



Daily Compliance Activity Report

Trade Date: 07/19/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AA	S	400	8.09	n/a	n/a	40.00	0.0
PATTEN & PATTEN	025	AA	S	4,250	8.11	n/a	n/a	212.50	0.0
SANDLER O'NEILL ASSET	031	AF	S	19,594	12.30	n/a	18-Apr	979.70	0.0
PATTEN & PATTEN	025	AGG	S	100	107.40	n/a	n/a	5.00	0.0
LATEEF MGMT	033	ALL	S	150	51.86	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	AML	S	200	18.00	n/a	n/a	10.00	0.0
PARAMETER CAPITAL MGMT LLC	044	AXE	SS	20,000	81.70	n/a	16-May	600.00	0.0
PATTEN & PATTEN	025	AXP	B	240	74.40	n/a	19-Jun	12.00	0.0
LATEEF MGMT	033	BBT	S	200	34.93	n/a	n/a	34.00	0.0
CR INTRINIC INVESTMENT	044	BEAV	B	30,000	69.13	n/a	11-Jun	900.00	0.0
PATTEN & PATTEN	025	CAT	S	1,100	85.47	n/a	11-Jul	55.00	0.0
PATTEN & PATTEN	025	CBT	B	1,250	39.77	n/a	n/a	62.50	0.0
EPOCH INV MGMT	030	CHKP	B	186,382	56.67	n/a	n/a	5,591.46	0.0
S.A.C. CAPITAL	044	CROX	SS	50,000	16.90	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	CSCO	S	750	25.66	n/a	26-Feb	75.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CSCO	B	550	25.70	n/a	26-Feb	27.50	0.0
PATTEN & PATTEN	025	CVE	S	200	31.16	n/a	n/a	10.00	0.0
LATEEF MGMT	033	DAL	S	250	20.16	n/a	18-Jun	25.00	0.0
PATTEN & PATTEN	025	DBA	S	400	25.17	n/a	n/a	20.00	0.0
LATEEF MGMT	033	DD	S	400	56.98	n/a	n/a	20.00	0.0
LATEEF MGMT	033	DE	S	150	83.93	n/a	11-Jul	37.50	0.0
PATTEN & PATTEN	025	DON	B	1,300	69.34	n/a	n/a	65.00	0.0
PATTEN & PATTEN	025	DOW	B	450	34.45	n/a	n/a	22.50	0.0
PATTEN & PATTEN	025	DUK	S	503	70.99	n/a	n/a	25.15	0.0
PATTEN & PATTEN	025	D	S	600	59.84	n/a	n/a	30.00	0.0
CAPITAL WORLD	084	EBAY	B	100,000	52.65	n/a	n/a	3,500.00	0.0
PATTEN & PATTEN	025	ECA	S	200	17.51	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	EEM	B	100	39.23	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	EEM	S	300	39.29	n/a	n/a	15.00	0.0
PATTEN & PATTEN	025	EMR	S	200	58.54	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	EPP	B	100	44.66	n/a	n/a	5.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	EPP	S	2,500	44.64	n/a	n/a	125.00	0.0
PATTEN & PATTEN	025	ETFC	S	1,300	13.43	n/a	n/a	65.00	0.0
PATTEN & PATTEN	025	EWC	S	2,850	27.83	n/a	n/a	142.50	0.0
PATTEN & PATTEN	025	FCX	B	1,250	28.53	n/a	n/a	62.50	0.0
SCOPUS FUND	041	F	B	50,000	16.74	n/a	19-Jun	2,000.00	0.0
LATEEF MGMT	033	GSPRD	B	300	21.98	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	HON	S	25	83.20	n/a	19-Apr	1.25	0.0
PATTEN & PATTEN	025	IAU	S	2,000	12.58	n/a	n/a	100.00	0.0
PATTEN & PATTEN	025	IBM	S	50	193.66	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	INTC	B	200	22.89	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	INTC	S	200	22.86	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	IP	S	2,500	47.43	n/a	17-Jun	125.00	0.0
PATTEN & PATTEN	025	IYW	B	50	75.97	n/a	n/a	2.50	0.0
LATEEF MGMT	033	JPM	S	350	55.94	n/a	17-Jun	49.00	0.0
PATTEN & PATTEN	025	JWN	B	50	61.10	n/a	18-Jun	2.50	0.0
