



## Daily Compliance Activity Report

Trade Date: 09/11/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	ACC	B	1,270	35.15	n/a	n/a	50.80	0.0
CYRUS CAPITAL	025	AMBC	B	10,000	18.58	n/a	n/a	300.00	0.0
BESSEMER INVESTMENT	085	ANF	B	125,000	37.35	n/a	n/a	5,000.00	0.0
LATEEF MGMT	033	ATI	S	550	29.25	n/a	11-Jun	55.00	0.0
HOLLIS CAPITAL	033	BAC	B	10,000	14.64	n/a	17-Jun	500.00	0.0
PRIMECAP MGMT	084	BIIB	S	4,000	231.28	n/a	n/a	160.00	0.0
SCHOTTENFELD ASSOC	041	BZ	B	18,500	9.14	n/a	n/a	555.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CLDT	S	3,200	19.90	n/a	n/a	96.00	0.0
LATEEF MGMT	033	DAL	S	550	22.40	n/a	18-Jun	55.00	0.0
COHE & STEERS	041	DDR	S	28,031	15.76	n/a	n/a	840.93	0.0
MACELLUM CAPITAL	086	DECK	SS	35,000	59.75	n/a	n/a	1,050.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	ETN	B	5,000	67.98	n/a	12-Jun	150.00	0.0
SUFFOLK CAPITAL MGMT	040	FDX	S	20,120	110.13	n/a	n/a	804.80	0.0
ROYSTONE CAPITAL	040	FLT	S	20,000	108.42	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	F	SS	10,000	17.42	n/a	19-Jun	300.00	0.0
KEY ASSET MGMT/VICTORY	220	GD	S	90,832	86.66	n/a	5-Apr	3,633.28	0.0
TUDOR INVESTORS	028	GM	B	5,000	36.31	n/a	19-Jun	150.00	0.0
PIMCO	084	HON	S	65,000	84.00	n/a	19-Apr	1,300.00	0.0
TUDOR INVESTORS	028	IP	SS	5,000	49.51	n/a	17-Jun	150.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		KEX	B	12,800	85.11	n/a	n/a	384.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251		LAMR	B	10,000	43.60	n/a	n/a	300.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		LEA	B	10,200	71.40	n/a	19-Jun	306.00	0.0
CAPITAL WORLD	084	LUV	S	250,000	13.83	n/a	18-Jun	8,750.00	0.0
SUFFOLK CAPITAL MGMT	040	MCD	B	8,150	97.04	n/a	17-Jun	326.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			MNRO	S	23,925	44.68	n/a	n/a	717.75 0.0
PRIMECAP MGMT	084	NKTR	B	4,100	13.30	n/a	n/a	164.00	0.0
PRIMECAP MGMT	084	NVS	S	5,000	76.46	n/a	n/a	200.00	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>NX</b>	<b>S</b>	<b>2,000</b>	<b>19.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	OI	B	1,000	30.30	n/a	n/a	100.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT) 251	PLCM	B	40,000	10.69		n/a	n/a	1,200.00	0.0
TUDOR INVESTORS	028	PNR	SS	5,000	64.08	n/a	n/a		150.00	0.0
SUFFOLK CAPITAL MGMT	040	SBUX	B	6,850	75.41	n/a	17-Jun		274.00	0.0
MERRILL ASSET/BLACKROCK	085	SF	B	29,500	42.92	n/a	n/a		1,180.00	0.0
TUDOR INVESTORS	028	TEX	B	5,000	30.89	n/a	n/a		150.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	TFSL	S	10,000	11.44		n/a	n/a	300.00	0.0
LATEEF MGMT	033	UN	B	500	38.16	n/a	n/a		50.00	0.0
SANDLER CAPITAL	028	WLK	S	102,700	102.10	n/a	n/a		5,135.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	13,300	11.45	n/a	n/a		399.00	0.0
COHE & STEERS	041	WRI	B	22,145	28.82	n/a	n/a		664.35	0.0
PRIMECAP MGMT	084	ZMH	S	3,500	81.11	n/a	n/a		140.00	0.0
TOTAL (Trade Date) :								36,640.91		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	AIG	B	250	49.55	n/a	n/a	12.50	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	AIG	B	250	49.55	n/a	n/a	12.50	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	CB	S	100	86.30	n/a	n/a	5.00	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	CB	S	100	86.30	n/a	n/a	5.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	CL	B	200	58.82	n/a	17-Jun	10.00	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	CL	B	200	58.82	n/a	17-Jun	10.