

Daily Compliance Activity Report Trade Date: 07/22/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
PATTEN & PATTEN	025	AAPL	В	40	427.14	n/a	n/a	2.00	0.0
PATTEN & PATTEN	025	AA	S	31,500	8.10	n/a	n/a	1,575.00	0.0
LEVIN CAPITAL STRATEGIES	041	ABX	С	7,500	17.39	n/a	n/a	225.00	0.0
SANDLER O'NEILL ASSET	031	AF	S	15,406	12.30	n/a	18-Apr	770.30	0.0
PATTEN & PATTEN	025	AGU	В	50	89.03	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	AIG	В	150	47.39	n/a	n/a	7.50	0.0
CUMBERLAND	033	ALLT	S	20,000	14.89	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	APC	В	162	91.85	n/a	13-Jun	8.10	0.0
PATTEN & PATTEN	025	APD	S	200	97.83	n/a	n/a	10.00	0.0
ROSEDALE CAPITAL	046	AXL	В	10,000	19.61	n/a	19-Jun	500.00	0.0
TALON ASSET MGMT.	006	AXL	В	5,000	19.53	n/a	19-Jun	250.00	0.0
PATTEN & PATTEN	025	AXP	В	4,750	75.03	n/a	19-Jun	237.50	0.0
PATTEN & PATTEN	025	ВА	В	600	107.06	n/a	11-Jun	30.00	0.0
PATTEN & PATTEN	025	BBT	S	200	35.38	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	BDBD	В	45,300	13.80	n/a	n/a	2,265.00	0.0

