



Daily Compliance Activity Report

Trade Date: 07/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AIG	B	300	45.11	n/a	n/a	15.00	0.0
PATTEN & PATTEN	025	AML	S	200	17.84	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	BA	B	2,550	104.06	n/a	11-Jun	127.50	0.0
PATTEN & PATTEN	025	BTO	B	100	22.09	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	CAT	S	100	82.10	n/a	11-Jul	5.00	0.0
PATTEN & PATTEN	025	CBI	B	450	60.11	n/a	n/a	22.50	0.0
PATTEN & PATTEN	025	CBT	B	200	37.86	n/a	n/a	10.00	0.0
GABELLI FUNDS	025	COH	S	16,600	57.05	n/a	30-May	498.00	0.0
PATTEN & PATTEN	025	COV	B	150	58.18	n/a	n/a	7.50	0.0
PATTEN & PATTEN	025	CSD	B	200	37.38	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	CTXS	B	400	63.18	n/a	n/a	20.00	0.0
PROSPECTOR PARTNERS LLC	036	CW	S	10,000	37.38	n/a	n/a	400.00	0.0
LEVIN CAPITAL STRATEGIES	041	DELL	B	73,272	12.93	n/a	n/a	1,465.44	0.0
PATTEN & PATTEN	025	DLR	B	50	59.30	n/a	n/a	2.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	DON	B	75	65.83	n/a	n/a	3.75	0.0
GOLD SACHS SPECIAL SIT	030	EBF	S	10,000	18.06	n/a	n/a	500.00	0.0
PATTEN & PATTEN	025	EEM	B	100	37.13	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	ETN	B	225	67.63	n/a	12-Jun	11.25	0.0
PATTEN & PATTEN	025	EWA	S	2,650	22.35	n/a	n/a	132.50	0.0
PATTEN & PATTEN	025	EWC	S	200	26.03	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	EWV	B	50	64.47	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	FCX	S	5,900	27.19	n/a	n/a	295.00	0.0
PATTEN & PATTEN	025	FLR	B	50	58.39	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	GE	B	70	23.18	n/a	n/a	3.50	0.0
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	14.47	n/a	n/a	400.00	0.0
HARVEST MGMT (JMP)	029	GNC	S	5,000	45.98	n/a	n/a	200.00	0.0
PATTEN & PATTEN	025	HDV	S	100	66.30	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	HD	B	150	78.15	n/a	n/a	7.50	0.0
SAGE ASSET MGMT	025	HD	B	2,850	77.85	n/a	n/a	142.50	0.0
PATTEN & PATTEN	025	LLY	S	250	50.37	n/a	n/a	12.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	LOW	B	225	42.62	n/a	n/a	11.25	0.0
PATTEN & PATTEN	025	MDU	B	200	26.45	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	MIC	S	150	54.17	n/a	n/a	7.50	0.0
SENATOR INVESTMENT GROUP	036	NCR	SS	65,000	33.39	n/a	n/a	1,950.00	0.0
GOLD SACHS SPECIAL SIT	030	NDZ	B	25,000	7.20	n/a	n/a	1,250.00	0.0
PATTEN & PATTEN	025	NKE	B	300	63.55	n/a	19-Jun	15.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	33.93	n/a	13-May	400.00	0.0
PATTEN & PATTEN	025	PEP	B	50	80.70	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	PH	B	25	97.45	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	PKB	B	150	18.89	n/a	n/a	7.50	0.0
PATTEN & PATTEN	025	PRU	B	50	75.42	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	QQQ	B	25	72.04	n/a	n/a	1.25	0.0
DISIPLINED GROWTH INV.	030	RCL	B	15,500	34.23	n/a	n/a	775.00	0.0
PATTEN & PATTEN	025	SLB	S	125	74.02	n/a	n/a	6.25	0.0
PATTEN & PATTEN	025	SNI	B	50	69.65	n/a	n/a	2.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GOLD SACHS SPECIAL SIT	030	SRI	S	50,000	12.36	n/a	n/a	2,500.00	0.0
PATTEN & PATTEN	025	TFM	B	25	50.84	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	TMO	B	25	85.36	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	V	S	25	190.27	n/a	11-Jun	1.25	0.0
PATTEN & PATTEN	025	WPRT	B	175	31.39	n/a	n/a	8.75	0.0
PATTEN & PATTEN	025	XLU	S	150	36.83	n/a	n/a	7.50	0.0
TOTAL (Trade Date) :								11,294.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/03	CYPRESS CAP MGMT LLC (CYPRGSPB)	040	XLE	B	25,000	78.69	n/a	n/a	1000.00 0.0
AO,	07/03	CYRUS CAPITAL (CYRUGS)	025	XLE	B	25,000	78.69	n/a	n/a	750.00 0.0

TOTAL (AO, CXL, CRT) :	-250.00
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TOTAL (Trade Date) :	11,294.44
TOTAL (AO, CXL, CRT) :	-250.00

TOTAL (RUN DATE) / NFS:	11,044.44
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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