



# Daily Compliance Activity Report

Trade Date: 06/04/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	10	453.09	n/a	n/a	0.50	0.0
NWQ INVESTMENT MGMT CO	084	AIN	S	8,015	31.74	n/a	n/a	240.45	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>AIN</b>	<b>S</b>	<b>93</b>	<b>32.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	ALB	S	250	65.57	n/a	n/a	12.50	0.0
ROSEDALE CAPITAL	046	AXL	S	25,000	18.02	n/a	4-Jun	1,250.00	0.0
PATTEN & PATTEN	025	BAC	S	500	13.35	n/a	3-Jun	25.00	0.0
CSFB GLOBAL PROPRIETARY	041	BA	B	20,000	100.78	n/a	28-May	1,000.00	0.0
PATTEN & PATTEN	025	BA	B	100	100.18	n/a	28-May	5.00	0.0
<b>Õ Alice Longley</b>		<b>BKLN</b>	<b>S</b>	<b>3950</b>	<b>25.0115</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	BOBE	S	6,089	46.04	n/a	n/a	182.67	0.0
NWQ INVESTMENT MGMT CO	084	BOBE	S	12,400	46.24	n/a	n/a	372.00	0.0
PATTEN & PATTEN	025	BP	S	200	43.20	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	CAT	S	100	86.19	n/a	11-Jul	5.00	0.0
HARVEST MGMT (JMP)	029	CHS	B	15,000	17.99	n/a	5-Feb	600.00	0.0
SYMPHONY ASSET	033	CHS	S	54,310	18.00	n/a	5-Feb	1,629.30	0.0
TOCQUEVILLE	046	CKP	S	42,500	14.08	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	084	CSCO	B	2,400	24.51	n/a	26-Feb	72.00	0.0
HOLLIS CAPITAL	033	CST	B	6,000	31.24	n/a	n/a	300.00	0.0
KADE CAPITAL LLC	028	DG	B	10,000	49.93	n/a	4-Jun	400.00	0.0
OZ MGMT	040	DLTR	C	75,609	48.94	n/a	4-Jun	2,268.27	0.0
IONIC CAPITAL MANAGEMENT	041	DRH	S	14,700	9.53	n/a	n/a	441.00	0.0
PATTEN & PATTEN	025	ETN	S	50	66.37	n/a	28-May	2.50	0.0
SCOPUS FUND	041	ETN	S	40,000	65.85	n/a	28-May	1,600.00	0.0
PATTEN & PATTEN	025	EWC	S	750	27.89	n/a	n/a	37.50	0.0
ROARING BLUE LION MGMT	031	EXPR	S	43,800	21.14	n/a	n/a	1,752.00	0.0
SANDLER O'NEILL ASSET	031	FBC	B	15,900	13.72	n/a	n/a	795.00	0.0
PLATTE RIVER CAPITAL	046	FIATY	B	12,000	8.10	n/a	n/a	360.00	0.0
NWQ INVESTMENT MGMT CO	084	FOR	S	25,808	22.44	n/a	9-May	774.24	0.0
CAERUS GLOBAL	041	F	SS	13,738	16.00	n/a	4-Jun	549.52	0.0
TROUBH PART	070	F	SS	50,000	15.80	n/a	4-Jun	2,500.00	0.0
CAPITAL GROWTH MGMT.	241	GGP	S	100,000	20.19	n/a	n/a	5,000.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	GHL	C	8,900	48.07	n/a	n/a	267.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	GIII	B	10,362	49.77	n/a	n/a	414.48	0.0
FIRST NY SEC/CHRIS	041	GM	S	10,000	34.98	n/a	4-Jun	500.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	34.97	n/a	4-Jun	300.00	0.0
ROSEDALE CAPITAL	046	GM	S	5,000	34.88	n/a	4-Jun	250.00	0.0
TIDE POINT CAPITAL	028	GM	B	30,000	34.90	n/a	4-Jun	900.00	0.0
PATTEN & PATTEN	025	GXC	S	200	70.00	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	HDV	S	400	68.00	n/a	n/a	20.00	0.0
BRIGADE CAPITAL MGMT	029	HMA	S	50,000	14.33	n/a	n/a	1,500.00	0.0
IONIC CAPITAL MANAGEMENT	041	HST	S	53,800	17.54	n/a	13-Jun	1,614.00	0.0
PAULSON & CO INC	041	IWM	SS	70,000	98.58	n/a	n/a	2,800.00	0.0
FRONTIER	029	JEC	B	63,467	56.99	n/a	n/a	2,538.68	0.0
SANDLER O'NEILL ASSET	031	KEY	S	50,000	10.77	n/a	n/a	2,500.00	0.0
IONIC CAPITAL MANAGEMENT	041	LHO	S	22,300	26.01	n/a	n/a	669.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		LL	C	4,100	79.83	n/a	n/a	123.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	LPX	B	250,000	17.05		n/a 31-May	7,500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	25,000	52.27	n/a	n/a	750.00	0.0
