



## Daily Compliance Activity Report

Trade Date: 07/22/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	40	427.14	n/a	n/a	2.00	0.0
PATTEN & PATTEN	025	AA	S	31,500	8.10	n/a	n/a	1,575.00	0.0
LEVIN CAPITAL STRATEGIES	041	ABX	C	7,500	17.39	n/a	n/a	225.00	0.0
SANDLER O'NEILL ASSET	031	AF	S	15,406	12.30	n/a	18-Apr	770.30	0.0
PATTEN & PATTEN	025	AGU	B	50	89.03	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	AIG	B	150	47.39	n/a	n/a	7.50	0.0
CUMBERLAND	033	ALLT	S	20,000	14.89	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	APC	B	162	91.85	n/a	13-Jun	8.10	0.0
PATTEN & PATTEN	025	APD	S	200	97.83	n/a	n/a	10.00	0.0
ROSEDALE CAPITAL	046	AXL	B	10,000	19.61	n/a	19-Jun	500.00	0.0
TALON ASSET MGMT.	006	AXL	B	5,000	19.53	n/a	19-Jun	250.00	0.0
PATTEN & PATTEN	025	AXP	B	4,750	75.03	n/a	19-Jun	237.50	0.0
PATTEN & PATTEN	025	BA	B	600	107.06	n/a	11-Jun	30.00	0.0
PATTEN & PATTEN	025	BBT	S	200	35.38	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	BDBD	B	45,300	13.80	n/a	n/a	2,265.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	BTO	B	150	23.84	n/a	n/a	7.50	0.0
PATTEN & PATTEN	025	CAT	S	21,890	85.93	n/a	11-Jul	1,094.50	0.0
PATTEN & PATTEN	025	CBT	B	8,758	39.99	n/a	n/a	437.90	0.0
PATTEN & PATTEN	025	CMI	B	50	118.07	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	CNI	S	290	101.94	n/a	n/a	14.50	0.0
PATTEN & PATTEN	025	CTXS	B	950	66.01	n/a	n/a	47.50	0.0
BTG PACTUAL	040	CVC	SS	15,000	18.87	n/a	n/a	450.00	0.0
MERRILL ASSET/BLACKROCK	085	DFS	B	7,400	50.60	n/a	19-Jun	296.00	0.0
PATTEN & PATTEN	025	DKS	B	150	51.66	n/a	19-Jun	7.50	0.0
PATTEN & PATTEN	025	DOW	B	500	34.75	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	D	S	400	59.88	n/a	n/a	20.00	0.0
<b>SPARTAN</b>	<b>093</b>	<b>EAT</b>	<b>SS</b>	<b>9,000</b>	<b>39.16</b>	<b>n/a</b>	<b>13-May</b>	<b>270.00</b>	<b>0.0</b>
TALON ASSET MGMT.	006	EAT	SS	5,000	39.46	n/a	13-May	250.00	0.0
PATTEN & PATTEN	025	ECA	S	800	17.46	n/a	n/a	40.00	0.0
PATTEN & PATTEN	025	EEM	B	300	39.69	n/a	n/a	15.00	0.0
CLOVIS CAPITAL	033	EMR	B	30,000	60.47	n/a	n/a	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARAMETER CAPITAL MGMT LLC044		ETN	B	20,000	68.52	n/a	12-Jun	600.00	0.0
PATTEN & PATTEN	025	EWC	S	45,410	28.15	n/a	n/a	2,270.50	0.0
PATTEN & PATTEN	025	EWZ	S	21,750	44.46	n/a	n/a	1,087.50	0.0
PATTEN & PATTEN	025	FCX	S	200	29.16	n/a	n/a	10.00	0.0
CUMBERLAND	033	FSL	B	20,000	15.53	n/a	n/a	600.00	0.0
FORTRESS INVESTMENT (US)	036	GD	S	23,800	84.16	n/a	5-Apr	476.00	0.0
TYVOR CAPITAL LLC	031	GPS	B	12,000	45.07	n/a	n/a	360.00	0.0
PATTEN & PATTEN	025	HMC	S	300	39.30	n/a	n/a	15.00	0.0
CUMBERLAND	033	HNR	S	10,000	4.79	n/a	n/a	300.00	0.0
FORTRESS INVESTMENT (US)	036	HON	S	48,000	83.01	n/a	19-Apr	960.00	0.0
CRAMER ROSENTHAL	070	H	S	27,330	42.06	n/a	13-Jun	1,093.20	0.0
PATTEN & PATTEN	025	IBM	B	50	194.17	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	INTC	B	600	22.92	n/a	n/a	30.00	0.0
BTG PACTUAL	040	JBLU	S	14,200	6.77	n/a	18-Jun	426.00	0.0
PATTEN & PATTEN	025	JWN	B	150	62.07	n/a	18-Jun	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYVOR CAPITAL LLC	031	JWN	B	8,000	62.12	n/a	18-Jun	240.00	0.0
PATTEN & PATTEN	025	KMB	S	2,000	97.99	n/a	17-Jun	100.00	0.0
PATTEN & PATTEN	025	KMI	B	152	39.57	n/a	n/a	7.60	0.0
SCOPUS FUND	041	LAD	B	15,000	59.29	n/a	n/a	600.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		LL	C	7,000	87.34	n/a	n/a	210.00	0.0
PATTEN & PATTEN	025	LOW	B	350	44.66	n/a	n/a	17.50	0.0