Account	RR #	G1 1	- /-							-
		Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
PATTEN & PATTEN	025	ВТО	В	150	23.84	n/a	n/a	7.50	0.0	
PATTEN & PATTEN	025	CAT	S	21,890	85.93	n/a	11-Jul	1,094.50	0.0	
PATTEN & PATTEN	025	CBT	В	8,758	39.99	n/a	n/a	437.90	0.0	
PATTEN & PATTEN	025	CMI	В	50	118.07	n/a	n/a	2.50	0.0	
PATTEN & PATTEN	025	CNI	S	290	101.94	n/a	n/a	14.50	0.0	
PATTEN & PATTEN	025	CTXS	В	950	66.01	n/a	n/a	47.50	0.0	
BTG PACTUAL	040	CVC	SS	15,000	18.87	n/a	n/a	450.00	0.0	
MERRILL ASSET/BLACKROCK	085	DFS	В	7,400	50.60	n/a	19-Jun	296.00	0.0	
PATTEN & PATTEN	025	DKS	В	150	51.66	n/a	19-Jun	7.50	0.0	
PATTEN & PATTEN	025	DOW	В	500	34.75	n/a	n/a	25.00	0.0	
PATTEN & PATTEN	025	D	S	400	59.88	n/a	n/a	20.00	0.0	
						,		0=0		
				•		•	_			
TALON ASSET MGMT.	000	LAI	55	3,000	39.40	II/a	15-мау	230.00	0.0	
PATTEN & PATTEN	025	ECA	S	800	17.46	n/a	n/a	40.00	0.0	
PATTEN & PATTEN	025	EEM	В	300	39.69	n/a	n/a	15.00	0.0	
CLOVIS CAPITAL	033	EMR	В	30,000	60.47	n/a	n/a	1,500.00	0.0	
	PATTEN & PATTEN BTG PACTUAL MERRILL ASSET/BLACKROCK PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN SPARTAN TALON ASSET MGMT. PATTEN & PATTEN CLOVIS CAPITAL	PATTEN & PATTEN 025 BTG PACTUAL 040 MERRILL ASSET/BLACKROCK 085 PATTEN & PATTEN 025 PATTEN & PATTEN 025 PATTEN & PATTEN 025 SPARTAN 093 TALON ASSET MGMT. 006 PATTEN & PATTEN 025 PATTEN & PATTEN 025	PATTEN & PATTEN 025 CAT PATTEN & PATTEN 025 CBT PATTEN & PATTEN 025 CMI PATTEN & PATTEN 025 CNI PATTEN & PATTEN 025 CTXS BTG PACTUAL 040 CVC MERRILL ASSET/BLACKROCK 085 DFS PATTEN & PATTEN 025 DKS PATTEN & PATTEN 025 DOW PATTEN & PATTEN 025 D SPARTAN 093 EAT TALON ASSET MGMT. 006 EAT PATTEN & PATTEN 025 ECA PATTEN & PATTEN 025 ECA	PATTEN & PATTEN 025 CAT S PATTEN & PATTEN 025 CBT B PATTEN & PATTEN 025 CMI B PATTEN & PATTEN 025 CNI S PATTEN & PATTEN 025 CTXS B BTG PACTUAL 040 CVC SS MERRILL ASSET/BLACKROCK 085 DFS B PATTEN & PATTEN 025 DKS B PATTEN & PATTEN 025 DOW B PATTEN & PATTEN 025 D S SPARTAN 093 EAT SS TALON ASSET MGMT. 006 EAT SS PATTEN & PATTEN 025 ECA S PATTEN & PATTEN 025 ECA S	PATTEN & PATTEN 025 CBT B 8,758 PATTEN & PATTEN 025 CMI B 50 PATTEN & PATTEN 025 CMI B 50 PATTEN & PATTEN 025 CNI S 290 PATTEN & PATTEN 025 CTXS B 950 BTG PACTUAL 040 CVC SS 15,000 MERRILL ASSET/BLACKROCK 085 DFS B 7,400 PATTEN & PATTEN 025 DKS B 150 PATTEN & PATTEN 025 DW B 500 PATTEN & PATTEN 025 DW B 500 PATTEN & PATTEN 025 D S 400 SPARTAN 093 EAT SS 9,000 TALON ASSET MGMT. 006 EAT SS 5,000 PATTEN & PATTEN 025 ECA S 800 PATTEN & PATTEN 025 ECA S 800	PATTEN & PATTEN 025 CAT S 21,890 85.93 PATTEN & PATTEN 025 CBT B 8,758 39.99 PATTEN & PATTEN 025 CMI B 50 118.07 PATTEN & PATTEN 025 CNI S 290 101.94 PATTEN & PATTEN 025 CTXS B 950 66.01 BTG PACTUAL 040 CVC SS 15,000 18.87 MERRILL ASSET/BLACKROCK 085 DFS B 7,400 50.60 PATTEN & PATTEN 025 DKS B 150 51.66 PATTEN & PATTEN 025 DW B 500 34.75 PATTEN & PATTEN 025 D S 400 59.88 SPARTAN 093 EAT SS 9,000 39.16 TALON ASSET MGMT. 006 EAT SS 5,000 39.46 PATTEN & PATTEN 025 ECA S 800 17.46 PATTEN & PATTEN 025 ECA S 800 17.46 PATTEN & PATTEN 025 EEM B 300 39.69	PATTEN & PATTEN 025 CAT S 21,890 85.93 n/a PATTEN & PATTEN 025 CBT B 8,758 39.99 n/a PATTEN & PATTEN 025 CMI B 50 118.07 n/a PATTEN & PATTEN 025 CNI S 290 101.94 n/a PATTEN & PATTEN 025 CTXS B 950 66.01 n/a BTG PACTUAL 040 CVC SS 15,000 18.87 n/a MERRILL ASSET/BLACKROCK 085 DFS B 7,400 50.60 n/a PATTEN & PATTEN 025 DKS B 150 51.66 n/a PATTEN & PATTEN 025 DW B 500 34.75 n/a SPATTAN 093 EAT SS 9,000 39.16 n/a SPARTAN 093 EAT SS 9,000 39.16 n/a PATTEN & PATTEN 025 ECA S 800 17.46 n/a PATTEN & PATTEN 025 ECA S 800 17.46 n/a PATTEN & PATTEN 025 ECA S 800 17.46 n/a	PATTEN & PATTEN 025 CAT S 21,890 85.93	PATTEN & PATTEN 025 CAT S 21,890 85.93	PATTEN & PATTEN 025 CAT S 21,890 85.93

