



Daily Compliance Activity Report

Trade Date: 07/11/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINSIC/CHRIS C	041	AA	SS	25,000	8.04	n/a	n/a	750.00	0.0
COLUMBUS CAP MGMT LLC	084	ABFS	S	50,000	22.73	n/a	n/a	2,500.00	0.0
PATTEN & PATTEN	025	AGG	S	250	106.85	n/a	n/a	12.50	0.0
SENATOR INVESTMENT GROUP	036	ASH	S	75,000	85.71	n/a	n/a	2,250.00	0.0
SCOPUS FUND	041	AXL	S	25,000	19.52	n/a	19-Jun	1,000.00	0.0
BARROW HANLEY MEWHINNEY	031	BAC	B	40,200	13.52	n/a	17-Jun	1,407.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		BHI	B	19,000	48.97	n/a	n/a	570.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		BIG	S	10,000	34.76	n/a	n/a	300.00	0.0
JET CAPITAL/CHRIS	041	BKH	S	10,000	52.03	n/a	n/a	300.00	0.0
CENTURION PARTNERS	041	BMV	B	9,000	45.89	n/a	n/a	360.00	0.0
DAVIDSON KEMPNER FRAN	028	CAB	SS	10,000	67.96	n/a	n/a	500.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		CBS	B	25,000	51.48	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	CL	B	160	58.95	n/a	17-Jun	8.00	0.0
STELLIAM INV ADV	086	CMCSK	S	22,500	41.82	n/a	n/a	900.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	COG	S	19,350	72.19	n/a	13-Jun	774.00	0.0
SIGMA CAPITAL ASSOCIATES	044	COG	B	20,000	70.00	n/a	13-Jun	600.00	0.0
WADDELL AND REED	047	COG	S	176,197	71.42	n/a	13-Jun	7,047.88	0.0
PATTEN & PATTEN	025	CSD	B	500	38.80	n/a	n/a	25.00	0.0
CENTURION PARTNERS	041	DAL	B	10,000	18.95	n/a	18-Jun	400.00	0.0
BALYASNY ASSET MGMT	044	DE	C	10,000	83.58	n/a	11-Jul	500.00	0.0
SCOPUS FUND	041	DG	S	75,000	55.30	n/a	4-Jun	3,000.00	0.0
PATTEN & PATTEN	025	DON	B	250	68.45	n/a	n/a	12.50	0.0
CENTURION PARTNERS	041	EBAY	B	10,000	55.77	n/a	n/a	400.00	0.0
PATTEN & PATTEN	025	EEM	B	150	39.14	n/a	n/a	7.50	0.0
HIGHLINE ADV	044	EMC	S	300,000	24.50	n/a	26-Feb	15,000.00	0.0
HAWKEYE CAPITAL	087	FINL	S	60,000	22.40	n/a	19-Jun	1,800.00	0.0
KENNEDY CAPITAL	046	FINL	B	28,840	22.40	n/a	19-Jun	1,153.60	0.0
SURVEYOR CAPITAL	251	FINL	B	41,100	22.40	n/a	19-Jun	1,644.00	0.0
CENTURION PARTNERS	041	FOXA	B	5,000	30.37	n/a	n/a	200.00	0.0
TUDOR INVESTORS	028	F	B	30,000	16.97	n/a	19-Jun	900.00	0.0
PORTER-ORLIN	044	GLD	B	50,000	124.13	n/a	n/a	2,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	35.89	n/a	19-Jun	300.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	GM	B	30,000	35.89	n/a	19-Jun	900.00	0.0
ROSEDALE CAPITAL	046	GM	S	5,000	35.90	n/a	19-Jun	250.00	0.0
SCOPUS FUND	041	GPI	B	50,000	68.05	n/a	19-Jun	2,000.00	0.0
ARDSLEY PARTNERS	280	GT	B	25,000	16.69	n/a	n/a	1,250.00	0.0
SIGMA CAPITAL ASSOCIATES	041	HOT	B	50,000	67.46	n/a	13-Jun	1,500.00	0.0
CENTURION PARTNERS	041	HTZ	B	10,000	26.63	n/a	n/a	400.00	0.0
DAVIDSON KEMPNER FRAN	028	KMB	SS	5,000	99.42	n/a	17-Jun	250.00	0.0
CENTURION PARTNERS	041	KR	S	20,000	37.77	n/a	n/a	800.00	0.0
IVORY CAPITAL	084	LCC	B	100,036	17.39	n/a	18-Jun	5,001.80	0.0
BALYASNY ASSET MGMT	044	LEA	B	25,000	64.75	n/a	19-Jun	1,250.00	0.0
