



Daily Compliance Activity Report

Trade Date: 08/29/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|------------|----------|--------------|-------------|------------|------------|--------------|------------|
| PATTEN & PATTEN | 025 | AAPL | B | 25 | 494.01 | n/a | n/a | 1.25 | 0.0 |
| PATTEN & PATTEN | 025 | AA | S | 600 | 7.92 | n/a | n/a | 30.00 | 0.0 |
| PATTEN & PATTEN | 025 | ABBV | B | 100 | 42.98 | n/a | n/a | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | ABT | B | 100 | 33.84 | n/a | n/a | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | AIG | B | 125 | 46.88 | n/a | n/a | 6.25 | 0.0 |
| PRIMECAP MGMT | 084 | AMGN | S | 8,000 | 109.41 | n/a | n/a | 320.00 | 0.0 |
| PATTEN & PATTEN | 025 | APC | B | 70 | 92.37 | n/a | 13-Jun | 3.50 | 0.0 |
| PATTEN & PATTEN | 025 | AXP | B | 100 | 72.49 | n/a | 19-Jun | 5.00 | 0.0 |
| COHE & STEERS | 041 | BEE | S | 103,872 | 8.33 | n/a | n/a | 2,077.44 | 0.0 |
| LISTED ERR | 099 | BEE | S | 1,100 | 8.26 | n/a | n/a | 0.00 | 0.0 |
| GEORGE WEISS | 278 | BHP | B | 22,100 | 63.09 | n/a | n/a | 663.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | BKE | SS | 10,000 | 51.91 | n/a | n/a | 500.00 | 0.0 |
| 1798 CAP/LOMBARD ASSET | 040 | BONT | S | 25,000 | 11.10 | n/a | 18-Jun | 1,250.00 | 0.0 |
| BERYLSON CAPITAL | 030 | BONT | B | 44,800 | 11.10 | n/a | 18-Jun | 1,344.00 | 0.0 |
| PROVIDENCE EQUITY CAP. MKTS. | 040 | CBB | S | 194,000 | 3.03 | n/a | n/a | 3,880.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| KEY ASSET MGMT/VICTORY | 220 | CCE | S | 15,850 | 36.73 | n/a | n/a | 634.00 | 0.0 |
| PATTEN & PATTEN | 025 | CL | B | 100 | 57.46 | n/a | 17-Jun | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | CNI | S | 100 | 94.53 | n/a | n/a | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | CP | B | 100 | 118.54 | n/a | n/a | 5.00 | 0.0 |
| BRIGADE CAPITAL MGMT | 029 | CWH | S | 25,000 | 24.62 | n/a | n/a | 750.00 | 0.0 |
| PATTEN & PATTEN | 025 | DD | B | 100 | 56.81 | n/a | n/a | 5.00 | 0.0 |
| MACELLUM CAPITAL | 086 | DECK | B | 17,000 | 59.11 | n/a | n/a | 510.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 085 | DFT | S | 1,650 | 22.70 | n/a | n/a | 66.00 | 0.0 |
| BNP PARIBAS SEC | 040 | DHI | S | 20,000 | 17.80 | n/a | n/a | 600.00 | 0.0 |
| PATTEN & PATTEN | 025 | DIS | B | 100 | 61.41 | n/a | n/a | 5.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | DKS | S | 39,800 | 46.67 | n/a | 19-Jun | 1,990.00 | 0.0 |
| FIFTH THIRD BANK/FREEMAN | 047 | DOV | B | 4,566 | 86.02 | n/a | n/a | 182.64 | 0.0 |
| PATTEN & PATTEN | 025 | DOW | S | 200 | 37.35 | n/a | n/a | 10.00 | 0.0 |
| PATTEN & PATTEN | 025 | EEM | B | 200 | 37.75 | n/a | n/a | 10.00 | 0.0 |
| PATTEN & PATTEN | 025 | EFG | B | 175 | 64.21 | n/a | n/a | 8.75 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| PATTEN & PATTEN | 025 | EMR | B | 100 | 60.90 | n/a | n/a | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | ETN | B | 100 | 64.14 | n/a | 12-Jun | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | EWG | S | 400 | 25.85 | n/a | n/a | 20.00 | 0.0 |
| PATTEN & PATTEN | 025 | EZU | B | 500 | 35.07 | n/a | n/a | 25.00 | 0.0 |
| PATTEN & PATTEN | 025 | FCX | B | 375 | 30.55 | n/a | n/a | 18.75 | 0.0 |
| MERRILL ASSET/BLACKROCK | 085 | FII | S | 1,790 | 27.60 | n/a | 2-Mar | 71.60 | 0.0 |
| BNP PARIBAS SEC | 040 | FRAN | S | 50,000 | 24.44 | n/a | n/a | 1,500.00 | 0.0 |
| NEUBERGER BERMAN | 036 | FWRD | S | 3,000 | 37.20 | n/a | n/a | 120.00 | 0.0 |
| GEORGE WEISS | 278 | F | SS | 10,000 | 16.46 | n/a | 19-Jun | 300.00 | 0.0 |
| TUDOR INVESTORS | 028 | F | SS | 35,000 | 16.51 | n/a | 19-Jun | 1,050.00 | 0.0 |
| MACELLUM CAPITAL | 086 | GCO | SS | 7,862 | 63.50 | n/a | n/a | 235.86 | 0.0 |
| CASTLEROCK | 040 | GES | SS | 26,303 | 30.67 | n/a | 31-May | 1,052.12 | 0.0 |
| CORTEX CAPITAL | 031 | GES | SS | 25,000 | 30.44 | n/a | 31-May | 750.00 | 0.0 |
| OZ MGMT | 040 | GES | SS | 90,962 | 30.45 | n/a | 31-May | 2,728.86 | 0.0 |
| PATTEN & PATTEN | 025 | GE | B | 500 | 23.20 | n/a | n/a | 25.00 | 0.0 |
| ARDSLEY PARTNERS | 280 | GRMN | B | 50,000 | 41.90 | n/a | n/a | 2,500.00 | 0.0 |
| KEY ASSET MGMT/VICTORY | 220 | HOLX | S | 8,950 | 21.50 | n/a | n/a | 358.00 | 0.0 |

