



## Daily Compliance Activity Report

Trade Date: 07/12/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GUGGENHEIM GLOBAL TRADING (GGT) 251		ACC	S	5,000	45.10		n/a	n/a	200.00 4.0
BNP PARIBAS SEC	040	ADM	S	30,000	27.30	n/a	20-Jun	1,500.00	5.0
BRONSON POINT	036	AGCO	C	25,000	42.72	n/a	11-Jul	750.00	3.0
TRELLUS PARTNERS LP	028	ALV	B	10,000	52.88	n/a	20-Jun	300.00	3.0
MACELLUM CAPITAL	086	ANN	B	21,310	25.07	n/a	n/a	639.30	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>ANN</b>	<b>SS</b>	<b>10,010</b>	<b>25.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARSENAL ASSET MANAGEMENT	028	ASH	B	9,750	67.38	n/a	24-Apr	390.00	4.0
RIDGECREST INV MGMT LLC	028	AXL	S	25,000	9.61	n/a	7-Jun	1,000.00	4.0
GALT INVESTMENT	041	CMRG	B	13,385	3.70	n/a	n/a	669.25	5.0
SCOPUS FUND	041	CROX	B	19,800	14.70	n/a	n/a	792.00	4.0
ARSENAL ASSET MANAGEMENT	028	CSL	B	35,000	53.07	n/a	n/a	1,400.00	4.0
WEINTRAUB CAPITAL MGT.	084	CVS	B	50,000	47.36	n/a	n/a	2,000.00	4.0
CAVOLEPH	085	DELL	B	200	12.00	n/a	n/a	8.00	4.0
T. ROWE PRICE	033	DG	S	26,100	54.45	n/a	27-Jun	1,044.00	4.0
CYPRESS CAP MGMT LLC	040	DRI	B	23,252	50.13	n/a	25-Jun	930.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOPLITE MGMT	025	FB	B	30,000	30.92	n/a	n/a	1,200.00	4.0
RBC CAPITAL MARKETS	040	FDO	B	5,000	67.50	n/a	12-Jul	200.00	4.0
BASIX	033	FL	B	23,000	32.27	n/a	18-May	690.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	10,000	9.20	n/a	5-Jul	300.00	3.0
PHILADELPHIA FINANCIAL	033	F	SS	136,670	9.14	n/a	5-Jul	5,466.80	4.0
LANE GATE PARTNERS LLC	030	GM	SS	8,000	19.42	n/a	5-Jul	240.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	19.33	n/a	5-Jul	300.00	3.0
OZ MGMT	040	GM	SS	75,000	19.43	n/a	5-Jul	2,250.00	3.0
NEUBERGER BERMAN	036	GRC	B	2,265	30.11	n/a	n/a	90.60	4.0
CATAPULT/KGLT	040	HFC	S	25,000	35.55	n/a	n/a	1,000.00	4.0
BRONSON POINT	036	HNZ	C	25,000	54.90	n/a	n/a	750.00	3.0
CRAMER ROSENTHAL	070	HOG	C	6,975	43.90	n/a	n/a	279.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	IP	SS	5,000	29.23		n/a 2-Jul	150.00	3.0
BALYASNY ASSET MGMT	044	JAZZ	B	5,000	44.35	n/a	n/a	250.00	5.0
SIMMONS VENTURES	041	JNY	SS	5,000	9.82	n/a	26-Apr	200.00	4.0
BRONSON POINT	036	JPM	B	100,000	34.21	n/a	2-Jul	3,000.00	3.0
PALESTRA	040	KEY	B	50,000	7.54	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACELLUM CAPITAL	086	KSS	B	11,300	47.11	n/a	6-Jul	339.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>KSS</b>	<b>B</b>	<b>10,010</b>	<b>47.11</b>	<b>n/a</b>	<b>6-Jul</b>	<b>0.00</b>	<b>0.0</b>
LONG OAR GLOBAL INV	040	LCC	B	44,333	14.03	n/a	n/a	1,773.32	4.0
