



## Daily Compliance Activity Report

Trade Date: 06/12/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARDSLEY PARTNERS	280	AXL	S	50,000	17.83	n/a	4-Jun	2,500.00	0.0
PECONIC PARTNERS	036	AXL	S	146,200	17.59	n/a	4-Jun	7,310.00	0.0
<b>OTTER CREEK MGMT</b>	<b>093</b>	<b>BKW</b>	<b>SS</b>	<b>7,000</b>	<b>20.06</b>	<b>n/a</b>	<b>13-May</b>	<b>210.00</b>	<b>0.0</b>
NWQ INVESTMENT MGMT CO	084	BOBE	S	24,600	47.87	n/a	n/a	861.00	0.0
SUFFOLK CAPITAL MGMT	040	BOBE	B	26,100	47.85	n/a	n/a	1,044.00	0.0
LAKEWOOD CAPITAL MGMT	085	BWC	S	5,000	30.05	n/a	n/a	150.00	0.0
J. GOLDMAN	028	BWLD	SS	7,500	97.47	n/a	n/a	300.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CAH	S	21,770	47.19	n/a	n/a	870.80	0.0
RAINIER INV MGMT	033	CRZO	S	30,890	26.04	n/a	n/a	1,235.60	0.0
RBC CAPITAL MARKETS	040	CTB	B	25,000	34.50	n/a	n/a	750.00	0.0
BARROW HANLEY MEWHINNEY	031	CVX	S	135,056	120.27	n/a	n/a	4,726.96	0.0
SAGE ASSET MGMT	025	C	B	5,000	50.20	n/a	11-Jun	250.00	0.0
TIDE POINT CAPITAL	028	DLPH	B	10,000	50.09	n/a	n/a	300.00	0.0
CASTLEROCK	040	DLTR	SS	8,081	48.77	n/a	4-Jun	323.24	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ELGX	B		9,009	12.91	n/a	n/a	270.27 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	F	SS	50,000	15.38	n/a	11-Jun	2,000.00	0.0
FORTRESS INVESTMENT (US)	036	GD	B	25,500	78.28	n/a	5-Apr	1,020.00	0.0
ARDSLEY PARTNERS	280	GM	S	25,000	33.89	n/a	11-Jun	1,250.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	34.30	n/a	11-Jun	450.00	0.0
PECONIC PARTNERS	036	GM	B	200,000	34.38	n/a	11-Jun	10,000.00	0.0
NORTHWESTERN MUTUAL LIFE	047	HCP	B	22,670	45.41	n/a	n/a	906.80	0.0
<b>Õ Nilsa Vazquez</b>		<b>HOV</b>	<b>S</b>	<b>2000</b>	<b>6.0010</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STELLIAM INV ADV	086	KND	B	35,000	13.45	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	NCI	S	20,000	13.46	n/a	n/a	800.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			NLNK	B	9,336	20.36	n/a	n/a	280.08 0.0
BARROW HANLEY MEWHINNEY	031	NOV	B	329,750	69.40	n/a	n/a	11,541.26	0.0
ROSEDALE CAPITAL	046	NOV	S	15,000	69.07	n/a	n/a	750.00	0.0
KEYGROUP/KGLT	040	OAS	SS	25,000	41.05	n/a	n/a	1,000.00	0.0
J. GOLDMAN	028	PNRA	SS	7,500	189.07	n/a	10-Jun	300.00	0.0
FRONTIER	029	PWR	S	138,090	26.31	n/a	n/a	5,523.60	0.0
PRIMECAP MGMT	084	RIG	B	5,000	48.45	n/a	n/a	200.00	0.0
PERIMETER	273	SAVE	S	28,634	31.56	n/a	10-Jun	1,145.36	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIMCO	084	SAVE	S	32,308	31.47	n/a	10-Jun	1,292.32	0.0
NEWLAND CAPITAL MGT	025	SSW	SS	10,000	22.63	n/a	n/a	400.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		STKL	S	10,000	7.50		n/a	n/a	300.00 0.0
LONG OAR GLOBAL INV	040	TCK	SS	20,000	23.60	n/a	n/a	800.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		TNGO	B		17,036	15.57	n/a	n/a	511.08 0.0
TIDE POINT CAPITAL	028	TRW	B	10,000	63.59	n/a	n/a	300.00	0.0
LONG OAR GLOBAL INV	040	VALE	SS	105,000	13.73	n/a	n/a	4,200.00	0.0
LAKEWOOD CAPITAL MGMT	085	VIPS	C	5,000	33.45	n/a	n/a	150.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	7,000	20.56		n/a	n/a	210.00 0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	28.01	n/a	12-Jun	1,250.00	0.0
J. GOLDMAN	028	YUM	B	25,000	72.07	n/a	12-Jun	1,000.00	0.0
SCOPUS FUND	041	YUM	B	20,000	72.09	n/a	12-Jun	800.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>69,482.37</b>	

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):									69,482.37
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									69,482.37
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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