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|-----------------------------------|------------|-------------|----------|---------------|-------------|------------|---------------|-----------------|------------|
| PATTEN & PATTEN | 025 | HON | B | 75 | 80.28 | n/a | 19-Apr | 3.75 | 0.0 |
| PATTEN & PATTEN | 025 | IJH | B | 100 | 119.45 | n/a | n/a | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | IXN | B | 100 | 72.57 | n/a | n/a | 5.00 | 0.0 |
| PATTEN & PATTEN | 025 | IYG | B | 160 | 73.01 | n/a | n/a | 8.00 | 0.0 |
| DEPRINCE, RACE & ZOLLO | 093 | JBLU | B | 50,000 | 6.24 | n/a | 18-Jun | 2,000.00 | 0.0 |
| PATTEN & PATTEN | 025 | KO | B | 315 | 38.19 | n/a | 17-Jun | 15.75 | 0.0 |
| PATTEN & PATTEN | 025 | KRE | B | 325 | 35.72 | n/a | n/a | 16.25 | 0.0 |
| STRONG/MARK GRONET | 030 | LCC | B | 15,000 | 16.03 | n/a | 18-Jun | 600.00 | 0.0 |
| TUDOR INVESTORS | 028 | LEA | B | 5,000 | 69.19 | n/a | 19-Jun | 150.00 | 0.0 |
| BNP PARIBAS SEC | 040 | LEN | S | 25,000 | 32.88 | n/a | n/a | 750.00 | 0.0 |
| BNP PARIBAS SEC | 040 | LOW | B | 20,000 | 46.69 | n/a | n/a | 600.00 | 0.0 |
| PATTEN & PATTEN | 025 | LOW | B | 250 | 46.72 | n/a | n/a | 12.50 | 0.0 |
| NOMURA/ANGEL LANE PRINCIPAL | 040 | LPX | B | 50,000 | 15.26 | n/a | 19-Jun | 1,500.00 | 0.0 |
| PARKWEST | 084 | LRN | SS | 17,500 | 36.13 | n/a | n/a | 700.00 | 0.0 |
| KEY ASSET MGMT/VICTORY | 220 | LSI | S | 26,400 | 7.51 | n/a | n/a | 1,056.00 | 0.0 |
| PATTEN & PATTEN | 025 | MCD | B | 60 | 95.02 | n/a | 17-Jun | 3.00 | 0.0 |