S.A.C. CAPITAL	044	LEN	S	13,508	37.24	n/a	n/a	405.24	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	LIFE	B	10,000	74.60		n/a n/a	300.00	0.0
PARAMETER CAPITAL MGMT LLC	044	LM	SS	20,000	32.48	n/a	2-Mar	600.00	0.0
CR INTRINSIC/CHRIS C	041	LPX	B	10,000	17.02	n/a	19-Jun	300.00	0.0
HOLLIS CAPITAL	033	LULU	S	3,000	65.76	n/a	19-Jun	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER FRAN	028	MAT	SS	25,000	46.69	n/a	n/a	1,250.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		MCO	C	7,600	61.41		n/a n/a	228.00	0.0
PATTEN & PATTEN	025	MOO	S	3,365	53.63	n/a	n/a	168.25	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	55,000	35.35	n/a	18-Jun	2,750.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		MWV	S	15,000	35.48		n/a 18-Jun	450.00	0.0
SCOPUS FUND	041	M	SS	25,000	49.50	n/a	18-Jun	1,000.00	0.0
CENTURION PARTNERS	041	OC	S	65,000	40.56	n/a	n/a	2,600.00	0.0
CENTURION PARTNERS	041	OEH	S	40,000	12.42	n/a	n/a	1,600.00	0.0
PATTEN & PATTEN	025	PKB	B	250	19.91	n/a	n/a	12.50	0.0
FIFTH THIRD BANK/FREEMAN	047	PMF	S	12,017	12.83	n/a	n/a	480.68	0.0
KEYGROUP/KGLT	040	PSX	B	25,000	56.57	n/a	n/a	1,000.00	0.0
CENTURION PARTNERS	041	RDN	B	20,000	12.26	n/a	n/a	800.00	0.0
PATTEN & PATTEN	025	SPY	B	250	167.32	n/a	n/a	12.50	0.0
DENVER INST. ADV	046	SSI	B	45,000	24.89	n/a	18-Jun	1,800.00	0.0
PEREGRINE	030	SSI	B	61,000	24.83	n/a	18-Jun	2,440.00	0.0
TRUST CO/COWEN/CALF.	040	SSI	S	20,465	24.91	n/a	18-Jun	818.60	0.0
WADDELL AND REED	047	SSI	B	76,009	24.94	n/a	18-Jun	3,040.36	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LONG OAR GLOBAL INV	040	TCK	B	24,575	22.17	n/a	n/a	983.00	0.0
BALYASNY ASSET MGMT	044	TEX	SS	10,000	28.36	n/a	n/a	500.00	0.0
DAVIDSON KEMPNER FRAN	028	TGT	SS	7,500	72.77	n/a	23-May	375.00	0.0
DAVIDSON KEMPNER FRAN	028	TIF	B	25,000	76.94	n/a	n/a	1,250.00	0.0
CENTURION PARTNERS	041	TMUS	B	5,000	24.84	n/a	n/a	200.00	0.0
PATTEN & PATTEN	025	VNQ	B	3,510	71.58	n/a	n/a	175.50	0.0
HERRING CREEK CAPITAL MGMT LLC040		WFM	C	11,100	55.63	n/a	n/a	333.00	0.0
CENTURION PARTNERS	041	WLT	B	20,000	12.46	n/a	n/a	800.00	0.0
DC CAPITAL	044	WY	S	20,000	29.30	n/a	19-Jun	800.00	0.0
PATTEN & PATTEN	025	WY	B	1,000	29.33	n/a	19-Jun	50.00	0.0
RIDGECREST INV MGMT LLC	028	WY	B	15,000	29.28	n/a	19-Jun	600.00	0.0
PATTEN & PATTEN	025	XBI	B	50	115.73	n/a	n/a	2.50	0.0
S.A.C. CAPITAL	044	XLI	SS	10,000	44.56	n/a	n/a	300.00	0.0
JET CAPITAL/CHRIS	041	XLU	C	10,000	38.32	n/a	n/a	300.00	0.0
DAVIDSON KEMPNER FRAN	028	XRT	SS	12,500	80.89	n/a	n/a	625.00	0.0
Õ Jack Chernus		YNDX	B	100	30.4000	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

90,473.91

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	07/10	LISTED ERR (LISTED ERR)	099	FINL	B	100	22.29	n/a 19-Jun	0.00 0.0
TOTAL (AO, CXL, CRT) :									0.00

TOTAL (Trade Date):	90,473.91
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	90,473.91
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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