



Daily Compliance Activity Report

Trade Date: 11/13/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	ARG	B	12,500	87.57	n/a	25-Oct	500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ATVI	B	5,000	10.68		n/a n/a	150.00	3.0
WOOSTER CAPITAL	035	AXL	B	10,000	9.90	n/a	2-Nov	500.00	5.0
BARROW HANLEY MEWHINNEY	031	BP	B	544,100	40.70	n/a	n/a	19,043.50	0.0
FRED ALGER MGMT	035	COF	S	78,190	57.39	n/a	13-Nov	2,814.84	0.0
CASTLEROCK	040	CSCO	B	5,000	17.11	n/a	7-Nov	200.00	0.0
BTG PACTUAL	040	DAL	B	10,000	10.42	n/a	12-Nov	300.00	3.0
COPIA CAPITAL	031	DAL	B	100,000	10.35	n/a	12-Nov	3,500.00	0.0
CASTLEROCK	040	DKS	S	10,000	50.45	n/a	13-Nov	400.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DKS	S	25,000	50.02	n/a	13-Nov	750.00	3.0
OZ MGMT	040	DKS	S	50,000	50.04	n/a	13-Nov	1,500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ETN	SS	5,000	49.62		n/a 31-Oct	200.00	4.0
OZ MGMT	040	FDO	B	25,000	66.19	n/a	4-Oct	750.00	0.0
WEXFORD CAPITAL	284	FDO	S	8,720	66.22	n/a	4-Oct	261.60	3.0
SOROS	274	GE	S	500,000	20.68	n/a	n/a	20,000.00	0.0
KLEINHEINZ CAP PART	031	GM	B	10,000	25.15	n/a	2-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
ROSEDALE CAPITAL	046	GM	B	10,000	24.97	n/a	2-Nov	500.00	5.0	
TRELLUS PARTNERS LP	028	GM	B	19,000	24.88	n/a	2-Nov	570.00	0.0	
KLEINHEINZ CAP PART	031	HAIN	B	40,000	60.91	n/a	n/a	2,000.00	5.0	
MACELLUM CAPITAL	086	HOTT	B	39,530	8.47	n/a	n/a	1,185.90	3.0	
ARMATURE CAPITAL	041	IP	B	20,000	34.48	n/a	25-Oct	800.00	0.0	
CAERUS GLOBAL	041	MGM	B	38,000	9.49	n/a	13-Jun	1,520.00	4.0	
MACELLUM CAPITAL	086	MNRO	S	20,920	32.43	n/a	n/a	627.60	3.0	
FRED ALGER MGMT	035	MRC	B	23,100	23.90	n/a	n/a	831.60	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	MRGE	B	5,000	3.03		n/a	n/a	100.00	2.0
TRUSTCO/SUNTRUST (CEREDEX)	273	MSFT	B	106,550	26.89		n/a	n/a	3,409.60	0.0
JET CAPITAL/CHRIS	041	NRG	B	125,000	19.98	n/a	n/a	3,750.00	0.0	
HOLLIS CAPITAL	033	PANL	SS	3,000	23.73	n/a	n/a	150.00	5.0	
COOKBIELER	028	RSG	S	70,645	26.79	n/a	n/a	2,825.80	0.0	
COOKBIELER	028	STC	S	17,350	24.62	n/a	n/a	694.00	0.0	
SAC TRADING TOM LEDDY	035	TJX	SS	20,000	41.75	n/a	5-Nov	700.00	3.5	
KLEINHEINZ CAP PART	031	UA	B	40,000	51.32	n/a	26-Oct	2,000.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOPLITE MGMT	025	VALE	SS	50,000	17.75	n/a	n/a	1,000.00	0.0
CASTLEROCK	040	WFT	B	35,913	9.25	n/a	n/a	1,436.52	4.0
OZ MGMT	040	WMT	B	115,022	72.09	n/a	12-Nov	3,450.66	0.0
OZ MGMT	040	WMT	SS	68,777	71.56	n/a	12-Nov	2,063.31	0.0
OSKIE CAPITAL MGMT	224	XHB	SS	60,000	25.40	n/a	n/a	3,000.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	XME	B	10,000	43.24		n/a	n/a	400.00 4.0
TOTAL (Trade Date):								84,384.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		MRGE	B	2,500	3.05	n/a	n/a	75.00 3.0
AO,CRT	11/12	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		MRGE	B	2,500	3.05	n/a	n/a	50.00 2.0
AO,	11/01	COLUMBUS CIRCLE (COLC4900)	036	NWL	B	6,200	21.16	n/a	n/a	4.00 0.0
CRT	11/13	OSKIE CAPITAL MGMT (OSKIGSPB)	224	XHB	SS	60,000	25.40	n/a	n/a	3000.00 5.0

TOTAL (AO, CXL, CRT) :	2,979.00
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TOTAL (Trade Date) :	84,384.93
TOTAL (AO, CXL, CRT) :	2,979.00

TOTAL (RUN DATE) / NFS:	87,363.93
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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