



Daily Compliance Activity Report

Trade Date: 07/24/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	S	150,000	5.50	n/a	n/a	4,500.00	0.0
PATTEN & PATTEN	025	AA	S	22,000	8.02	n/a	n/a	1,100.00	0.0
ARDSLEY PARTNERS	280	AGU	SS	5,000	87.93	n/a	n/a	250.00	0.0
STRONG/MARK GRONET	030	ALK	S	5,000	62.12	n/a	n/a	200.00	0.0
PATTEN & PATTEN	025	APC	S	100	89.95	n/a	13-Jun	5.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	B	5,000	14.51		n/a	n/a	150.00 0.0
DC CAPITAL	044	ATI	B	1,200	25.75	n/a	11-Jun	48.00	0.0
TALON ASSET MGMT.	006	AXL	B	10,000	19.29	n/a	19-Jun	500.00	0.0
PATTEN & PATTEN	025	AXP	B	225	75.16	n/a	19-Jun	11.25	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BA	B	10,000	107.85	n/a	11-Jun	300.00	0.0
PATTEN & PATTEN	025	BDBD	B	1,800	13.61	n/a	n/a	90.00	0.0
ARDSLEY PARTNERS	280	BERY	B	5,000	22.91	n/a	n/a	250.00	0.0
SCOGGIN LLC	041	BLC	S	46,000	14.01	n/a	n/a	2,300.00	0.0
PATTEN & PATTEN	025	CAT	S	1,550	83.03	n/a	11-Jul	77.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	281	CBS	B	55,000	52.31	n/a	n/a	2,750.00	0.0
PATTEN & PATTEN	025	CBT	B	195	40.13	n/a	n/a	9.75	0.0
FRONTIER	029	CCK	S	51,450	44.25	n/a	n/a	2,058.00	0.0
PATTEN & PATTEN	025	CNI	S	600	99.25	n/a	n/a	30.00	0.0
J. GOLDMAN	028	CNW	S	9,826	39.39	n/a	n/a	393.04	0.0
SAGE ASSET MGMT	025	CP	B	2,200	124.20	n/a	n/a	110.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		CSTE	SS	7,600	32.92	n/a	n/a	228.00	0.0
SCOPUS FUND	041	DG	B	35,000	54.04	n/a	4-Jun	1,400.00	0.0
SYMPHONY ASSET	033	DLPH	B	10,870	55.34	n/a	n/a	326.10	0.0
PATTEN & PATTEN	025	DUK	S	2,659	70.33	n/a	n/a	132.95	0.0
PATTEN & PATTEN	025	EWC	S	8,300	27.93	n/a	n/a	415.00	0.0
PATTEN & PATTEN	025	EWZ	S	300	44.03	n/a	n/a	15.00	0.0
DAVIDSON KEMPNER ADVISOR	281	FNP	B	40,000	23.46	n/a	n/a	2,000.00	0.0
SCOPUS FUND	041	F	SS	75,000	17.37	n/a	19-Jun	3,000.00	0.0
DAVIDSON KEMPNER ADVISOR	281	GME	B	50,000	43.24	n/a	n/a	2,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	GM	S	35,000	37.14	n/a	19-Jun	1,050.00	0.0
RIDGECREST INV MGMT LLC	028	GM	S	20,000	37.38	n/a	19-Jun	800.00	0.0
SYMPHONY ASSET	033	GM	B	8,680	37.28	n/a	19-Jun	260.40	0.0
SENATOR INVESTMENT GROUP	287	HUN	B	185,605	17.58	n/a	n/a	5,568.15	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	15,000	47.35	n/a	17-Jun	750.00	0.0
ENTRUST CAPITAL	040	IRBT	SS	5,000	35.29	n/a	n/a	250.00	0.0
PATTEN & PATTEN	025	KMB	S	50	97.99	n/a	17-Jun	2.50	0.0
SYMPHONY ASSET	033	KSS	C	19,830	53.53	n/a	18-Jun	594.90	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	34.24	n/a	6-May	1,250.00	0.0
NEWLAND CAPITAL MGT	025	LEA	S	5,000	66.35	n/a	19-Jun	200.00	0.0
TIDE POINT CAPITAL	028	LEA	B	4,500	66.85	n/a	19-Jun	135.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	32,032	17.55	n/a	19-Jun	1,601.60	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	2,968	17.58	n/a	19-Jun	148.40	0.0
J. GOLDMAN	028	MGM	S	20,000	16.13	n/a	13-Jun	800.00	0.0
ENTRUST CAPITAL	040	MNST	S	61,230	63.39	n/a	n/a	3,061.50	0.0
