



Daily Compliance Activity Report

Trade Date: 08/27/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	ADT	B	5,000	40.82		n/a	n/a	150.00 0.0
PRIMECAP MGMT	084	AFFX	B	5,000	5.59	n/a	n/a	150.00	0.0
PATTEN & PATTEN	025	AIG	B	200	46.52	n/a	n/a	10.00	0.0
ADAGE CAPITAL MGMT	030	AVP	B	125,000	19.84	n/a	17-Jun	3,750.00	0.0
SUFFOLK CAPITAL MGMT	040	AVP	B	169,100	19.85	n/a	17-Jun	6,764.00	0.0
FARALLON CAP MGMT	040	AXLL	B	25,000	41.00	n/a	n/a	1,000.00	0.0
SANDLER O'NEILL ASSET	031	AXP	B	25,000	72.69	n/a	19-Jun	1,250.00	0.0
BASSWOOD PARTNERS	267	BAC	S	86,419	14.29	n/a	17-Jun	3,456.76	0.0
J. GOLDMAN	028	BEAV	B	32,000	68.20	n/a	11-Jun	1,280.00	0.0
FINDLAY PARK PART	085	BK	B	156,000	29.81	n/a	6-Jun	6,976.04	0.0
BERYLSON CAPITAL	030	BONT	B	63,184	11.57	n/a	18-Jun	1,895.52	0.0
LAGRANGE CAP ADV	087	BONT	B	40,000	11.50	n/a	18-Jun	2,000.00	0.0
PATTEN & PATTEN	025	BTO	B	450	22.53	n/a	n/a	22.50	0.0
CORTEX CAPITAL	031	CERN	SS	6,000	46.75	n/a	n/a	180.00	0.0
SUFFOLK CAPITAL MGMT	040	CMCSA	S	1,000	41.88	n/a	n/a	40.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EDGEWOOD	085	CMG	S	14,919	403.22	n/a	3-Jun	745.95	0.0
SCOPIA CAPITAL	025	COLE	B	250,000	11.11	n/a	n/a	10,000.00	0.0
STRONG/MARK GRONET	030	CYN	S	10,000	66.09	n/a	n/a	400.00	0.0
STRONG/MARK GRONET	030	DAL	S	15,000	19.09	n/a	18-Jun	600.00	0.0
AMICI CAPITAL N/C FROM PORTER-ORLIN044			DB	B	75,000	43.72	n/a	n/a	3,000.00 0.0
STRONG/MARK GRONET	030	DENN	S	10,000	5.48	n/a	n/a	300.00	0.0
KLEINHEINZ CAP PART	031	DE	SS	100,000	83.66	n/a	11-Jul	5,000.00	0.0
WOODWAY FINANCIAL	031	DFS	B	39,495	47.23	n/a	19-Jun	1,974.75	0.0
EGS ASSOCIATES LP	091	FL	SS	4,000	32.60	n/a	19-Jun	200.00	0.0
BRIGADE CAPITAL MGMT	029	FST	S	71,000	5.70	n/a	n/a	2,130.00	0.0
PATTEN & PATTEN	025	GE	B	200	23.26	n/a	n/a	10.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		GM	S	150,000	33.82	n/a	19-Jun	4,500.00	0.0
ROSEDALE CAPITAL	046	GM	B	10,000	33.78	n/a	19-Jun	400.00	0.0
SENATOR INVESTMENT GROUP	287	GRA	B	15,000	80.38	n/a	n/a	450.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		HOLX	B	15,000	22.07		n/a n/a	450.00	0.0
HOLLIS CAPITAL	033	LCC	S	5,000	15.53	n/a	18-Jun	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
BALYASNY ASSET MGMT	044	MAS	S	100,000	18.71	n/a	n/a	5,000.00	0.0	
SUFFOLK CAPITAL MGMT	040	MSFT	S	76,300	33.70	n/a	n/a	3,052.00	0.0	
CASTLEROCK	040	MWV	B	22,404	36.14	n/a	18-Jun	896.16	0.0	
SIMMONS VENTURES	041	M	B	1,000	43.57	n/a	18-Jun	50.00	0.0	
PATTEN & PATTEN	025	PFE	B	200	28.00	n/a	n/a	10.00	0.0	
MERRILL ASSET/BLACKROCK	085	PNFP	S	5,615	28.36	n/a	n/a	224.60	0.0	
CAMBIAR CAP	046	RDEN	B	142,790	34.96	n/a	17-Jun	5,711.60	0.0	
CRAMER ROSENTHAL	070	RDEN	S	94,225	35.05	n/a	17-Jun	3,769.00	0.0	
CYRUS CAPITAL	025	RIO	SS	10,000	46.65	n/a	n/a	300.00	0.0	
LAKEWOOD CAPITAL MGMT	085	RVLT	C	20,000	3.17	n/a	n/a	600.00	0.0	
ESSENCIAL CAPITAL	031	SDS	S	5,000	38.50	n/a	n/a	150.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	SHW	B	3,000	168.25		n/a	n/a	90.00	0.0
FARALLON CAP MGMT	040	SPY	SS	18,300	164.12	n/a	n/a	732.00	0.0	
ARDSLEY PARTNERS	280	SRE	B	5,000	83.76	n/a	n/a	250.00	0.0	
SIMMONS VENTURES	041	SSI	B	2,500	19.21	n/a	18-Jun	125.00	0.0	
SANDLER O'NEILL ASSET	031	STT	B	20,000	67.70	n/a	17-Jun	1,000.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KEY ASSET MGMT/VICTORY	220	STZ	B	10,550	55.36	n/a	17-Jun	422.00	0.0
ROVER CAPITAL PARTNERS	040	STZ	SS	5,000	55.38	n/a	17-Jun	200.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	SUSS	B	1,599	47.25		n/a	n/a	47.97 0.0
PATTEN & PATTEN	025	TEVA	S	300	38.50	n/a	17-Jun	15.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	THI	B	4,500	55.15		n/a	n/a	135.00 0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	TIBX	B	20,600	22.53		n/a	n/a	618.00 0.0
NEUBERGER BERMAN	036	TXRH	B	25,965	24.98	n/a	n/a	1,038.60	0.0
BALYASNY ASSET MGMT	044	TXT	B	50,000	26.95	n/a	n/a	2,500.00	0.0
ARDSLEY PARTNERS	280	URI	B	5,000	53.86	n/a	17-Apr	250.00	0.0
MERRILL ASSET/BLACKROCK	085	V	B	1,818	174.15	n/a	11-Jun	72.72	0.0
SIGMA CAP BOBBY	044	WEN	SS	200,000	7.81	n/a	20-May	6,000.00	0.0
SANDLER O'NEILL ASSET	031	WFC	B	8,500	41.35	n/a	6-Jun	425.00	0.0
NEWLAND CAPITAL MGT	025	WG	S	10,000	9.32	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	WIN	S	206	8.12	n/a	n/a	10.30	0.0
CASTLEROCK	040	WY	B	29,545	27.46	n/a	19-Jun	1,181.80	0.0

