



## Daily Compliance Activity Report

Trade Date: 08/09/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	5	455.60	n/a	n/a	0.25	0.0
NEUBERGER BERMAN	036	ADVS	B	34,100	28.35	n/a	n/a	1,364.00	0.0
PATTEN & PATTEN	025	AGU	B	100	85.22	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	AIG	B	50	48.14	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	AMLX	B	335	17.57	n/a	n/a	16.75	0.0
<b>NEUBERGER BERMAN</b>	<b>098</b>	<b>BKU</b>	<b>B</b>	<b>52,651</b>	<b>30.65</b>	<b>n/a</b>	<b>n/a</b>	<b>2,106.04</b>	<b>0.0</b>
PATTEN & PATTEN	025	BRCM	S	300	26.09	n/a	n/a	15.00	0.0
NEUBERGER BERMAN	036	CBU	B	15,784	34.11	n/a	n/a	631.36	0.0
PATTEN & PATTEN	025	CL	B	250	60.86	n/a	17-Jun	12.50	0.0
CR INTRINSIC/CHRIS C	041	DLPH	B	10,000	55.63	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	DON	B	25	70.31	n/a	n/a	1.25	0.0
LATEEF MGMT	033	DOW	S	500	37.90	n/a	n/a	50.00	0.0
CADIAN CAPITAL	041	EMC	B	50,000	26.91	n/a	26-Feb	1,500.00	0.0
PATTEN & PATTEN	025	ETN	B	300	65.82	n/a	12-Jun	15.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	FDO	B	5,000	71.35	n/a	4-Jun	250.00	0.0
NEUBERGER BERMAN	036	FFIN	B	5,500	58.32	n/a	n/a	220.00	0.0
NEUBERGER BERMAN	036	FNB	B	42,675	12.86	n/a	n/a	1,707.00	0.0
CR INTRINIC INVESTMENT	044	F	B	30,000	17.02	n/a	19-Jun	900.00	0.0
PATTEN & PATTEN	025	HDV	S	500	68.62	n/a	n/a	25.00	0.0
SIGMA CAPITAL ASSOCIATES	041	HD	SS	100,000	78.93	n/a	n/a	3,000.00	0.0
PATTEN & PATTEN	025	HEDJ	B	35	52.30	n/a	n/a	1.75	0.0
LATEEF MGMT	033	INTC	B	500	22.54	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	IRM	B	500	28.29	n/a	n/a	25.00	0.0
CHARTERBRIDGE CAPITAL	025	JCP	SS	25,000	12.60	n/a	18-Jun	750.00	0.0
MFP INVESTORS	085	JCP	S	25,000	12.76	n/a	18-Jun	1,250.00	0.0
PATTEN & PATTEN	025	JWN	B	50	58.99	n/a	18-Jun	2.50	0.0
SCOPUS FUND	041	LAD	B	10,000	67.53	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	LPI	B	44,150	26.00	n/a	n/a	1,766.00	0.0
J. GOLDMAN	028	LTD	SS	25,000	61.29	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	MWV	B	500	36.96	n/a	18-Jun	25.00	0.0

<b>Account</b>	<b>RR #</b>	<b>Symbol</b>	<b>B/S</b>	<b>Shares</b>	<b>Price</b>	<b>MRI</b>	<b>Research</b>	<b>Comm.¢/Shr.</b>	
PATTEN & PATTEN	025	MWV	S	35	36.97	n/a	18-Jun	1.75	0.0
S.A.C. CAPITAL	044	M	B	25,000	48.28	n/a	18-Jun	750.00	0.0
CLEARLINE CAPITAL LLC	006	NDLS	C	5,000	42.24	n/a	n/a	200.00	0.0
PATTEN & PATTEN	025	NOK	B	250	4.19	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	PCH	S	400	43.86	n/a	19-Jun	20.00	0.0
LATEEF MGMT	033	PG	S	150	81.69	n/a	17-Jun	30.00	0.0
SAGE ASSET MGMT	025	PH	B	5,400	103.33	n/a	n/a	270.00	0.0
ARCHON CAPITAL	033	PLCM	S	85,000	9.73	n/a	n/a	2,550.00	0.0
CR INTRINIC INVESTMENT	044	PLCM	B	25,000	9.73	n/a	n/a	750.00	0.0
CAMBIAR CAP	046	RDEN	B	91,918	33.23	n/a	17-Jun	3,676.72	0.0
PATTEN & PATTEN	025	RF	B	25	9.95	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	RHT	S	25	52.62	n/a	n/a	1.25	0.0
BARROW HANLEY MEWHINNEY	031	SE	S	227,100	34.89	n/a	n/a	7,948.50	0.0
NEUBERGER BERMAN	036	SPH	B	41,626	45.27	n/a	n/a	1,665.04	0.0
PATTEN & PATTEN	025	SPY	B	100	169.52	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	TOL	B	35	31.86	n/a	n/a	1.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	T	B	500	34.88	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	VO	B	180	101.91	n/a	n/a	9.00	0.0
EPOCH INV MGMT	030	VR	S	66,740	34.76	n/a	n/a	2,002.20	0.0
PATTEN & PATTEN	025	VV	B	625	78.05	n/a	n/a	31.25	0.0
PATTEN & PATTEN	025	V	S	20	180.03	n/a	11-Jun	1.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	12,800	24.18		n/a n/a	384.00	0.0
T. ROWE PRICE	243	WY	B	384,850	27.60	n/a	19-Jun	11,545.50	0.0
TUDOR INVESTORS	028	WY	B	5,000	27.40	n/a	19-Jun	150.00	0.0
PERRY PARTNERS	085	XLE	SS	52,600	82.52	n/a	n/a	2,630.00	0.0
PERRY PARTNERS	085	XOP	SS	103,400	63.02	n/a	n/a	5,170.00	0.0
P.SCHOENFELD ASSET MGMT LLC041		YHOO	C	50,000	27.42	n/a	n/a	2,000.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>59,248.61</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/08	STELLIAM INV ADV (STLLGSBULK)	086	INTC	S	100,000	22.45	n/a	n/a	5000.00 0.0
AO,CRT	08/08	STELLIAM INV ADV (STLLGSBULK)	086	INTC	S	100,000	22.45	n/a	n/a	4000.00 4.0
AO,CXL	08/08	IMPALA ASSET MMT (IMPACITI)	040	RYL	B	12,700	37.13	n/a	n/a	635.00 0.0
AO,	08/08	IMPALA ASSET MMT (IMPACITI)	040	RYL	B	12,700	37.13	n/a	n/a	508.00 0.0
AO,CXL	08/07	PIMCO (PIMC4975)	084	SAVE	S	60,000	33.83	n/a	18-Jun	2400.00 0.0
AO,	08/07	PIMCO (PIMC4975)	084	SAVE	S	60,000	33.83	n/a	18-Jun	1200.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-2,327.00</b>
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TOTAL (Trade Date) :	59,248.61
TOTAL (AO, CXL, CRT) :	-2,327.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>56,921.61</b>
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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