KINGDON ASSET MGMT	041	MNST	B	10,000	63.80	n/a	n/a	400.00	0.0
PATTEN & PATTEN	025	MOS	B	8,000	52.37	n/a	n/a	400.00	0.0
PATTEN & PATTEN	025	MWV	B	5,100	36.25	n/a	18-Jun	255.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	NKE	B	2,400	62.78	n/a	19-Jun	120.00	0.0
PATTEN & PATTEN	025	NOK	B	16,750	4.03	n/a	n/a	837.50	0.0
J. GOLDMAN	028	ODFL	B	10,181	42.64	n/a	n/a	407.24	0.0
FARALLON CAP MGMT	040	OI	S	28,500	29.75	n/a	n/a	1,140.00	0.0
PATTEN & PATTEN	025	PFE	B	3,200	29.20	n/a	n/a	160.00	0.0
CHARTERBRIDGE CAPITAL	025	PII	C	7,811	106.35	n/a	n/a	234.33	0.0
NEUBERGER BERMAN	036	PII	S	25,000	107.43	n/a	n/a	1,000.00	0.0
S.A.C. CAPITAL	044	PII	B	60,000	107.61	n/a	n/a	1,800.00	0.0
SURVEYOR CAPITAL	251	PII	SS	25,000	107.69	n/a	n/a	1,000.00	0.0
CHARTER OAK	033	PWE	B	40,000	12.32	n/a	n/a	2,000.00	0.0
PATTEN & PATTEN	025	RKT	S	320	113.10	n/a	17-Jun	16.00	0.0
DAVIDSON KEMPNER ADVISOR	281	RL	B	17,500	180.52	n/a	24-May	875.00	0.0
FARALLON CAP MGMT	040	SPY	SS	8,900	168.70	n/a	n/a	356.00	0.0
IRIDIAN ASSET MGMT.	036	STX	B	71,330	42.58	n/a	n/a	3,566.50	0.0
BESSEMER INVESTMENT	085	TEN	S	40,000	49.19	n/a	n/a	1,600.00	0.0
PATTEN & PATTEN	025	TSCO	S	50	121.04	n/a	n/a	2.50	0.0
BRONSON POINT	036	T	C	100,000	35.42	n/a	n/a	3,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	T	B	1,000	35.17	n/a	n/a	100.00	0.0
J. GOLDMAN	028	UA	B	20,000	61.94	n/a	19-Jun	800.00	0.0
PATTEN & PATTEN	025	UNM	S	200	31.61	n/a	n/a	10.00	0.0
STANDARD PACIFIC CAPITAL	084	USG	S	171,000	25.50	n/a	29-Apr	8,550.00	0.0
GREENLIGHT CAPITAL	041	VMW	C	375,000	82.44	n/a	n/a	18,750.00	0.0
FARALLON CAP MGMT	040	VNTV	SS	150,000	27.87	n/a	11-Jun	6,000.00	0.0
HOPLITE MGMT	025	VRSN	S	40,168	45.25	n/a	n/a	1,606.72	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	77.75	n/a	16-May	750.00	0.0
TRELLUS PARTNERS LP	028	WY	B	10,000	28.87	n/a	19-Jun	300.00	0.0
SYMPHONY ASSET	033	XLY	SS	15,640	59.37	n/a	n/a	469.20	0.0
TOTAL (Trade Date):								98,128.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/23	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	B	10,000	19.38	n/a	19-Jun	500.00 0.0
AO,CRT	07/23	ROSEDALE CAPITAL (ROSEJPM)	046	AXL	B	10,000	19.38	n/a	19-Jun	400.00 0.0
AO,CXL	07/23	PATTEN & PATTEN (PATTREGION)	025	CNI	S	20	99.87	n/a	n/a	1.00 0.0
AO,CRT	07/23	PATTEN & PATTEN (PATTMERR)	025	CNI	S	20	99.87	n/a	n/a	1.00 0.0
AO,CXL	07/23	ROYSTONE CAPITAL (ROYSGS)	040	GNTX	SS	50,000	23.41	n/a	19-Jun	1500.00 0.0
AO,	07/23	ROYSTONE CAPITAL (ROYSGS)	040	GNTX	SS	16,100	23.41	n/a	19-Jun	483.00 0.0
AO,	07/23	ROYSTONE CAPITAL (ROYSGS)	040	GNTX	SS	33,900	23.41	n/a	19-Jun	1017.00 0.0
AO,CXL	07/23	TIDE POINT CAPITAL (TIDEMS)	028	LEA	B	5,000	67.09	n/a	19-Jun	3.00 0.0
AO,	07/23	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	5,000	67.09	n/a	19-Jun	150.00 0.0

TOTAL (AO, CXL, CRT) :**47.00**

TOTAL (Trade Date) :

98,128.03

TOTAL (AO, CXL, CRT) :

47.00

TOTAL (RUN DATE) / NFS :**98,175.03**

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