TOTAL (Trade Date):

94,512.27

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		BRE	B	14,100	49.72	n/a	n/a	423.00 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		BRE	B	5,000	49.72	n/a	n/a	423.00 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		BRE	B	4,100	49.72	n/a	n/a	123.00 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		BRE	B	5,000	49.72	n/a	n/a	150.00 0.0
AO,CXL	08/26	SCOGGIN LLC (SCOGJPM)	041	ONXX	S	23,000	123.58	n/a	n/a	1150.00 0.0
AO,CRT	08/26	SCOGGIN LLC (SCOGJPM)	041	ONXX	S	23,000	123.58	n/a	n/a	690.00 3.0
AO,CXL	08/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		SUSS	B	8,169	47.48	n/a	n/a	245.07 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		SUSS	B	3,169	47.48	n/a	n/a	245.07 0.0
AO,	08/26	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)251		SUSS	B	5,000	47.48	n/a	n/a	150.00 0.0
AO,CXL	08/26	LATEEF MGMT (LATE52822)	033	T	B	500	33.92	n/a	n/a	50.00 0.0
AO,CRT	08/26	LATEEF MGMT (LATE50021)	033	T	B	500	33.92	n/a	n/a	50.00 0.0

TOTAL (AO, CXL, CRT) :**-37.00**

TOTAL (Trade Date):

94,512.27

TOTAL (AO, CXL, CRT):

-37.00

TOTAL (RUN DATE) / NFS:**94,475.27**

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