



Daily Compliance Activity Report

Trade Date: 08/06/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	10	467.30	n/a	n/a	0.50	0.0
FOCUSED INVESTORS	084	AET	B	200	63.74	n/a	n/a	8.00	0.0
PATTEN & PATTEN	025	AGN	B	50	90.83	n/a	17-Jun	2.50	0.0
PATTEN & PATTEN	025	AIG	B	100	48.15	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	AML	B	175	17.98	n/a	n/a	8.75	0.0
TYVOR CAPITAL LLC	031	ANF	SS	24,955	49.51	n/a	n/a	748.65	0.0
PATTEN & PATTEN	025	APD	S	65	107.48	n/a	n/a	3.25	0.0
FOCUSED INVESTORS	084	AXP	B	3,900	75.62	n/a	19-Jun	156.00	0.0
PATTEN & PATTEN	025	AXP	B	50	75.87	n/a	19-Jun	2.50	0.0
PATTEN & PATTEN	025	BA	B	50	107.26	n/a	11-Jun	2.50	0.0
LATEEF MGMT	033	BBT	S	250	36.04	n/a	n/a	42.50	0.0
LATEEF MGMT	033	BDN	B	400	13.60	n/a	n/a	40.00	0.0
FOCUSED INVESTORS	084	BDX	B	200	100.26	n/a	n/a	8.00	0.0
PATTEN & PATTEN	025	BTO	B	250	23.27	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	BUD	B	75	98.26	n/a	17-Jun	3.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	BWA	SS	25,000	95.92	n/a	19-Jun	1,000.00	0.0
PATTEN & PATTEN	025	CAT	S	250	82.60	n/a	11-Jul	12.50	0.0
PATTEN & PATTEN	025	CBI	B	425	58.87	n/a	n/a	21.25	0.0
SIGMA CAPITAL ASSOCIATES	041	CLX	SS	25,000	85.43	n/a	17-Jun	750.00	0.0
PATTEN & PATTEN	025	CL	B	200	61.00	n/a	17-Jun	10.00	0.0
BESSEMER INVESTMENT	085	COL	B	55,000	74.27	n/a	11-Jun	2,200.00	0.0
PATTEN & PATTEN	025	COV	B	200	63.64	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	CSCO	B	150	26.20	n/a	26-Feb	7.50	0.0
PATTEN & PATTEN	025	CSD	B	450	39.18	n/a	n/a	22.50	0.0
CLEARLINE CAPITAL LLC	006	CSGS	SS	11,013	23.74	n/a	n/a	330.39	0.0
FOCUSED INVESTORS	084	CVS	B	500	60.26	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	CVX	B	50	123.16	n/a	n/a	2.50	0.0
LATEEF MGMT	033	DD	S	100	59.44	n/a	n/a	28.00	0.0
LATEEF MGMT	033	DE	B	200	81.69	n/a	11-Jul	50.00	0.0
PATTEN & PATTEN	025	DLR	B	100	55.42	n/a	n/a	5.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DRE	B	625	15.79	n/a	n/a	62.50	0.0
PATTEN & PATTEN	025	DUK	B	100	71.10	n/a	n/a	5.00	0.0
LATEEF MGMT	033	ENR	S	100	101.08	n/a	17-Jun	30.00	0.0
PATTEN & PATTEN	025	ETN	B	50	65.50	n/a	12-Jun	2.50	0.0
KENNEDY CAPITAL	046	FINL	B	34,230	22.17	n/a	19-Jun	1,369.20	0.0
METROPOLITAN CAPITAL	044	FL	B	8,664	35.61	n/a	19-Jun	433.20	0.0
LATEEF MGMT	033	FMER	S	300	22.57	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	FSGI	B	10,000	2.30	n/a	n/a	500.00	0.0
GEORGE WEISS	278	F	B	10,000	17.02	n/a	19-Jun	300.00	0.0
SCOPUS FUND	041	F	SS	100,000	17.05	n/a	19-Jun	4,000.00	0.0
PATTEN & PATTEN	025	GE	B	250	24.32	n/a	n/a	12.50	0.0
1798 CAP/LOMBARD ASSET	040	GM	B	10,000	36.32	n/a	19-Jun	500.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	36.04	n/a	19-Jun	300.00	0.0
MOORE CAPITAL	257	GM	S	25,000	36.27	n/a	19-Jun	750.00	0.0
OSKIE CAPITAL MGMT	224	GM	B	40,000	36.12	n/a	19-Jun	2,000.00	0.0
YORK CAPITAL	036	GM	B	250,000	36.27	n/a	19-Jun	7,500.00	0.0
FOCUSED INVESTORS	084	GS	B	100	165.72	n/a	6-May	4.00	0.0
MOORE CAPITAL	257	HD	S	30,000	79.21	n/a	n/a	900.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	IAU	B	500	12.48	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	IBM	B	25	190.74	n/a	n/a	1.25	0.0
BAIRD INVESTMENT	047	IHG	S	70,050	31.07	n/a	n/a	3,502.50	0.0
PATTEN & PATTEN	025	INTC	B	150	22.80	n/a	n/a	7.50	0.0
PATTEN & PATTEN	025	IP	S	200	48.26	n/a	17-Jun	10.00	0.0
PATTEN & PATTEN	025	IRM	B	750	28.23	n/a	n/a	37.50	0.0
Õ Nilsa Vazquez		IVR	B	1000	15.1980	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IWF	S	500	77.29	n/a	n/a	25.00	0.0