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
PARAMETER CAPITAL MGMT LI	C044	ETN	В	20,000	68.52	n/a	12-Jun	600.00	0.0
PATTEN & PATTEN	025	EWC	S	45,410	28.15	n/a	n/a	2,270.50	0.0
PATTEN & PATTEN	025	EWZ	S	21,750	44.46	n/a	n/a	1,087.50	0.0
PATTEN & PATTEN	025	FCX	S	200	29.16	n/a	n/a	10.00	0.0
CUMBERLAND	033	FSL	В	20,000	15.53	n/a	n/a	600.00	0.0
FORTRESS INVESTMENT (US)	036	GD	S	23,800	84.16	n/a	5-Apr	476.00	0.0
TYVOR CAPITAL LLC	031	GPS	В	12,000	45.07	n/a	n/a	360.00	0.0
PATTEN & PATTEN	025	НМС	S	300	39.30	n/a	n/a	15.00	0.0
CUMBERLAND	033	HNR	S	10,000	4.79	n/a	n/a	300.00	0.0
FORTRESS INVESTMENT (US)	036	HON	S	48,000	83.01	n/a	19-Apr	960.00	0.0
CRAMER ROSENTHAL	070	Н	S	27,330	42.06	n/a	13-Jun	1,093.20	0.0
PATTEN & PATTEN	025	IBM	В	50	194.17	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	INTC	В	600	22.92	n/a	n/a	30.00	0.0
BTG PACTUAL	040	JBLU	S	14,200	6.77	n/a	18-Jun	426.00	0.0
PATTEN & PATTEN	025	JWN	В	150	62.07	n/a	18-Jun	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
TYVOR CAPITAL LLC	031	JWN	В	8,000	62.12	n/a	18-Jun	240.00	0.0
PATTEN & PATTEN	025	KMB	S	2,000	97.99	n/a	17-Jun	100.00	0.0
PATTEN & PATTEN	025	KMI	В	152	39.57	n/a	n/a	7.60	0.0
SCOPUS FUND	041	LAD	В	15,000	59.29	n/a	n/a	600.00	0.0
HERRING CREEK CAPITAL MGM	T LLC040	LL	С	7,0	000 87.34	r	n/a n/a	210.	.00 0.0
PATTEN & PATTEN	025	LOW	В	350	44.66	n/a	n/a	17.50	0.0
MERRILL ASSET/BLACKROCK	085	LUK	S	41,000	27.71	n/a	n/a	1,640.00	0.0
FORTRESS INVESTMENT (US)	036	МНК	В	17,000	115.86	n/a	n/a	340.00	0.0
PATTEN & PATTEN	025	MMM	В	66	116.07	n/a	n/a	3.30	0.0
PATTEN & PATTEN	025	MOS	В	60,850	53.95	n/a	n/a	3,042.50	0.0
PATTEN & PATTEN	025	MRK	В	14	48.22	n/a	n/a	0.70	0.0
PATTEN & PATTEN	025	MWV	В	27,710	36.74	n/a	18-Jun	1,385.50	0.0
PATTEN & PATTEN	025	NEE	S	2,600	84.90	n/a	n/a	130.00	0.0
PATTEN & PATTEN	025	NKE	В	47,090	63.39	n/a	19-Jun	2,354.50	0.0
PATTEN & PATTEN	025	NOK	В	71,150	3.99	n/a	n/a	3,557.50	0.0
PATTEN & PATTEN	025	NUAN	S	1,500	18.93	n/a	n/a	75.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr.
CUMBERLAND	033	OVTI	В	7,000	17.42	n/a	n/a	210.00	0.0
PATTEN & PATTEN	025	PFE	В	1,090	29.31	n/a	n/a	54.50	0.0
PATTEN & PATTEN	025	РНО	S	200	23.55	n/a	n/a	10.00	0.0
FORTRESS INVESTMENT (US)	036	РН	В	19,400	102.88	n/a	n/a	388.00	0.0
PATTEN & PATTEN	025	PIO	S	4,000	20.10	n/a	n/a	200.00	0.0
CORNERSTONE	030	PM	В	108,629	89.51	n/a	n/a	3,258.87	0.0
PATTEN & PATTEN	025	QCOM	В	75	62.10	n/a	n/a	3.75	0.0
PRIMECAP MGMT	084	QGEN	В	4,500	20.56	n/a	n/a	180.00	0.0
PATTEN & PATTEN	025	RHHBY	S	500	62.27	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	RKT	S	1,160	108.75	n/a	17-Jun	58.00	0.0
LEVIN CAPITAL STRATEGIES	041	SLW	С	5,000	22.43	n/a	n/a	150.00	0.0
									0.0
PATTEN & PATTEN	025	SPY	В	250	169.45	n/a	n/a	12.50	0.0
T. ROWE PRICE	243	SSI	В	2,307	23.28	n/a	18-Jun	92.28	0.0
S.A.C. CAPITAL	044	STRA	В	34,814	50.89	n/a	n/a	1,044.42	0.0
CUMBERLAND	033	SWKS	S	25,000	23.52	n/a	n/a	750.00	0.0
	CUMBERLAND PATTEN & PATTEN PATTEN & PATTEN FORTRESS INVESTMENT (US) PATTEN & PATTEN CORNERSTONE PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN LEVIN CAPITAL STRATEGIES CUMBERLAND PATTEN & PATTEN T. ROWE PRICE S.A.C. CAPITAL	CUMBERLAND 033 PATTEN & PATTEN 025 PATTEN & PATTEN 025 FORTRESS INVESTMENT (US) 036 PATTEN & PATTEN 025 CORNERSTONE 030 PATTEN & PATTEN 025 PRIMECAP MGMT 084 PATTEN & PATTEN 025 PATTEN & PATTEN 025 LEVIN CAPITAL STRATEGIES 041 CUMBERLAND 033 PATTEN & PATTEN 025 T. ROWE PRICE 243 S.A.C. CAPITAL 044	CUMBERLAND CUMBERLAND PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN CORNERSTONE PATTEN & PATTEN COMBERLAND PATTEN & PATTEN CUMBERLAND CUMBERLAND PATTEN CUMBERLAND CUMBERLAN	CUMBERLAND O33 OVTI B PATTEN & PATTEN O25 PHO S FORTRESS INVESTMENT (US) O36 PH B PATTEN & PATTEN O25 PIO S CORNERSTONE O30 PM B PATTEN & PATTEN O25 QCOM B PATTEN & PATTEN O25 RHHBY S PATTEN & PATTEN O25 RKT S LEVIN CAPITAL STRATEGIES O41 SLW C CUMBERLAND O33 SPY SS PATTEN & PATTEN O25 SPY B T. ROWE PRICE 243 SSI B S.A.C. CAPITAL	CUMBERLAND PATTEN & PATTEN 025 PFE B 1,090 PATTEN & PATTEN 025 PHO S 200 FORTRESS INVESTMENT (US) 036 PH B 19,400 PATTEN & PATTEN 025 PIO S 4,000 CORNERSTONE 030 PM B 108,629 PATTEN & PATTEN 025 QCOM B 75 PRIMECAP MGMT 084 QGEN B 4,500 PATTEN & PATTEN 025 RHHBY S 500 PATTEN & PATTEN 025 RKT S 1,160 CUMBERLAND PATTEN & PATTEN 033 SPY SS 10,000 PATTEN & PATTEN 025 SPY B 250 T. ROWE PRICE 243 SSI B 2,307 S.A.C. CAPITAL 044 STRA B 34,814	CUMBERLAND 033 OVTI B 7,000 17.42 PATTEN & PATTEN 025 PFE B 1,090 29.31 PATTEN & PATTEN 025 PHO S 200 23.55 FORTRESS INVESTMENT (US) 036 PH B 19,400 102.88 PATTEN & PATTEN 025 PIO S 4,000 20.10 CORNERSTONE 030 PM B 108,629 89.51 PATTEN & PATTEN 025 QCOM B 75 62.10 PRIMECAP MGMT 084 QGEN B 4,500 20.56 PATTEN & PATTEN 025 RHBY S 500 62.27 PATTEN & PATTEN 025 RKT S 1,160 108.75 LEVIN CAPITAL STRATEGIES 041 SLW C 5,000 22.43 CUMBERLAND 033 SPY SS 10,000 169.15 PATTEN & PATTEN 025 SPY B 250 169.45 T. ROWE PRICE 243 SSI B 2,307 23.28 S.A.C. CAPITAL 044 STRA B 34,814 50.89	CUMBERLAND O33 OVTI B 7,000 17.42	CUMBERLAND 033 OVTI B 7,000 17.42	CUMBERLAND 033 OVTI B 7,000 17.42

