



Daily Compliance Activity Report

Trade Date: 08/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AA	S	10,000	7.97	n/a	n/a	500.00	0.0
PATTEN & PATTEN	025	AIG	B	150	48.68	n/a	n/a	7.50	0.0
JET CAPITAL/CHRIS	041	APD	B	15,000	107.67	n/a	n/a	450.00	0.0
PATTEN & PATTEN	025	BAC	S	400	14.82	n/a	17-Jun	20.00	0.0
PATTEN & PATTEN	025	BA	B	300	107.36	n/a	11-Jun	15.00	0.0
PATTEN & PATTEN	025	BDX	S	200	100.96	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	CL	B	100	60.96	n/a	17-Jun	5.00	0.0
BESSEMER INVESTMENT	085	COL	B	30,500	74.18	n/a	11-Jun	1,220.00	0.0
PATTEN & PATTEN	025	COV	B	1,325	63.50	n/a	n/a	66.25	0.0
TUDOR INVESTORS	028	CSX	SS	25,000	25.99	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	DBA	S	500	24.45	n/a	n/a	25.00	0.0
TUDOR INVESTORS	028	DE	SS	5,000	82.83	n/a	11-Jul	150.00	0.0
TUDOR INVESTORS	028	DOW	SS	10,000	36.56	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	EPP	S	875	44.97	n/a	n/a	43.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	ETN	B	10,000	66.29	n/a	12-Jun	300.00	0.0
PATTEN & PATTEN	025	EWG	S	500	26.68	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	EWH	S	250	19.50	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	EWZ	S	150	43.44	n/a	n/a	7.50	0.0
TUDOR INVESTORS	028	EXPD	B	5,000	40.51	n/a	n/a	150.00	0.0
MACELLUM CAPITAL	086	EXPR	B	22,000	23.03	n/a	n/a	660.00	0.0
ROARING BLUE LION MGMT	031	EXPR	S	29,900	23.00	n/a	n/a	1,196.00	0.0
PATTEN & PATTEN	025	FCX	S	400	29.02	n/a	n/a	20.00	0.0
HAWKEYE CAPITAL	087	FINL	S	142,000	22.62	n/a	19-Jun	4,260.00	0.0
KENNEDY CAPITAL	046	FINL	B	17,920	22.60	n/a	19-Jun	716.80	0.0
TOCQUEVILLE	046	FINL	B	25,000	22.61	n/a	19-Jun	1,250.00	0.0
EGS ASSOCIATES LP	091	FL	B	700	37.72	n/a	19-Jun	28.00	0.0
ROARING BLUE LION MGMT	031	FL	S	18,300	37.69	n/a	19-Jun	732.00	0.0
ROARING BLUE LION MGMT	091	FL	B	2,800	37.72	n/a	19-Jun	112.00	0.0
GEORGE WEISS	278	F	B	10,000	17.14	n/a	19-Jun	300.00	0.0
PATTEN & PATTEN	025	GLW	S	500	15.39	n/a	n/a	25.00	0.0
PRIMECAP MGMT	084	GSK	S	4,000	52.08	n/a	n/a	160.00	0.0
ARDSLEY PARTNERS	280	GWW	SS	15,000	265.78	n/a	11-Jun	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	HON	S	100	84.59	n/a	19-Apr	5.00	0.0
PATTEN & PATTEN	025	IEV	B	200	42.32	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	IJH	B	650	125.14	n/a	n/a	32.50	0.0
PATTEN & PATTEN	025	INTC	S	400	22.88	n/a	n/a	20.00	0.0
CR INTRINIC INVESTMENT	044	JNY	B	50,000	17.60	n/a	2-May	1,500.00	0.0
KENNEDY CAPITAL	046	JNY	S	100,000	17.57	n/a	2-May	4,000.00	0.0
BALYASNY ASSET MGMT	044	KORS	S	60,000	67.89	n/a	30-May	3,000.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	LEA	S	3,900	70.61	n/a	19-Jun	117.00	0.0
TUDOR INVESTORS	028	LPX	B	20,000	16.67	n/a	19-Jun	600.00	0.0
JET CAPITAL/CHRIS	041	MNK	B	45,000	45.52	n/a	n/a	1,350.00	0.0
PATTEN & PATTEN	025	MOS	B	6,800	41.35	n/a	n/a	340.00	0.0
S.A.C. CAPITAL	044	MOS	B	50,000	41.23	n/a	n/a	1,500.00	0.0
ARDSLEY PARTNERS	280	MRC	S	80	24.58	n/a	n/a	4.00	0.0
TUDOR INVESTORS	028	MWV	B	15,000	37.42	n/a	18-Jun	450.00	0.0
PATTEN & PATTEN	025	NEE	S	275	87.25	n/a	n/a	13.75	0.0
PRIMECAP MGMT	084	NEM	S	5,000	28.95	n/a	n/a	200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARDSLEY PARTNERS	280	PH	B	75,000	105.65	n/a	n/a	3,750.00	0.0
TUDOR INVESTORS	028	PH	B	2,000	105.17	n/a	n/a	60.00	0.0
PAULSON & CO INC	041	SPY	SS	64,500	170.38	n/a	n/a	1,935.00	0.0
PATTEN & PATTEN	025	SWN	S	625	38.18	n/a	13-Jun	31.25	0.0
TUDOR INVESTORS	028	TSN	B	45,000	29.71	n/a	n/a	1,350.00	0.0
TUDOR INVESTORS	028	TXT	SS	5,000	28.96	n/a	n/a	150.00	0.0
TUDOR INVESTORS	028	UNP	B	5,000	161.81	n/a	n/a	150.00	0.0
PATTEN & PATTEN	025	VEU	B	300	46.97	n/a	n/a	15.00	0.0
TUDOR INVESTORS	028	WAB	B	2,000	59.24	n/a	n/a	60.00	0.0
T. ROWE PRICE	243	WY	B	147,500	28.20	n/a	19-Jun	5,900.00	0.0
TOTAL (Trade Date):								40,810.80	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/02	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	5,000	21.01	n/a	19-Jun	200.00 0.0
AO,CRT	08/02	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	S	5,000	21.01	n/a	19-Jun	250.00 5.0

TOTAL (AO, CXL, CRT) :	50.00
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TOTAL (Trade Date) :	40,810.80
TOTAL (AO, CXL, CRT) :	50.00

TOTAL (RUN DATE) / NFS:	40,860.80
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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