J. GOLDMAN	028	JCP	B	25,000	13.14	n/a	18-Jun	1,000.00	0.0
FOCUSED INVESTORS	084	JNJ	B	200	93.76	n/a	n/a	8.00	0.0
FOCUSED INVESTORS	084	JPM	B	400	55.59	n/a	17-Jun	16.00	0.0
LATEEF MGMT	033	JPM	S	125	55.57	n/a	17-Jun	31.25	0.0
PATTEN & PATTEN	025	JWN	B	200	59.89	n/a	18-Jun	10.00	0.0
HOLLIS CAPITAL	033	KORS	S	3,000	70.69	n/a	30-May	150.00	0.0
FOCUSED INVESTORS	084	KO	B	600	40.28	n/a	17-Jun	24.00	0.0
PATTEN & PATTEN	025	KRFT	B	397	56.71	n/a	n/a	19.85	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	LEA	S	33,100	69.63	n/a	19-Jun	993.00	0.0
BTG PACTUAL	040	LF	B	10,000	11.23	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	LOW	B	700	44.82	n/a	n/a	35.00	0.0
NEUBERGER BERMAN	036	LPI	B	12,900	24.33	n/a	n/a	516.00	0.0
COOPER CREEK PART	028	LPX	SS	10,000	16.81	n/a	19-Jun	400.00	0.0
DC CAPITAL	044	LPX	B	50,000	16.55	n/a	19-Jun	1,500.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	LPX	B	297,000	16.89		n/a 19-Jun	8,910.00	0.0
CADIAN CAPITAL	041	LTD	C	7,600	56.92	n/a	n/a	228.00	0.0
FOCUSED INVESTORS	084	MCD	B	300	98.69	n/a	17-Jun	12.00	0.0
KAM ADVISORS LLC	041	MDLZ	S	76,000	31.72	n/a	n/a	2,280.00	0.0
FOCUSED INVESTORS	084	MSFT	B	900	31.46	n/a	n/a	36.00	0.0
FOCUSED INVESTORS	084	MS	B	600	27.43	n/a	6-Jun	24.00	0.0
PATTEN & PATTEN	025	MWV	B	500	37.19	n/a	18-Jun	25.00	0.0
MACELLUM CAPITAL	086	M	SS	42,000	48.45	n/a	18-Jun	1,260.00	0.0
MOORE CAPITAL	257	M	S	25,000	48.98	n/a	18-Jun	750.00	0.0
PATTEN & PATTEN	025	NEE	B	135	86.82	n/a	n/a	6.75	0.0
FOCUSED INVESTORS	084	NKE	B	300	66.38	n/a	19-Jun	12.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	NKE	B	150	66.53	n/a	19-Jun	7.50	0.0
FOCUSED INVESTORS	084	PEP	B	400	84.99	n/a	n/a	16.00	0.0
PATTEN & PATTEN	025	PH	B	88	100.59	n/a	n/a	4.40	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	PLCM	B	10,000	9.73		n/a n/a	300.00	0.0
PATTEN & PATTEN	025	PNRA	B	50	171.17	n/a	10-Jun	2.50	0.0
CADIAN CAPITAL	041	P	C	100,000	18.99	n/a	n/a	3,000.00	0.0
PATTEN & PATTEN	025	QCOM	B	50	65.58	n/a	n/a	2.50	0.0
NOKOMIS PARTNERS	031	SATS	S	12,362	43.65	n/a	n/a	370.86	0.0
PATTEN & PATTEN	025	SE	B	200	35.43	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	SLV	B	350	18.84	n/a	n/a	17.50	0.0
LATEEF MGMT	033	SPLS	S	300	16.91	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	SRE	B	50	87.72	n/a	n/a	2.50	0.0
LATEEF MGMT	033	SWY	B	250	24.76	n/a	n/a	25.00	0.0
FOCUSED INVESTORS	084	TGT	B	400	71.61	n/a	23-May	16.00	0.0
PATTEN & PATTEN	025	TGT	B	60	71.82	n/a	23-May	3.00	0.0
S.A.C. CAPITAL	044	TGT	B	15,543	71.64	n/a	23-May	466.29	0.0
PATTEN & PATTEN	025	TRN	B	150	40.30	n/a	n/a	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	UA	C	29,000	70.04	n/a	19-Jun	870.00	0.0
FOCUSED INVESTORS	084	UNH	B	300	72.96	n/a	n/a	12.00	0.0
PATTEN & PATTEN	025	UTX	B	25	105.25	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	VNQ	B	100	68.53	n/a	n/a	5.00	0.0
RIVERPARK CAPITAL	025	WEN	B	65,336	7.45	n/a	20-May	1,960.08	0.0
FOCUSED INVESTORS	084	WFC	B	500	44.08	n/a	6-Jun	20.00	0.0
PATTEN & PATTEN	025	WFC	B	350	44.07	n/a	6-Jun	17.50	0.0
MOORE CAPITAL	257	WHR	S	20,000	134.06	n/a	n/a	600.00	0.0
FOCUSED INVESTORS	084	WLP	B	200	87.24	n/a	n/a	8.00	0.0
PATTEN & PATTEN	025	WMB	B	150	36.04	n/a	n/a	7.50	0.0
FOCUSED INVESTORS	084	WMT	B	400	77.94	n/a	16-May	16.00	0.0
LATEEF MGMT	033	WRIPRF	B	342	25.20	n/a	n/a	34.20	0.0
PATTEN & PATTEN	025	WY	B	950	28.25	n/a	19-Jun	47.50	0.0
CADIAN CAPITAL	041	YHOO	S	150,000	27.41	n/a	n/a	4,500.00	0.0
CADIAN CAPITAL	041	YUM	S	27,000	74.03	n/a	17-Jun	810.00	0.0
FOCUSED INVESTORS	084	ZMH	B	100	83.16	n/a	n/a	4.00	0.0