SENATOR INVESTMENT GROUP	036	MAR	B	50,000	36.18	n/a	13-Jun	1,500.00	3.0
WEINTRAUB CAPITAL MGT.	084	MHR	SS	150,000	3.72	n/a	n/a	6,000.00	4.0
LATEEF MGMT	035	MRK	S	2,025	42.99	n/a	n/a	307.50	16.6
OHIO PERS	047	MTW	S	51,630	10.37	n/a	11-Jul	1,548.90	3.0
SIMMONS VENTURES	041	M	B	6,500	32.60	n/a	6-Jul	260.00	4.0
WOOSTER CAPITAL	035	M	B	50,000	32.60	n/a	6-Jul	2,500.00	5.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	1.91	n/a	n/a	800.00	4.0
STRONG/MARK GRONET	030	PPO	B	20,000	36.69	n/a	n/a	800.00	4.0
COOPER CREEK PART	028	RKT	SS	13,235	55.84	n/a	2-Jul	529.40	4.0
LIONEYE CAPITAL	040	SHAW	B	10,000	25.84	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	SNY	B	10,000	36.76	n/a	n/a	500.00	5.0
CAVOLEPH	085	SON	B	1,000	29.40	n/a	n/a	40.00	4.0
BRIGADE CAPITAL MGMT	029	SVU	B	250,000	2.96	n/a	n/a	7,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	TSN	SS	25,000	16.36	n/a	n/a	1,000.00	4.0
OHIO PERS	047	TXT	B	21,500	22.71	n/a	n/a	645.00	3.0
RBC CAPITAL MARKETS	040	UA	B	5,000	45.12	n/a	12-Jul	200.00	4.0
FRONTIER	029	WCC	B	21,220	56.30	n/a	n/a	848.80	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	WLP	B	3,500	60.98	n/a	n/a	105.00	3.0
<b>TOTAL (Trade Date):</b>								<b>57,185.95</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/11	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	ACC	B	5,000	44.24	n/a	n/a	150.00	3.0	
AO,CRT	07/11	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	ACC	B	5,000	44.24	n/a	n/a	200.00	4.0	
CRT	07/12	LISTED ERR (LISTED ERR)	099	ANN	SS	10,010	25.03	n/a	n/a	0.00	0.0
AO,CXL	07/09	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	FX	S	9,860	21.92	n/a	n/a	493.00	5.0
AO,	07/09	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	FX	S	9,860	21.92	n/a	n/a	493.00	5.0
AO,	07/11	ROXBURY CAPITAL MGMT (ROXB40517)	035	HXL	S	130	25.20	n/a	19-Jun	3.90	3.0
AO,CXL	07/11	ROXBURY CAPITAL MGMT (ROXB40450)	035	HXL	S	130	25.20	n/a	19-Jun	3.90	3.0
AO,	07/11	IRIDIAN ASSET MGMT. (IRAM30)	036	LSI	B	390	5.99	n/a	n/a	19.50	5.0
AO,CXL	07/11	IRIDIAN ASSET MGMT. (&IRAM30)	036	LSI	B	390	5.99	n/a	n/a	19.50	5.0
CRT	07/12	SIMMONS VENTURES (SIMMJPM)	041	M	B	6,500	32.60	n/a	6-Jul	260.00	4.0
AO,	07/11	IRIDIAN ASSET MGMT. (IRAM30)	036	STX	S	110	25.26	n/a	n/a	5.50	5.0
AO,CXL	07/11	IRIDIAN ASSET MGMT. (&IRAM30)	036	STX	S	110	25.26	n/a	n/a	5.50	5.0
TOTAL (AO, CXL, CRT) :										310.00	

TOTAL (Trade Date):	57,185.95
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**TOTAL (RUN DATE) / NFS:**

**57,495.95**

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