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|---------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-------|-----|
| PATTEN & PATTEN | 025 | MIC | S | 100 | 53.33 | n/a | n/a | 5.00 | 0.0 | |
| GEORGE WEISS | 278 | MKC | B | 30,000 | 67.56 | n/a | n/a | 900.00 | 0.0 | |
| PATTEN & PATTEN | 025 | MMM | B | 50 | 113.55 | n/a | n/a | 2.50 | 0.0 | |
| NEUBERGER BERMAN | 036 | MMS | B | 5,700 | 37.89 | n/a | n/a | 228.00 | 0.0 | |
| GEORGE WEISS | 278 | MT | SS | 80,000 | 13.01 | n/a | n/a | 2,400.00 | 0.0 | |
| ARDSLEY PARTNERS | 280 | MU | B | 50,000 | 13.45 | n/a | n/a | 2,500.00 | 0.0 | |
| PATTEN & PATTEN | 025 | MWV | B | 325 | 36.32 | n/a | 18-Jun | 16.25 | 0.0 | |
| ADAGE CAPITAL MGMT | 030 | M | B | 65,768 | 44.61 | n/a | 18-Jun | 1,973.04 | 0.0 | |
| BALYASNY ASSET MGMT | 044 | M | B | 150,000 | 44.76 | n/a | 18-Jun | 7,500.00 | 0.0 | |
| PATTEN & PATTEN | 025 | M | B | 160 | 44.86 | n/a | 18-Jun | 8.00 | 0.0 | |
| SCOPUS FUND | 041 | M | B | 25,000 | 44.47 | n/a | 18-Jun | 1,000.00 | 0.0 | |
| STRONG/MARK GRONET | 030 | NCI | S | 10,000 | 14.04 | n/a | n/a | 400.00 | 0.0 | |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | NE | B | 1,000 | 37.88 | | n/a | n/a | 30.00 | 0.0 |
| PATTEN & PATTEN | 025 | NSC | B | 100 | 72.82 | n/a | n/a | 5.00 | 0.0 | |
| CAPITAL GUARDIAN /INTN'L | 084 | NWL | B | 59,100 | 25.50 | n/a | n/a | 2,068.50 | 0.0 | |
| KINGDON ASSET MGMT | 041 | PEP | B | 15,000 | 79.27 | n/a | n/a | 600.00 | 0.0 | |
| PATTEN & PATTEN | 025 | PEP | B | 75 | 79.26 | n/a | n/a | 3.75 | 0.0 | |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|--------|-----|----------|--------------|-----|
| PARKWEST | 084 | PETS | SS | 25,000 | 15.68 | n/a | n/a | 1,000.00 | 0.0 |
| PATTEN & PATTEN | 025 | PG | B | 100 | 77.57 | n/a | 17-Jun | 5.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 085 | PNFP | S | 16,433 | 28.23 | n/a | n/a | 657.32 | 0.0 |
| CALA | 041 | PX | B | 35,000 | 116.52 | n/a | n/a | 1,050.00 | 0.0 |
| KEY ASSET MGMT/VICTORY | 220 | RMD | S | 4,625 | 48.11 | n/a | n/a | 185.00 | 0.0 |
| PATTEN & PATTEN | 025 | RSG | B | 175 | 33.12 | n/a | n/a | 8.75 | 0.0 |
| PATTEN & PATTEN | 025 | SLB | B | 100 | 81.93 | n/a | n/a | 5.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | SSI | S | 13,900 | 18.86 | n/a | 18-Jun | 556.00 | 0.0 |
| BRANDWINE | 028 | STX | B | 175,000 | 38.02 | n/a | n/a | 7,000.00 | 0.0 |