TOTAL (Trade Date):

59,563.12

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/02	COLUMBUS CIRCLE (COLC3050)	036	BYD	B	10,400	11.90	n/a	n/a	416.00 0.0
AO,CXL	08/05	EGS ASSOCIATES LP (EGASBANC O)	091	FL	B	700	37.72	n/a	19-Jun	28.00 0.0
AO,	08/05	EGS ASSOCIATES LP (EGASBANC O)	091	FL	B	3,500	37.72	n/a	19-Jun	175.00 0.0
AO,CXL	08/05	ROARING BLUE LION MGMT (ROARGSBTIG)	091	FL	B	2,800	37.72	n/a	19-Jun	112.00 0.0
AO,CXL	08/01	MAPLE ROW (MAPWGS)	006	LYB	B	12,500	68.48	n/a	n/a	625.00 0.0
AO,CRT	08/01	MAPLE ROW (MAPWGS)	006	LYB	B	12,500	68.48	n/a	n/a	375.00 3.0
AO,	08/05	FRIESS MGMT (FRISBRANDY)	033	ONNN	S	200,000	7.62	n/a	n/a	6000.00 0.0
AO,CXL	08/01	ROARING BLUE LION MGMT (ROARMAIN)	031	QCOM	B	42,500	64.97	n/a	n/a	2040.00 0.0
AO,CRT	08/01	ROARING BLUE LION MGMT (ROARMAIN)	031	QCOM	B	42,500	64.97	n/a	n/a	1700.00 0.0
TOTAL (AO, CXL, CRT) :										5,861.00
TOTAL (Trade Date):										59,563.12
TOTAL (AO, CXL, CRT):										5,861.00
TOTAL (RUN DATE) / NFS:										65,424.12

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