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
RIDGECREST INV MGMT LLC	028	SWY	S	7,500	25.81	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	TEVA	S	60	40.59	n/a	17-Jun	3.00	0.0
ZWEIG FUNDS	006	TIBX	S	100,000	24.09	n/a	n/a	5,000.00	0.0
PATTEN & PATTEN	025	TIF	S	550	78.86	n/a	n/a	27.50	0.0
PATTEN & PATTEN	025	TRN	В	1,375	38.52	n/a	n/a	68.75	0.0
PATTEN & PATTEN	025	TSCO	S	200	122.69	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	UNH	В	250	72.30	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	UNM	S	500	31.63	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	UTX	В	50	102.22	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	UTX	S	125	102.41	n/a	n/a	6.25	0.0
HERRING CREEK CAPITAL MGM	T LLC040	WFM	С	13,2	200 55.97	r	ı/a n/a	396.	00 0.0
PATTEN & PATTEN	025	WMT	S	800	77.96	n/a	16-May	40.00	0.0
PATTEN & PATTEN	025	WY	В	500	29.49	n/a	19-Jun	25.00	0.0
CUMBERLAND	033	XLP	SS	25 , 000	41.69	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	XOM	S	50	95.07	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	ZTS	S	287	30.36	n/a	n/a	14.35	0.0

TOTAL (Trade Date): 46,333.77

Cancel/Corrects and As-Of Trades

		Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL 07	7/19	CR INTRINIC INVESTMENT (CRINCITI)	044	BEAV	В	30,000	69.13	n/a	11-Jun	900.00	0.0
AO, CRT 07	7/19	CR INTRINSIC/CHRIS C (CRICCITI)	041	BEAV	В	30,000	69.13	n/a	11-Jun	900.00	0.0
AO, CXL 07	7/19	TYVOR CAPITAL LLC (TYVOJPM)	031	SSI	В	25,200	23.43	n/a	18-Jun	1260.00	0.0
AO, CRT 07	7/19	TYVOR CAPITAL LLC (TYVOJPM)	031	SSI	В	25,200	23.43	n/a	18-Jun	630.00	0.0

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	46,333.77 -630.00
TOTAL (RUN DATE) / NFS:	45,703.77

Legend:

O: 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