MERRILL ASSET/BLACKROCK	085	LUK	S	41,000	27.71	n/a	n/a	1,640.00	0.0
FORTRESS INVESTMENT (US)	036	MHK	B	17,000	115.86	n/a	n/a	340.00	0.0
PATTEN & PATTEN	025	MMM	B	66	116.07	n/a	n/a	3.30	0.0
PATTEN & PATTEN	025	MOS	B	60,850	53.95	n/a	n/a	3,042.50	0.0
PATTEN & PATTEN	025	MRK	B	14	48.22	n/a	n/a	0.70	0.0
PATTEN & PATTEN	025	MWV	B	27,710	36.74	n/a	18-Jun	1,385.50	0.0
PATTEN & PATTEN	025	NEE	S	2,600	84.90	n/a	n/a	130.00	0.0
PATTEN & PATTEN	025	NKE	B	47,090	63.39	n/a	19-Jun	2,354.50	0.0
PATTEN & PATTEN	025	NOK	B	71,150	3.99	n/a	n/a	3,557.50	0.0
PATTEN & PATTEN	025	NUAN	S	1,500	18.93	n/a	n/a	75.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	033	OVTI	B	7,000	17.42	n/a	n/a	210.00	0.0
PATTEN & PATTEN	025	PFE	B	1,090	29.31	n/a	n/a	54.50	0.0
PATTEN & PATTEN	025	PHO	S	200	23.55	n/a	n/a	10.00	0.0
FORTRESS INVESTMENT (US)	036	PH	B	19,400	102.88	n/a	n/a	388.00	0.0
PATTEN & PATTEN	025	PIO	S	4,000	20.10	n/a	n/a	200.00	0.0
CORNERSTONE	030	PM	B	108,629	89.51	n/a	n/a	3,258.87	0.0
PATTEN & PATTEN	025	QCOM	B	75	62.10	n/a	n/a	3.75	0.0
PRIMECAP MGMT	084	QGEN	B	4,500	20.56	n/a	n/a	180.00	0.0
PATTEN & PATTEN	025	RHHBY	S	500	62.27	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	RKT	S	1,160	108.75	n/a	17-Jun	58.00	0.0
LEVIN CAPITAL STRATEGIES	041	SLW	C	5,000	22.43	n/a	n/a	150.00	0.0
CUMBERLAND	033	SPY	SS	10,000	169.15	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	SPY	B	250	169.45	n/a	n/a	12.50	0.0
T. ROWE PRICE	243	SSI	B	2,307	23.28	n/a	18-Jun	92.28	0.0
S.A.C. CAPITAL	044	STRA	B	34,814	50.89	n/a	n/a	1,044.42	0.0
CUMBERLAND	033	SWKS	S	25,000	23.52	n/a	n/a	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIDGECREST INV MGMT LLC	028	SWY	S	7,500	25.81	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	TEVA	S	60	40.59	n/a	17-Jun	3.00	0.0
ZWEIG FUNDS	006	TIBX	S	100,000	24.09	n/a	n/a	5,000.00	0.0
PATTEN & PATTEN	025	TIF	S	550	78.86	n/a	n/a	27.50	0.0
PATTEN & PATTEN	025	TRN	B	1,375	38.52	n/a	n/a	68.75	0.0
PATTEN & PATTEN	025	TSCO	S	200	122.69	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	UNH	B	250	72.30	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	UNM	S	500	31.63	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	UTX	B	50	102.22	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	UTX	S	125	102.41	n/a	n/a	6.25	0.0
HERRING CREEK CAPITAL MGMT LLC040		WFM	C	13,200	55.97	n/a	n/a	396.00	0.0
PATTEN & PATTEN	025	WMT	S	800	77.96	n/a	16-May	40.00	0.0
PATTEN & PATTEN	025	WY	B	500	29.49	n/a	19-Jun	25.00	0.0
CUMBERLAND	033	XLP	SS	25,000	41.69	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	XOM	S	50	95.07	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	ZTS	S	287	30.36	n/a	n/a	14.35	0.0

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**TOTAL (Trade Date):**

**46,333.77**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/19	CR INTRINIC INVESTMENT (CRINCITI)	044	BEAV	B	30,000	69.13	n/a	11-Jun	900.00 0.0
AO,CRT	07/19	CR INTRINSIC/CHRIS C (CRICCITI)	041	BEAV	B	30,000	69.13	n/a	11-Jun	900.00 0.0
AO,CXL	07/19	TYVOR CAPITAL LLC (TYVOJPM)	031	SSI	B	25,200	23.43	n/a	18-Jun	1260.00 0.0
AO,CRT	07/19	TYVOR CAPITAL LLC (TYVOJPM)	031	SSI	B	25,200	23.43	n/a	18-Jun	630.00 0.0

**TOTAL (AO, CXL, CRT) :****-630.00**

TOTAL (Trade Date) :

46,333.77

TOTAL (AO, CXL, CRT) :

-630.00

**TOTAL (RUN DATE) / NFS:****45,703.77**



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