028	CAKE	SS	8,577	31.97	n/a	13-Jul	257.31	3.0
BALYASNY ASSET MGMT	044	CELG	SS	10,000	64.05	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	CERN	B	10,800	81.47	n/a	n/a	324.00	3.0
HIGHBRIDGE CAP	041	CF	B	512	195.80	n/a	n/a	15.36	3.0
CAVOLEPH	085	CL	S	2,200	105.00	n/a	18-Jun	88.00	4.0
OZ MGMT	040	DE	S	57,911	77.07	n/a	11-Jul	1,737.33	3.0
OHIO PERS	047	DIS	B	31,000	47.89	n/a	n/a	930.00	3.0
THE JAY GOLDMAN	028	DLPH	SS	50,000	26.83	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	FAST	B	80,000	43.27	n/a	n/a	3,200.00	4.0
OZ MGMT	040	F	C	57,994	9.20	n/a	5-Jul	1,739.82	3.0
PHILADELPHIA FINANCIAL	033	F	SS	150,596	9.23	n/a	5-Jul	6,023.84	4.0
NEUBERGER BERMAN	036	GRC	B	2,700	30.71	n/a	n/a	108.00	4.0
THE JAY GOLDMAN	028	GWW	S	20,000	189.07	n/a	28-Jun	800.00	4.0
HIGHBRIDGE CAP	041	HP	SS	6,000	42.90	n/a	n/a	180.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	65,000	30.93	n/a	2-Jul	3,250.00	5.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	IP	B	3,700	31.13		n/a 2-Jul	111.00	3.0
SANDLER O'NEILL ASSET	031	JPM	SS	50,000	35.59	n/a	13-Jul	2,500.00	5.0
LISTED ERR	099	KSS	S	10,310	47.31	n/a	6-Jul	0.00	0.0
ROTHSCHILD ASSET	040	LCC	S	53,946	14.27	n/a	n/a	2,157.84	4.0
MERRILL ASSET/BLACKROCK	297	MCY	S	20,000	39.62	n/a	n/a	800.00	4.0
HIGHBRIDGE CAP	041	MON	B	2,550	84.01	n/a	27-Jun	76.50	3.0
OHIO PERS	047	PENN	S	35,700	41.45	n/a	n/a	1,071.00	3.0
HIGHBRIDGE CAP	041	RKT	B	2,600	58.25	n/a	2-Jul	78.00	3.0
OZ MGMT	040	RKT	B	150,000	58.84	n/a	2-Jul	4,500.00	3.0
THE JAY GOLDMAN	028	ROK	B	20,000	62.68	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	SIG	SS	25,000	42.99	n/a	n/a	1,000.00	4.0
LATEEF MGMT	035	SWY	B	1,800	16.05	n/a	n/a	252.50	15.0
ROSEDALE CAPITAL	046	TSN	B	25,000	16.32	n/a	n/a	1,000.00	4.0
THE JAY GOLDMAN	028	VC	SS	45,000	32.74	n/a	n/a	1,800.00	4.0
LONG POND	029	WY	S	50,000	23.41	n/a	4-May	2,000.00	4.0
MERRILL ASSET/BLACKROCK	297	Y	B	6,100	342.54	n/a	n/a	244.00	4.0
TOTAL (Trade Date) :								44,371.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/12	GALT INVESTMENT (GALTFIDO)	041	CMRG	B	6,692	3.70	n/a	n/a	334.60	5.0
AO,CRT	07/12	GALT INVESTMENT (GALTFIDO)	041	CMRG	B	6,692	3.70	n/a	n/a	167.30	2.5
AO,CXL	07/12	GALT INVESTMENT (GALTGS)	041	CMRG	B	6,693	3.70	n/a	n/a	334.65	5.0
AO,CRT	07/12	GALT INVESTMENT (GALTGS)	041	CMRG	B	6,693	3.70	n/a	n/a	167.33	2.5
AO,CXL	07/12	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	084	MHR	SS	150,000	3.72	n/a	n/a	6000.00	4.0
AO,CRT	07/12	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	084	MHR	SS	150,000	3.72	n/a	n/a	4500.00	3.0
CRT	07/13	THE JAY GOLDMAN (GOLDGSBULK)	028	VC	SS	45,000	32.74	n/a	n/a	1800.00	4.0
AO,CXL	07/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		WLP	B	3,500	60.98	n/a	n/a	105.00	3.0
AO,CRT	07/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		WLP	B	3,500	60.98	n/a	n/a	140.00	4.0

TOTAL (AO, CXL, CRT) :**0.38**

TOTAL (Trade Date):

44,371.50

TOTAL (AO, CXL, CRT):

0.38

TOTAL (RUN DATE) / NFS:**44,371.88**

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