



Daily Compliance Activity Report

Trade Date: 09/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GUGGENHEIM GLOBAL TRADING (GGT) 251		ADT	S	25,000	42.28		n/a	n/a	750.00 0.0
TUDOR INVESTORS	028	ANR	B	5,000	6.29	n/a	n/a	150.00	0.0
S.A.C. CAPITAL	044	ARO	SS	20,000	9.58	n/a	n/a	600.00	0.0
SANDLER O'NEILL ASSET	031	AXP	S	10,200	76.40	n/a	19-Jun	510.00	0.0
LAGRANGE CAP ADV	087	BBRY	B	40,000	7.95	n/a	n/a	2,000.00	0.0
TUDOR INVESTORS	028	DAN	SS	10,000	22.99	n/a	19-Jun	300.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		ELN	S	200,000	15.55		n/a	n/a	6,000.00 0.0
NOMURA/ANGEL LANE PRINCIPAL040		EMN	B	10,000	77.97	n/a	n/a	300.00	0.0
ACK ASSET	028	FLOW	S	150,000	3.98	n/a	n/a	3,000.00	0.0
CAERUS GLOBAL	041	F	SS	44,472	17.19	n/a	19-Jun	1,778.88	0.0
OZ MGMT	040	F	C	74,749	17.25	n/a	19-Jun	2,242.47	0.0
PHILADELPHIA FINANCIAL	033	F	SS	100,000	17.17	n/a	19-Jun	4,000.00	0.0
WAGONHOUND/NICOLAS	033	F	SS	12,450	17.23	n/a	19-Jun	498.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		GE	SS	40,000	24.07	n/a	n/a	1,200.00	0.0
Õ Jack Chernus		GM	S	15	0.8500	n/a	19-Jun	0.00	0.0
ROSEDALE CAPITAL	046	GM	B	20,000	37.00	n/a	19-Jun	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	HCOM	S	1,209	27.00	n/a	n/a	36.27	0.0
FRED ALGER MGMT	300	HD	B	90	75.72	n/a	n/a	3.24	0.0
CAERUS GLOBAL	041	HTZ	B	2,800	21.55	n/a	n/a	112.00	0.0
ROVER CAPITAL PARTNERS	040	HTZ	S	5,000	21.61	n/a	n/a	200.00	0.0
SANDLER CAPITAL	028	H	S	209,000	44.03	n/a	13-Jun	10,450.00	0.0
MOORE CAPITAL	257	IP	S	50,000	47.15	n/a	17-Jun	1,500.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			JLL	B	4,408	87.92	n/a	n/a	132.24 0.0
MACELLUM CAPITAL	086	KSS	SS	80,000	52.09	n/a	18-Jun	2,400.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	36.70	n/a	6-May	500.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	15,000	17.23	n/a	19-Jun	750.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		LVNTA	B	3,793	88.04		n/a n/a	113.79	0.0
ROVER CAPITAL PARTNERS	040	MGM	SS	5,000	20.25	n/a	13-Jun	200.00	0.0
TUDOR INVESTORS	028	MTW	SS	10,000	19.50	n/a	11-Jul	300.00	0.0
SCOPUS FUND	041	MWV	S	20,000	38.60	n/a	18-Jun	800.00	0.0
SANDLER O'NEILL ASSET	031	NTRS	SS	9,931	55.31	n/a	6-Jun	496.55	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		NUAN	B	121,443	19.05		n/a n/a	3,643.29	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.			
GUGGENHEIM GLOBAL TRADING (GGT) 251		NWSA	B	40,000	16.35		n/a	n/a	1,200.00	0.0	
SCOPUS FUND	041	PCL	B	13,592	46.93	n/a	19-Jun		543.68	0.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			PRIM	B	13,626	25.60		n/a	n/a	408.78	0.0
ASCEND PARTNERS	033	PVH	S	50,000	119.93	n/a	14-Jun		1,500.00	0.0	
KEY ASSET MGMT/VICTORY	220	PVH	B	84,920	119.88	n/a	14-Jun		3,396.80	0.0	
CORVEX CAPITAL	041	SBGI	S	100,000	33.90	n/a	n/a		3,000.00	0.0	
FIRST NEW YORK	086	SNV	B	20,000	3.28	n/a	n/a		800.00	0.0	
KOLVEN CAPITAL	025	SPDC	B	5,000	3.24	n/a	n/a		150.00	0.0	
CRAMER ROSENTHAL	070	STI	B	142,125	32.66	n/a	n/a		5,685.00	0.0	
BRONSON POINT	036	S	SS	200,000	6.22	n/a	n/a		6,000.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT) 251		TLM	B	100,000	11.38		n/a	n/a	3,000.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT) 251		TRIP	SS	4,000	75.47		n/a	n/a	120.00	0.0	
PAR CAPITAL	029	TRIP	S	20,000	75.07	n/a	n/a		800.00	0.0	
TUDOR INVESTORS	028	TRW	S	5,000	71.76	n/a	n/a		150.00	0.0	
WAGONHOUND/NICOLAS	033	TRW	S	8,107	71.94	n/a	n/a		324.28	0.0	
OSTERWEIS CAPITAL	084	VIAB	S	36,640	83.50	n/a	n/a		1,832.00	0.0	
STANDARD PACIFIC CAPITAL	084	VMC	B	18,000	51.97	n/a	n/a		900.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	VVC	S	25,269	33.46	n/a	n/a	758.07	0.0
1798 CAP/LOMBARD ASSET	040	WCIC	B	5,000	17.10	n/a	n/a	250.00	0.0
INTERVAL PARTNERS	033	WEN	SS	25,000	8.46	n/a	20-May	750.00	0.0
PRIMECAP MGMT	084	WFC	B	5,874	41.46	n/a	6-Jun	234.96	0.0
1798 CAP/LOMBARD ASSET	040	WLH	B	5,000	20.95	n/a	n/a	250.00	0.0
NORTHWESTERN MUTUAL LIFE	047	WLL	S	16,700	59.75	n/a	n/a	668.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	51,200	11.62	n/a	n/a	1,536.00	0.0
TUDOR INVESTORS	028	WR	B	5,000	30.89	n/a	n/a	150.00	0.0
STANDARD PACIFIC CAPITAL	084	WSM	SS	45,000	55.66	n/a	n/a	2,250.00	0.0
TUDOR INVESTORS	028	XLU	SS	15,000	37.67	n/a	n/a	450.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	B	40,000	32.75		n/a n/a	1,200.00	0.0
CASTLEROCK	040	YUM	SS	5,658	72.26	n/a	17-Jun	226.32	0.0
TOTAL (Trade Date) :								84,300.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/25	HARVEST MGMT (JMP) (HARVGSCO)	029	M	B	10,000	42.96	n/a	18-Jun	500.00 0.0
AO,CRT	09/25	HARVEST MGMT (JMP) (HARVGSCO)	029	M	B	10,000	42.96	n/a	18-Jun	400.00 4.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (Trade Date) :	84,300.62
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS:	84,200.62
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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