| KEY ASSET MGMT/VICTORY | 220 | TFX | S | 2,225 | 77.51 | n/a | n/a | 89.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 085 | THG | B | 2,730 | 54.65 | n/a | n/a | 109.20 | 0.0 |
| PATTEN & PATTEN | 025 | TIF | S | 200 | 77.01 | n/a | n/a | 10.00 | 0.0 |
| BNP PARIBAS SEC | 040 | TMV | B | 10,000 | 72.08 | n/a | n/a | 300.00 | 0.0 |
| TUDOR INVESTORS | 028 | TRW | B | 5,000 | 69.52 | n/a | n/a | 150.00 | 0.0 |
| WALL STREET CAPITAL | 084 | TTS | S | 43,283 | 26.67 | n/a | n/a | 1,947.74 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | | |
|---------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|----------|-----|
| NEUBERGER BERMAN | 036 | TXRH | B | 20,166 | 25.23 | n/a | n/a | 806.64 | 0.0 | |
| PATTEN & PATTEN | 025 | UTX | B | 120 | 100.60 | n/a | n/a | 6.00 | 0.0 | |
| KEYGROUP/KGLT | 040 | VALE | SS | 25,000 | 14.65 | n/a | n/a | 1,000.00 | 0.0 | |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | VOD | B | 75,000 | 31.79 | | n/a | n/a | 2,250.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | VOD | B | 32,500 | 31.83 | n/a | n/a | 975.00 | 0.0 | |
| SENATOR INVESTMENT GROUP | 287 | VOD | B | 400,000 | 31.80 | n/a | n/a | 12,000.00 | 0.0 | |
| PATTEN & PATTEN | 025 | V | B | 65 | 175.39 | n/a | 11-Jun | 3.25 | 0.0 | |
| HERRING CREEK CAPITAL MGMT LLC | 040 | WGO | S | 6,396 | 23.05 | | n/a | n/a | 191.88 | 0.0 |
| PATTEN & PATTEN | 025 | WMT | B | 100 | 72.61 | n/a | 16-May | 5.00 | 0.0 | |
| TYVOR CAPITAL LLC | 031 | WSM | S | 675 | 57.20 | n/a | n/a | 20.25 | 0.0 | |
| PATTEN & PATTEN | 025 | WY | B | 425 | 27.82 | n/a | 19-Jun | 21.25 | 0.0 | |
| PATTEN & PATTEN | 025 | XBI | B | 100 | 120.50 | n/a | n/a | 5.00 | 0.0 | |
| PATTEN & PATTEN | 025 | XOM | S | 100 | 88.49 | n/a | n/a | 5.00 | 0.0 | |
| TOTAL (Trade Date) : | | | | | | | | 83,069.59 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,CXL | 08/28 | FINDLAY PARK PART (FINDAMERS) | 085 | BK | B | 154,000 | 29.80 | n/a | 6-Jun | 89.40 0.0 |
| AO,CRT | 08/28 | FINDLAY PARK PART (FINDAMERS) | 085 | BK | B | 154,000 | 29.80 | n/a | 6-Jun | 6883.98 0.0 |
| AO,CXL | 08/28 | FINDLAY PARK PART (FINDRIT) | 085 | BK | B | 2,000 | 29.80 | n/a | 6-Jun | 6883.98 0.0 |
| AO,CRT | 08/28 | FINDLAY PARK PART (FINDRIT) | 085 | BK | B | 2,000 | 29.80 | n/a | 6-Jun | 89.40 0.0 |

TOTAL (AO, CXL, CRT) :**0.00**

TOTAL (Trade Date) :

83,069.59

TOTAL (AO, CXL, CRT) :

0.00

TOTAL (RUN DATE) / NFS:**83,069.59**

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