



Daily Compliance Activity Report

Trade Date: 07/10/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	35.02	n/a	n/a	400.00	0.0
LATEEF MGMT	033	BA	S	250	104.97	n/a	11-Jun	50.00	0.0
LATEEF MGMT	033	BP	B	1,250	42.09	n/a	n/a	125.00	0.0
LATEEF MGMT	033	CBLPRD	B	600	25.25	n/a	n/a	60.00	0.0
PATTEN & PATTEN	025	CL	B	450	58.73	n/a	17-Jun	22.50	0.0
WADDELL AND REED	047	COG	S	51,294	71.99	n/a	13-Jun	2,051.76	0.0
PARKWEST	084	CXW	SS	2,400	33.28	n/a	n/a	96.00	0.0
LATEEF MGMT	033	DE	B	625	82.76	n/a	11-Jul	62.50	0.0
SANDLER O'NEILL ASSET	031	DFS	S	15,000	50.00	n/a	19-Jun	750.00	0.0
CASTLEROCK	040	DLTR	B	7,947	53.97	n/a	4-Jun	317.88	0.0
LATEEF MGMT	033	DVN	B	500	55.36	n/a	13-Jun	50.00	0.0
PARKWEST	084	ELLI	SS	50,000	24.06	n/a	n/a	2,000.00	0.0
LATEEF MGMT	033	ENR	S	400	102.89	n/a	17-Jun	40.00	0.0
SCOPUS FUND	041	FAST	SS	20,000	45.91	n/a	n/a	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TYVOR CAPITAL LLC	031	FDO	SS	20,000	66.15	n/a	4-Jun	500.00	0.0
HAWKEYE CAPITAL	087	FINL	S	30,700	22.30	n/a	19-Jun	921.00	0.0
KENNEDY CAPITAL	046	FINL	B	93,660	22.27	n/a	19-Jun	3,746.40	0.0
SURVEYOR CAPITAL	251	FINL	B	35,000	22.23	n/a	19-Jun	1,400.00	0.0
TUDOR INVESTORS	028	F	B	25,000	16.72	n/a	19-Jun	750.00	0.0
CAERUS GLOBAL	041	GM	S	26,400	35.08	n/a	19-Jun	1,056.00	0.0
LOCUST WOOD CAPITAL MGMT	044	GM	B	25,000	35.27	n/a	19-Jun	1,000.00	0.0
OSKIE CAPITAL MGMT	224	GM	S	15,000	35.11	n/a	19-Jun	750.00	0.0
ROSEDALE CAPITAL	046	GM	S	15,000	35.23	n/a	19-Jun	750.00	0.0
TUDOR INVESTORS	028	GM	S	15,000	35.14	n/a	19-Jun	450.00	0.0
STRONG/MARK GRONET	030	HTS	B	25,800	23.12	n/a	n/a	1,032.00	0.0
PATTEN & PATTEN	025	IBM	S	50	192.39	n/a	n/a	2.50	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			IMAX	B	50,544	25.04	n/a	n/a	1,516.32 0.0
PATTEN & PATTEN	025	INTC	B	800	23.00	n/a	n/a	40.00	0.0
PATTEN & PATTEN	025	IYG	B	140	73.60	n/a	n/a	7.00	0.0
SANDLER O'NEILL ASSET	031	JPM	S	25,000	54.80	n/a	17-Jun	1,250.00	0.0
STRONG/MARK GRONET	030	LCC	B	15,000	17.40	n/a	18-Jun	600.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		LIFE	B	5,000	74.40		n/a n/a	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
HERRING CREEK CAPITAL MGMT LLC040		LL	C	10,000	83.69		n/a	n/a	300.00	0.0
ADAGE CAPITAL MGMT	030	LTD	SS	100,000	50.37		n/a	n/a	3,000.00	0.0
CR INTRINIC INVESTMENT	044	LULU	B	10,000	65.95		n/a	19-Jun	300.00	0.0
OSKIE CAPITAL MGMT	224	MCO	B	20,000	60.48		n/a	n/a	1,000.00	0.0
HALCYON LLC	041	NCT	B	150,000	5.44		n/a	n/a	3,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		NWSA	B	12,500	15.52		n/a	n/a	375.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		OUTR	S	17,700	61.98		n/a	n/a	531.00	0.0
IONIC CAPITAL MANAGEMENT	041	RAX	B	105,000	39.26		n/a	n/a	3,150.00	0.0
WINSLOW CAPITAL	030	RL	B	55,000	179.24		n/a	24-May	1,650.00	0.0
STRONG/MARK GRONET	030	RWT	B	10,000	16.52		n/a	n/a	400.00	0.0
OSKIE CAPITAL MGMT	224	SCO	B	8,000	30.44		n/a	n/a	400.00	0.0
DENVER INST. ADV	046	SSI	B	50,000	24.53		n/a	18-Jun	2,000.00	0.0
PEREGRINE	030	SSI	B	100,000	24.48		n/a	18-Jun	4,000.00	0.0
LATEEF MGMT	033	SWY	B	400	24.65		n/a	n/a	40.00	0.0
ARDSLEY PARTNERS	280	TEN	B	5,000	48.90		n/a	n/a	250.00	0.0
STELLIAM INV ADV	086	TEVA	B	10,000	38.76		n/a	17-Jun	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. CAPITAL	044	TGT	SS	20,000	71.95	n/a	23-May	600.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	THI	B	5,000	55.74		n/a n/a	150.00	0.0
BRIGADE CAPITAL MGMT	029	TWO	S	100,000	9.86	n/a	n/a	3,000.00	0.0
LATEEF MGMT	033	UAL	S	750	31.23	n/a	18-Jun	75.00	0.0
PATTEN & PATTEN	025	VNQ	B	235	69.50	n/a	n/a	11.25	0.0
TYVOR CAPITAL LLC	031	WAG	S	15,000	47.15	n/a	n/a	375.00	0.0
A. R. SCHMEIDLER & CO.	031	WOOF	B	18,000	27.65	n/a	n/a	1,010.00	0.0
OSKIE CAPITAL MGMT	224	WY	B	35,000	28.68	n/a	19-Jun	1,750.00	0.0
Ö Jack Chernus		YNDX	B	500	29.5000	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	ZTS	B	50,000	30.78	n/a	n/a	2,500.00	0.0
TOTAL (Trade Date) :								53,014.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									53,014.11
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									53,014.11
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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