PATTEN & PATTEN	025	KO	S	100	41.02	n/a	17-Jun	5.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW VERNON	031	LCC	B	70,000	18.26	n/a	18-Jun	3,500.00	0.0
CAERUS GLOBAL	041	LEA	S	43,937	65.80	n/a	19-Jun	1,757.48	0.0
PATTEN & PATTEN	025	LLY	S	400	50.09	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	LOW	B	700	44.06	n/a	n/a	35.00	0.0
PLATTE RIVER CAPITAL	046	MCD	S	6,350	100.11	n/a	17-Jun	254.00	0.0
PATTEN & PATTEN	025	MUB	S	200	104.32	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	MWV	B	5,625	36.47	n/a	18-Jun	281.25	0.0
PATTEN & PATTEN	025	NKE	B	500	63.17	n/a	19-Jun	25.00	0.0
PATTEN & PATTEN	025	NOK	B	20,600	4.03	n/a	n/a	1,030.00	0.0
BRONSON POINT	036	NWL	B	250,000	27.13	n/a	n/a	7,500.00	0.0
SYSTEMATIC FINANCIAL MGT	070	NWL	S	50,000	27.10	n/a	n/a	1,500.00	0.0
ROTHSCHILD ASSET	040	OCR	B	40,687	49.86	n/a	n/a	1,627.48	0.0
PATTEN & PATTEN	025	PFE	B	4,950	29.08	n/a	n/a	247.50	0.0
LATEEF MGMT	033	PNC	S	1,000	77.19	n/a	n/a	100.00	0.0
PRIMECAP MGMT	084	QGEN	B	3,000	20.39	n/a	n/a	120.00	0.0
PATTEN & PATTEN	025	RKT	S	200	107.63	n/a	17-Jun	10.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
S.A.C. CAPITAL	044	SSI	S	35,000	23.35	n/a	18-Jun	1,050.00	0.0
T. ROWE PRICE	243	SSI	B	86,693	23.13	n/a	18-Jun	3,467.72	0.0
TYVOR CAPITAL LLC	031	SSI	B	25,200	23.43	n/a	18-Jun	1,260.00	0.0
PATTEN & PATTEN	025	TEL	S	250	47.69	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	TFM	B	100	54.59	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	TIF	S	50	78.73	n/a	n/a	2.50	0.0
LATEEF MGMT	033	UAL	S	150	34.40	n/a	18-Jun	30.00	0.0
PATTEN & PATTEN	025	UNM	S	400	31.25	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	VEU	B	1,300	46.61	n/a	n/a	65.00	0.0
PATTEN & PATTEN	025	VMC	S	200	50.48	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	VNQ	B	100	72.17	n/a	n/a	5.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	15,000	23.93	n/a	n/a	450.00	0.0
LATEEF MGMT	033	WRIPRF	B	428	25.21	n/a	n/a	42.80	0.0
PATTEN & PATTEN	025	WY	B	3,175	29.56	n/a	19-Jun	158.75	0.0
PATTEN & PATTEN	025	XBI	B	110	120.81	n/a	n/a	5.50	0.0
LATEEF MGMT	033	XOM	S	750	94.92	n/a	n/a	90.00	0.0

TOTAL (Trade Date):

41,360.04

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/18	CADIAN CAPITAL (CADIMS)	041	CAKE	B	30,900	43.92	n/a	25-Apr	1545.00 0.0
AO,CRT	07/18	CADIAN CAPITAL (CADIMS)	041	CAKE	B	30,900	43.92	n/a	25-Apr	927.00 3.0
AO,CXL	07/16	PIMCO (PIMC4975G)	084	HFC	SS	53,000	41.95	n/a	n/a	2650.00 0.0
AO,CRT	07/16	PIMCO (PIMC4975G)	084	HFC	SS	53,000	41.95	n/a	n/a	1060.00 0.0
AO,CXL	07/16	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	SODA	S	1,075	59.94	n/a	n/a	53.75 0.0
AO,	07/16	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	SODA	S	1,075	59.94	n/a	n/a	53.75 0.0
TOTAL (AO, CXL, CRT) :										-2,208.00
TOTAL (Trade Date) :										41,360.04
TOTAL (AO, CXL, CRT) :										-2,208.00
TOTAL (RUN DATE) / NFS:										39,152.04

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