NWQ INVESTMENT MGMT CO	084	L	B	1,500	45.66	n/a	n/a	45.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IONIC CAPITAL MANAGEMENT	041	MAR	SS	16,100	41.72	n/a	13-Jun	483.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		MCO	C	6,000	65.56	n/a	n/a	180.00	0.0
CAPITAL GROWTH MGMT.	241	MHK	S	100,000	105.95	n/a	n/a	5,000.00	0.0
PATTEN & PATTEN	025	MOO	S	300	53.50	n/a	n/a	15.00	0.0
CR INTRINIC INVESTMENT	044	M	S	60,000	48.73	n/a	21-May	1,800.00	0.0
SCOPUS FUND	041	M	SS	50,000	48.12	n/a	21-May	2,000.00	0.0
NWQ INVESTMENT MGMT CO	084	NP	S	7,217	30.95	n/a	13-May	216.51	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>NP</b>	<b>B</b>	<b>3,217</b>	<b>31.27</b>	<b>n/a</b>	<b>13-May</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>NP</b>	<b>S</b>	<b>3,217</b>	<b>30.59</b>	<b>n/a</b>	<b>13-May</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	PBCT	SS	15,000	13.86	n/a	18-Apr	750.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		PCL	B	7,000	48.00	n/a	31-May	210.00	0.0
ASCEND PARTNERS	033	PVH	S	39,682	113.12	n/a	22-Apr	1,190.46	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	5,000	98.26	n/a	15-May	250.00	0.0
SANDLER O'NEILL ASSET	031	SF	SS	25,000	35.59	n/a	n/a	1,250.00	0.0
PATTEN & PATTEN	025	SIRO	B	50	72.56	n/a	n/a	2.50	0.0
NWQ INVESTMENT MGMT CO	084	TEVA	B	2,000	38.16	n/a	3-Jun	60.00	0.0
PATTEN & PATTEN	025	TGT	S	150	72.22	n/a	23-May	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	100,000	71.78	n/a	23-May	3,000.00	0.0
NWQ INVESTMENT MGMT CO	084	TLM	B	5,000	11.73	n/a	n/a	150.00	0.0
NWQ INVESTMENT MGMT CO	084	TMS	S	5,856	14.84	n/a	n/a	175.68	0.0
TIDE POINT CAPITAL	028	TRW	S	15,000	63.21	n/a	n/a	450.00	0.0
PATTEN & PATTEN	025	TYC	S	250	33.67	n/a	26-Apr	12.50	0.0
PATTEN & PATTEN	025	V	S	25	180.49	n/a	23-May	1.25	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	12,000	20.33	n/a	n/a	360.00	0.0
IONIC CAPITAL MANAGEMENT	041	WYN	SS	2,450	58.72	n/a	n/a	73.50	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	29.66	n/a	31-May	750.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		WY	B	5,000	30.10	n/a	31-May	150.00	0.0
PATTEN & PATTEN	025	XOM	S	100	90.90	n/a	n/a	5.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>63,428.51</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	06/03	LISTED ERR (LISTED ERR)	099	AIN	B	93	32.09	n/a	n/a	0.00	0.0
AO,CXL	06/03	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	16.56	n/a	31-May	2000.00	0.0
AO,	06/03	DC CAPITAL (DCCAGOLDMA)	044	LPX	B	50,000	16.56	n/a	31-May	1500.00	0.0
AO,CXL	06/03	SMITH MGMT/ALDEN GLOBAL (SMITJPMOR)	029	LPX	B	277,000	17.01	n/a	31-May	13850.00	0.0
AO,CRT	06/03	SMITH MGMT/ALDEN GLOBAL (SMITJPMOR)	029	LPX	B	277,000	17.01	n/a	31-May	8310.00	3.0
AO,	06/03	ROYCE TRADING (ROYC461)	031	UNT	B	513	44.92	n/a	3-Jun	25.65	0.0
AO,	06/03	ROYCE TRADING (ROYC56)	031	UNT	B	4,000	44.92	n/a	3-Jun	200.00	0.0
AO,	06/03	ROYCE TRADING (ROYC6)	031	UNT	B	17,400	44.92	n/a	3-Jun	870.00	0.0
AO,	06/03	ROYCE TRADING (ROYC6)	031	UNT	B	1,000	44.92	n/a	3-Jun	50.00	0.0
AO,	06/03	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)006	WTSL	S	21,400	4.84	n/a	n/a	1070.00	0.0	
AO,CXL	06/03	TIEDEMANN/TIG ADVISORS LLC (TIEDGS)	006	WTSL	S	21,400	4.84	n/a	n/a	1070.00	0.0
TOTAL (AO, CXL, CRT) :										-4,894.35	
TOTAL (Trade Date) :										63,428.51	
TOTAL (AO, CXL, CRT) :										-4,894.35	
TOTAL (RUN DATE) / NFS:										58,534.16	

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