



## Daily Compliance Activity Report

Trade Date: 07/30/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DC CAPITAL	044	ACI	B	250,000	3.99	n/a	n/a	10,000.00	0.0
PEAK INV/OAKMONT/CYPRESS	084	BA	B	50,000	105.86	n/a	11-Jun	2,000.00	0.0
HOLLIS CAPITAL	033	BKS	S	5,000	17.29	n/a	n/a	250.00	0.0
MAIRS AND POWER INV	030	CHRW	B	60,000	59.16	n/a	n/a	3,000.00	0.0
CASTLEROCK	040	COH	B	9,868	52.97	n/a	30-May	394.72	0.0
M&I FUNDS	047	CROX	B	3,900	13.55	n/a	n/a	156.00	0.0
BRIGADE CAPITAL MGMT	029	CX	S	50,000	11.25	n/a	n/a	1,500.00	0.0
M&I FUNDS	047	DNKN	B	5,826	43.17	n/a	n/a	233.04	0.0
PATTEN & PATTEN	025	FCX	B	300	28.16	n/a	n/a	15.00	0.0
HAWKEYE CAPITAL	087	FINL	S	25,700	22.35	n/a	19-Jun	771.00	0.0
KENNEDY CAPITAL	046	FINL	B	25,710	22.35	n/a	19-Jun	1,028.40	0.0
MAIRS AND POWER INV	030	FISV	B	70,000	92.60	n/a	n/a	3,500.00	0.0
VERITION	028	F	B	25,000	17.16	n/a	19-Jun	750.00	0.0
TIDE POINT CAPITAL	028	GM	B	25,000	36.49	n/a	19-Jun	750.00	0.0
ENTRUST CAPITAL	040	INT	B	8,188	37.32	n/a	n/a	409.40	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BTG PACTUAL	040	JBLU	B	25,000	6.38	n/a	18-Jun	750.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	324,820	6.52	n/a	18-Jun	12,992.80 0.0
MACELLUM CAPITAL	086	JCP	B	64,000	16.27	n/a	18-Jun	1,920.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	25,000	16.17	n/a	18-Jun	750.00	0.0
HOLLIS CAPITAL	033	KORS	B	6,000	64.66	n/a	30-May	300.00	0.0
STANDARD PACIFIC CAPITAL	084	MAN	SS	37,000	66.17	n/a	n/a	1,850.00	0.0
EPOCH INV MGMT	030	MHO	B	47,618	20.93	n/a	n/a	1,428.54	0.0
PATTEN & PATTEN	025	MOS	B	4,500	43.26	n/a	n/a	225.00	0.0
ROSEDALE CAPITAL	046	MOS	B	10,000	38.80	n/a	n/a	400.00	0.0
ROSEDALE CAPITAL	046	MSFT	B	15,000	31.70	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	MWV	B	500	36.19	n/a	18-Jun	25.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	S	5,000	36.31	n/a	18-Jun	200.00	0.0
BTG PACTUAL	040	NKE	B	15,500	62.95	n/a	19-Jun	465.00	0.0
COLUMBUS CIRCLE	036	PBI	B	11,900	16.39	n/a	n/a	476.00	0.0
DAVIDSON KEMPNER ADVISOR	281	RL	B	5,000	180.54	n/a	24-May	250.00	0.0
T. ROWE PRICE	243	RRC	B	42,900	79.90	n/a	13-Jun	1,716.00	0.0
TYVOR CAPITAL LLC	031	SWY	B	22,861	26.27	n/a	n/a	685.83	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGADE CAPITAL MGMT	029	USG	S	75,000	24.91	n/a	29-Apr	2,250.00	0.0
STANDARD PACIFIC CAPITAL	084	USG	B	98,800	24.98	n/a	29-Apr	4,940.00	0.0
PATTEN & PATTEN	025	VCSH	B	400	79.62	n/a	n/a	20.00	0.0
DAVIDSON KEMPNER ADVISOR	281	VFC	SS	2,500	197.64	n/a	12-Jun	125.00	0.0
CAMBIAR CAP	046	WEN	S	600,000	7.07	n/a	20-May	12,000.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	B	20,000	28.33	n/a	19-Jun	600.00	0.0
HARVEST MGMT (JMP)	029	ZUMZ	S	15,000	27.50	n/a	n/a	750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	ZUMZ	S	24,821	27.96	n/a	n/a	n/a	744.63 0.0
<b>TOTAL (Trade Date) :</b>								<b>71,221.36</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/29	CASTLEROCK (CASTJPM)	040	COH	SS	3,000	58.18	n/a	30-May	120.00 0.0
AO,CXL	07/29	CASTLEROCK (CASTMERRIL)	040	COH	SS	814	58.47	n/a	30-May	32.56 0.0
AO,	07/29	CASTLEROCK (CASTMERRIL)	040	COH	SS	814	58.18	n/a	30-May	32.56 0.0
AO,CXL	07/29	CASTLEROCK (CASTUBS)	040	COH	SS	6,054	58.47	n/a	30-May	242.16 0.0
AO,CXL	07/29	CASTLEROCK (CASTUBS)	040	COH	SS	3,000	57.52	n/a	30-May	120.00 0.0
AO,	07/29	CASTLEROCK (CASTUBS)	040	COH	SS	6,054	58.18	n/a	30-May	242.16 0.0
AO,	07/29	IRIDIAN ASSET MGMT. (IRAM8002)	036	ELN	S	33,300	15.53	n/a	n/a	1665.00 0.0
AO,	07/29	IRIDIAN ASSET MGMT. (IRAM158)	036	ELN	S	100,840	15.53	n/a	n/a	5042.00 0.0
AO,	07/29	IRIDIAN ASSET MGMT. (IRAM47)	036	ELN	S	35,540	15.53	n/a	n/a	1777.00 0.0
AO,	07/29	IRIDIAN ASSET MGMT. (IRAM26)	036	ELN	S	30,170	15.53	n/a	n/a	1508.50 0.0
AO,	07/29	IRIDIAN ASSET MGMT. (IRAM6)	036	ELN	S	30,170	15.53	n/a	n/a	1508.50 0.0
AO,	07/29	IRIDIAN ASSET MGMT. (IRAM192)	036	ELN	S	59,170	15.53	n/a	n/a	2958.50 0.0
AO,CXL	07/29	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	5,000	67.51	n/a	19-Jun	250.00 0.0
AO,CRT	07/29	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	5,000	67.51	n/a	19-Jun	150.00 0.0

**TOTAL (AO, CXL, CRT) :****14,359.50**

TOTAL (Trade Date) :

71,221.36

TOTAL (AO, CXL, CRT) :

14,359.50

**TOTAL (RUN DATE) / NFS:****85,580.86**

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