



Daily Compliance Activity Report

Trade Date: 07/11/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	ACC	B	7,500	44.24		n/a	n/a	250.00 3.5
BESSEMER INVESTMENT	085	ACE	S	1,000	70.15	n/a	n/a	40.00	4.0
CATAPULT CAP/DEFRANCO	040	AEO	S	25,415	20.32	n/a	2-Dec	1,016.60	4.0
BESSEMER INVESTMENT	085	AMLN	S	258	30.77	n/a	n/a	10.32	4.0
ROARING BLUE LION MGMT	031	ARO	S	10,700	19.42	n/a	n/a	428.00	4.0
NEWLAND CAPITAL MGT	025	ATR	B	10,000	49.16	n/a	n/a	400.00	4.0
CLOVIS CAPITAL	033	DNB	SS	20,000	69.81	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	EMC	S	57,300	23.46	n/a	n/a	1,719.00	3.0
TUDOR INVESTORS	028	FDO	B	50,000	69.79	n/a	29-Jun	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	10,000	9.29	n/a	5-Jul	300.00	3.0
OZ MGMT	040	F	C	115,991	9.32	n/a	5-Jul	3,479.73	3.0
BRONSON POINT	036	GES	C	25,000	26.74	n/a	23-May	750.00	3.0
SIMMONS VENTURES	041	GES	B	5,000	26.75	n/a	23-May	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	C	10,000	19.95	n/a	5-Jul	300.00	3.0
RBC CAPITAL MARKETS	040	HST	B	30,000	15.58	n/a	13-Jun	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROXBURY CAPITAL MGMT	035	HXL	S	50,925	25.20	n/a	19-Jun	1,527.75	3.0
CRAMER ROSENTHAL	070	H	B	75,450	36.03	n/a	13-Jun	3,018.00	4.0
BESSEMER INVESTMENT	085	IBM	S	204	187.13	n/a	n/a	8.16	4.0
BALLAST CAP	040	INGR	S	9,200	46.60	n/a	n/a	460.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	30,000	29.64	n/a	2-Jul	1,500.00	5.0
SIMMONS VENTURES	041	JNY	SS	5,000	10.20	n/a	26-Apr	200.00	4.0
CLOVIS CAPITAL	033	LKQ	SS	60,000	34.03	n/a	n/a	1,800.00	3.0
IRIDIAN ASSET MGMT.	036	LSI	B	197,600	5.99	n/a	n/a	9,880.00	5.0
RBC CAPITAL MARKETS	040	MAR	S	10,000	38.30	n/a	13-Jun	400.00	4.0
FRONTIER	029	MHR	S	178,230	3.85	n/a	n/a	3,564.60	2.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MMM	B	2,500	88.60		n/a 1-May	100.00	4.0
CAVOLEPH	085	MRVL	B	1,000	10.55	n/a	n/a	40.00	4.0
PECONIC PARTNERS	036	PG	SS	10,000	61.49	n/a	20-Jun	500.00	5.0
STANDARD PACIFIC CAPITAL	084	PH	SS	85,000	72.01	n/a	11-Jul	4,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	31,475	75.27	n/a	25-May	944.25	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			QTM	S	100,000	1.39	n/a	n/a	2,000.00	2.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	8,513	55.50	n/a	2-Jul	425.65	5.0	
CSFB GLOBAL PROPRIETARY	041	RKT	S	1,487	55.68	n/a	2-Jul	74.35	5.0	
NEWLAND CAPITAL MGT	025	RKT	S	10,000	55.35	n/a	2-Jul	400.00	4.0	
PIONEER OAKRIDGE	031	RVBD	S	52,890	13.83	n/a	n/a	1,586.70	3.0	
RIDGECREST INV MGMT LLC	028	SPY	SS	25,000	134.17	n/a	n/a	1,000.00	4.0	
IRIDIAN ASSET MGMT.	036	STX	S	92,670	25.26	n/a	n/a	4,633.50	5.0	
PROSPECTOR PARTNERS LLC	036	TDS	B	10,000	22.17	n/a	n/a	400.00	4.0	
GUGGENHEIM GLOBAL TRADING (GGT) 251		TEX	B	5,000	15.77		n/a 11-Jul	150.00	3.0	
NORTHWESTERN MUTUAL LIFE	047	TGT	B	127,200	59.74	n/a	5-Jul	5,088.00	4.0	
GUGGENHEIM GLOBAL TRADING (GGT) 251		WLP	B	1,600	61.00		n/a n/a	64.00	4.0	
ARMATURE CAPITAL	041	WY	S	100,000	22.34	n/a	4-May	4,000.00	4.0	
KAM ADVISORS LLC	041	XRT	C	102,700	59.13	n/a	n/a	3,081.00	3.0	
TUDOR INVESTORS	028	ZUMZ	SS	32,500	36.41	n/a	n/a	975.00	3.0	
TOTAL (Trade Date):								64,264.61		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	IR	B	2,500	40.47	n/a	20-Jun	75.00	3.0
AO,CRT	07/10	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251	IR	B	2,500	40.47	n/a	20-Jun	100.00	4.0

TOTAL (AO, CXL, CRT) :	25.00
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TOTAL (Trade Date) :	64,264.61
TOTAL (AO, CXL, CRT) :	25.00

TOTAL (RUN DATE) / NFS:	64,289.61
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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