



Daily Compliance Activity Report

Trade Date: 07/03/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BBY	S	50,000	28.98	n/a	n/a	non-brg	4.0
f ALANA J A MADIGAN-SI	FID	BUD	B	50	86.18	n/a	17-Jun	0.00	0.0
f KATHERINE L O'GORMAN	FID	COSI	B	5000	2.12	n/a	n/a	0.00	0.0
ACK ASSET	028	CSX	SS	50,000	22.98	n/a	n/a	1,500.00	0.0
f EDWARD W WHEELER	FID	CWEI	S	5000	44.60	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	DAL	S	231,972	18.51	n/a	18-Jun	6,959.16	0.0
GOLD SACHS SPECIAL SIT	030	EBF	S	25,000	17.92	n/a	n/a	1,250.00	0.0
SANDLER CAPITAL	028	ESRX	S	100,000	62.08	n/a	n/a	4,000.00	0.0
KENNEDY CAPITAL	046	FINL	B	45,128	21.39	n/a	19-Jun	1,805.12	0.0
OZ MGMT	040	F	C	177,833	16.41	n/a	19-Jun	5,334.99	0.0
TRELLUS PARTNERS LP	028	F	SS	15,000	16.29	n/a	19-Jun	450.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	GM	S	15,000	33.99		n/a 19-Jun	450.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	34.36	n/a	19-Jun	300.00	0.0
TROUBH PART	070	GM	B	25,000	34.25	n/a	19-Jun	1,250.00	0.0
SIGMA CAP BOBBY	044	GTI	SS	75,000	7.01	n/a	n/a	2,250.00	0.0
B BUCK CAPITAL MGMT		HCA	B	14,000	35.44	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT	HDS	B	50,000	19.48	n/a	n/a	non-brg	4.0
	GUGGENHEIM GLOBAL TRADING	(GGT)251 HES	B	7,500	67.24		n/a	n/a	225.00 0.0
B	BUCK CAPITAL MGMT	KORS	S	30,000	61.94	n/a	30-May	non-brg	4.0
	CSFB GLOBAL PROPRIETARY	041 LPX	B	15,000	15.08	n/a	19-Jun	750.00	0.0
B	BUCK CAPITAL MGMT	NAV	B	18,000	27.09	n/a	11-Jul	non-brg	4.0
	GUGGENHEIM GLOBAL TRADING	(GGT)251 NE	B	5,000	37.47		n/a	n/a	150.00 0.0
	GUGGENHEIM GLOBAL TRADING	(GGT)251 OIH	SS	4,000	43.47		n/a	n/a	120.00 0.0
	GUGGENHEIM GLOBAL TRADING	(GGT)251 OXY	B	5,000	89.58		n/a	n/a	150.00 0.0
	CSFB GLOBAL PROPRIETARY	041 PCH	B	10,000	40.42	n/a	19-Jun	500.00	0.0
	SIGMA CAP BOBBY	044 PX	SS	25,650	114.36	n/a	n/a	769.50	0.0
B	BUCK CAPITAL MGMT	SCSS	B	12,500	25.17	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT	SCSS	B	37,500	25.23	n/a	n/a	non-brg	4.0
	GOLD SACHS SPECIAL SIT	030 SRI	S	25,000	12.14	n/a	n/a	1,250.00	0.0
	SENATOR INVESTMENT GROUP	036 STZ	B	30,900	50.42	n/a	17-Jun	927.00	0.0
f	YANAI A FRANK	FID	SWKS	460	21.87	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT	TSCO	S	25,000	116.05	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	025	WWAV	B	4,550	16.86	n/a	n/a	227.50	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	10,000	28.47	n/a	19-Jun	500.00	0.0
J. GOLDMAN	028	WY	B	42,000	28.30	n/a	19-Jun	1,680.00	0.0
f MARK ANTHONY GRONET	FID	WY	B	1000	28.24	n/a	19-Jun	0.00	0.0
CYPRESS CAP MGMT LLC	040	XLE	B	25,000	78.69	n/a	n/a	1,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		XLE		SS 12,000	79.00		n/a n/a	360.00	0.0
WINSLOW CAPITAL	030	YUM	B	70,000	71.12	n/a	17-Jun	2,100.00	0.0
TOTAL (Trade Date):								36,258.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/28	ROSEDALE CAPITAL	046	AXL	S	5,000	19.11	n/a	19-Jun	200.00 4.0
AO,CXL	06/28	ROSEDALE CAPITAL	046	AXL	S	5,000	19.11	n/a	19-Jun	250.00 0.0
AO,CRT	07/02	ROSEDALE CAPITAL	046	AXL	S	5,000	19.51	n/a	19-Jun	200.00 4.0
AO,CXL	07/02	ROSEDALE CAPITAL	046	AXL	S	5,000	19.51	n/a	19-Jun	250.00 0.0
AO,CXL	07/01	BASSWOOD PARTNERS	267	BK	B	39,000	28.93	n/a	6-Jun	1170.00 0.0
AO,CRT	07/01	BASSWOOD PARTNERS	267	BK	B	39,000	28.93	n/a	6-Jun	1560.00 0.0
AO,CRT	07/02	NEWLAND CAPITAL MGT	025	CVO	S	50,000	2.06	n/a	n/a	1000.00 0.0
AO,CXL	07/02	NEWLAND CAPITAL MGT	025	CVO	S	50,000	2.06	n/a	n/a	1500.00 0.0
TOTAL (AO, CXL, CRT) :										-210.00

TOTAL (Trade Date):	36,258.27
TOTAL (AO, CXL, CRT):	-210.00

TOTAL (RUN DATE) / NFS:	36,048.27
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 3-Jul.
NONE

MRI Securities without Trade Activity on 3-Jul.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)