



Daily Compliance Activity Report

Trade Date: 07/06/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	100	603.97	n/a	n/a	3.00	3.0
TRELLUS PARTNERS LP	028	ALV	B	13,300	54.89	n/a	20-Jun	399.00	3.0
DSM CAPITAL PARTNERS	085	ARUN	S	10,975	14.31	n/a	n/a	548.75	5.0
ROSEDALE CAPITAL	046	ATI	B	30,000	31.84	n/a	6-Jun	1,500.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		BA	B	1,000	73.34		n/a 3-Jul	40.00	4.0
OHIO PERS	047	CIEN	S	161,121	15.61	n/a	n/a	4,833.63	3.0
TALKOT CAPITAL LLC	084	DFS	B	5,000	35.25	n/a	6-Jul	200.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		DO	B	2,500	58.80		n/a n/a	100.00	4.0
NORTHWESTERN MUTUAL LIFE	047	ESRX	S	199,284	54.03	n/a	n/a	7,971.36	4.0
LEVIN CAPITAL STRATEGIES	041	F	SS	15,000	9.49	n/a	5-Jul	450.00	3.0
NORTHWESTERN MUTUAL LIFE	047	GILD	B	101,300	51.05	n/a	n/a	4,052.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	20.41	n/a	5-Jul	300.00	3.0
NEUBERGER BERMAN	036	GRC	B	200	30.65	n/a	n/a	8.00	4.0
NEWLAND CAPITAL MGT	025	IFF	SS	25,000	54.03	n/a	8-May	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	KRO	B	8,550	15.78	n/a	n/a	427.50	5.0
EMPYREAN CAPITAL	084	NAV	S	150,000	24.25	n/a	13-Jun	4,500.00	3.0
LATEEF MGMT	035	NKE	B	300	91.01	n/a	29-Jun	48.00	16.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NSC	B	2,500	71.89		n/a	n/a	100.00 4.0
DSM CAPITAL PARTNERS	085	RDWR	S	3,100	36.91	n/a	n/a	155.00	5.0
COBALT	041	SWN	SS	100,000	31.82	n/a	2-Jul	4,000.00	4.0
CAERUS GLOBAL	041	TGT	SS	25,000	58.01	n/a	5-Jul	1,000.00	4.0
FRIESS MGMT	033	VFC	S	98,250	133.95	n/a	27-Apr	3,930.00	4.0
WEINTRAUB CAPITAL MGT.	084	YUM	SS	75,000	64.42	n/a	20-Apr	3,000.00	4.0
TOTAL (Trade Date) :								38,566.24	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/05	SPARTAN (SPATQJPM)	093	AXL	S	20,000	10.72	n/a	7-Jun	600.00 3.0
AO,CRT	07/05	SPARTAN (SPATGSCO)	093	AXL	S	20,000	10.72	n/a	7-Jun	600.00 3.0
AO,	07/05	FRIESS MGMT (FRISCATH)	033	VFC	S	200	133.17	n/a	27-Apr	8.00 4.0
AO,CXL	07/05	FRIESS MGMT (&FRISCATH)	033	VFC	S	200	133.17	n/a	27-Apr	8.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	38,566.24
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	38,566.24
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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