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	DBD	B	400	29.42	n/a	16-Jul	20.00	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	DBD	B	400	29.42	n/a	16-Jul	20.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	GLD	S	50	131.19	n/a	n/a	2.50	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	GLD	S	50	131.19	n/a	n/a	2.50	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	HEDJ	B	250	52.56	n/a	n/a	12.50	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	HEDJ	B	250	52.56	n/a	n/a	12.50	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	IBM	S	50	186.45	n/a	n/a	2.50	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	IBM	S	50	186.45	n/a	n/a	2.50	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	IDXX	B	125	97.29	n/a	n/a	6.25	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	IDXX	B	125	97.29	n/a	n/a	6.25	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	IEV	B	250	43.09	n/a	n/a	12.50	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	IEV	B	250	43.09	n/a	n/a	12.50	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	IVV	S	200	169.44	n/a	n/a	10.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	IVV	S	200	169.44	n/a	n/a	10.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	LOW	B	200	46.89	n/a	n/a	10.00	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	LOW	B	200	46.89	n/a	n/a	10.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	MOS	B	200	44.34	n/a	n/a	10.00	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	MOS	B	200	44.34	n/a	n/a	10.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	MWV	B	350	38.23	n/a	18-Jun	17.50	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	MWV	B	350	38.23	n/a	18-Jun	17.50	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	NVS	S	75	76.02	n/a	n/a	3.75	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	NVS	S	75	76.02	n/a	n/a	3.75	0.0
AO,CXL	09/10	FIFTH THIRD BANK/FREEMAN (FTCL)	047	PCY	S	8,000	26.32	n/a	n/a	400.00	0.0
AO,	09/10	FIFTH THIRD BANK/FREEMAN (FTCL)	047	PCY	S	8,000	26.32	n/a	n/a	320.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	RYN	S	260	56.20	n/a	25-Jan	13.00	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	RYN	S	260	56.20	n/a	25-Jan	13.00	0.0
AO,	09/10	DPB CAPITAL (DPBCGS)	029	SIRI	S	5,000	3.83	n/a	n/a	250.00	0.0
AO,CXL	09/10	FIRST NEW YORK NICK (FNYNJPMBS)	029	SIRI	S	5,000	3.83	n/a	n/a	250.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	SPY	S	75	168.55	n/a	n/a	3.75	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	SPY	S	75	168.55	n/a	n/a	3.75	0.0
AO,	09/10	BLACKTHORN (BLKTCS)	047	STI	B	13,000	33.22	n/a	n/a	650.00	0.0
AO,CXL	09/10	BLACKTHORN (BLKTMS)	047	STI	B	25,000	33.22	n/a	n/a	1250.00	0.0
AO,	09/10	BLACKTHORN (BLKTMS)	047	STI	B	12,000	33.22	n/a	n/a	600.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	TSCO	S	100	128.13	n/a	n/a	5.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	TSCO	S	100	128.13	n/a	n/a	5.00	0.0
AO,CXL	09/10	PATTEN & PATTEN (PATTPERSHI)	025	V	S	25	182.08	n/a	11-Jun	1.25	0.0
AO,CRT	09/10	PATTEN & PATTEN (PATTSCHWAB)	025	V	S	25	182.08	n/a	11-Jun	1.25	0.0
AO,	09/10	BLACKTHORN (BLKTCS)	047	WFC	SS	13,000	42.01	n/a	6-Jun	650.00	0.0
AO,CXL	09/10	BLACKTHORN (BLKTMS)	047	WFC	SS	25,000	42.01	n/a	6-Jun	1250.00	0.0
AO,	09/10	BLACKTHORN (BLKTMS)	047	WFC	SS	12,000	42.01	n/a	6-Jun	600.00	0.0

**TOTAL (AO, CXL, CRT) :** **-80.00**

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**TOTAL (RUN DATE) / NFS:** **36,560.91**

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