



## Daily Compliance Activity Report

Trade Date: 07/03/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	CSX	SS	50,000	22.98	n/a	n/a	1,500.00	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
GUGGENHEIM GLOBAL TRADING (GGT) 251		HES	B	7,500	67.24		n/a n/a	225.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	15,000	15.08	n/a	19-Jun	750.00	0.0
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

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
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
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
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
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
<b>TOTAL (Trade Date) :</b>								<b>36,258.27</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/28	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	5,000	19.11	n/a	19-Jun	250.00 0.0
AO,CRT	06/28	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	5,000	19.11	n/a	19-Jun	200.00 4.0
AO,CXL	07/02	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	5,000	19.51	n/a	19-Jun	250.00 0.0
AO,CRT	07/02	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	5,000	19.51	n/a	19-Jun	200.00 4.0
AO,	07/01	BASSWOOD PARTNERS (BASWGS)	267	BK	B	39,000	28.93	n/a	6-Jun	1560.00 0.0
AO,CXL	07/01	BASSWOOD PARTNERS (BASWBFFIAN)	267	BK	B	39,000	28.93	n/a	6-Jun	1170.00 0.0
AO,CXL	07/02	NEWLAND CAPITAL MGT (NEWLGS)	025	CVO	S	50,000	2.06	n/a	n/a	1500.00 0.0
AO,	07/02	NEWLAND CAPITAL MGT (NEWLGS)	025	CVO	S	50,000	2.06	n/a	n/a	1000.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-210.00</b>
TOTAL (Trade Date) :										36,258.27
TOTAL (AO, CXL, CRT) :										-210.00
<b>TOTAL (RUN DATE) / NFS :</b>										<b>36,048.27</b>

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