



## Daily Compliance Activity Report

Trade Date: 07/09/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	115	608.48	n/a	n/a	3.45	3.0
DEVENNY CAP LLC/MILLENIU	044	ADM	B	8,209	27.46	n/a	20-Jun	246.27	3.0
WEINTRAUB CAPITAL MGT.	084	AMGN	B	75,000	74.69	n/a	n/a	3,000.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BA	B	6,000	74.06		n/a 3-Jul	240.00	4.0
<b>SPARTAN</b>	<b>093</b>	<b>BWA</b>	<b>SS</b>	<b>7,000</b>	<b>64.23</b>	<b>n/a</b>	<b>27-Apr</b>	<b>210.00</b>	<b>3.0</b>
GUGGENHEIM GLOBAL TRADING (GGT)	251	CAT	SS	1,000	83.15		n/a 13-Jun	40.00	4.0
SANDLER CAPITAL	028	CCI	B	100,000	59.63	n/a	n/a	5,000.00	5.0
BRONSON POINT	036	COH	C	10,000	57.96	n/a	9-May	300.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CSX	B	2,300	22.38		n/a n/a	69.00	3.0
MERRILL ASSET/BLACKROCK	297	DFT	B	42,758	28.47	n/a	n/a	1,710.32	4.0
CAPITAL GROWTH MGMT.	241	DG	B	50,000	54.76	n/a	27-Jun	2,500.00	5.0
CAPITAL GROWTH MGMT.	241	DISCA	S	40,000	51.96	n/a	n/a	2,000.00	5.0
CAPITAL GROWTH MGMT.	241	DLR	S	40,000	77.01	n/a	n/a	2,000.00	5.0
PIONEER OAKRIDGE	031	DLTR	B	1,050	53.59	n/a	3-Jul	31.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
MERRILL ASSET/BLACKROCK	297	FRT	B	7,600	106.19	n/a	n/a	304.00	4.0	
DSM CAPITAL PARTNERS	085	FX	S	35,880	21.92	n/a	n/a	1,794.00	5.0	
BRONSON POINT	036	GES	C	25,000	28.62	n/a	23-May	750.00	3.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	GE	B	30,000	20.02		n/a	n/a	900.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	GM	B	25,000	20.21		n/a	5-Jul	750.00	3.0
WEINTRAUB CAPITAL MGT.	084	GPS	B	50,000	27.96	n/a	n/a	2,000.00	4.0	
CATAPULT/KGLT	040	HES	SS	25,000	43.02	n/a	n/a	1,000.00	4.0	
BRONSON POINT	036	INGR	B	25,000	47.06	n/a	n/a	750.00	3.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	IR	B	15,000	42.55		n/a	20-Jun	600.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	JBHT	B	5,000	59.69		n/a	n/a	200.00	4.0
WOOSTER CAPITAL	035	LEA	B	25,000	36.77	n/a	4-May	1,250.00	5.0	
THIRD COAST CAPITAL	035	LOW	SS	10,000	27.34	n/a	22-May	500.00	5.0	
CONIFER	025	MAS	B	9,000	14.04	n/a	n/a	360.00	4.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 251	NOV	B	5,500	66.86		n/a	n/a	220.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	NSC	B	1,000	71.99		n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	OII	B	54,250	49.52	n/a	n/a	2,170.00	4.0
PRIMECAP MGMT	084	OII	S	17,785	49.90	n/a	n/a	711.40	4.0
STRONG/MARK GRONET	030	PATK	S	50,000	14.64	n/a	n/a	2,000.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		POT	B	10,000	44.88		n/a	n/a	400.00 4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			QTM	B	10,589	2.09	n/a	n/a	211.78 2.0
PIONEER OAKRIDGE	031	RAX	S	19,855	44.13	n/a	n/a	595.65	3.0
CAPITAL GROWTH MGMT.	241	TCO	B	20,000	78.91	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	TGT	B	49,600	58.01	n/a	5-Jul	1,984.00	4.0
CAPITAL GROWTH MGMT.	241	TKR	S	40,000	43.89	n/a	n/a	2,000.00	5.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		WHR	B	10,000	62.00		n/a	n/a	400.00 4.0
WEINTRAUB CAPITAL MGT.	084	YUM	SS	25,000	63.34	n/a	20-Apr	1,000.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>41,241.37</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/06	ROYCE TRADING (ROYC87)	031	AEO	S	37,300	20.46	n/a	2-Dec	1865.00 5.0
AO,	07/06	ROYCE TRADING (ROYC67)	031	AEO	S	9,100	20.50	n/a	2-Dec	455.00 5.0
AO,	07/06	ROYCE TRADING (ROYC66)	031	AEO	S	400	20.50	n/a	2-Dec	20.00 5.0
AO,	07/06	ROYCE TRADING (ROYC20)	031	AEO	S	100	20.50	n/a	2-Dec	5.00 5.0
AO,	07/06	ROYCE TRADING (ROYC181)	031	AEO	S	100	20.50	n/a	2-Dec	5.00 5.0
AO,	07/06	ROYCE TRADING (ROYC180)	031	AEO	S	100	20.50	n/a	2-Dec	5.00 5.0
AO,	07/06	ROYCE TRADING (ROYC174)	031	AEO	S	100	20.50	n/a	2-Dec	5.00 5.0
AO,	07/06	ROYCE TRADING (ROYC100)	031	AEO	S	100	20.50	n/a	2-Dec	5.00 5.0

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**TOTAL (AO, CXL, CRT) :****2,365.00**

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**TOTAL (Trade Date) :****41,241.37****TOTAL (AO, CXL, CRT) :****2,365.00**

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**TOTAL (RUN DATE) / NFS:****43,606.37**

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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