



Daily Compliance Activity Report

Trade Date: 08/07/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	S	675	465.87	n/a	n/a	33.75	0.0
PATTEN & PATTEN	025	AAPL	S	20	465.21	n/a	n/a	1.00	0.0
PATTEN & PATTEN	025	ABBV	S	200	44.62	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	ABT	S	200	35.96	n/a	n/a	10.00	0.0
CONIFER	025	ABV	SS	10,000	37.14	n/a	n/a	400.00	0.0
EDGEWOOD	085	AGN	S	3,545	90.81	n/a	17-Jun	177.25	0.0
BROADARCH CAP/OLD NEWC	006	ALTR	B	2,000	36.19	n/a	n/a	80.00	0.0
EDGEWOOD	085	AMT	S	5,246	70.12	n/a	n/a	262.30	0.0
EDGEWOOD	085	AMZN	S	1,286	298.85	n/a	n/a	64.30	0.0
PATTEN & PATTEN	025	APC	S	100	89.35	n/a	13-Jun	5.00	0.0
OZ MGMT	040	ARCO	B	150,000	12.94	n/a	2-May	4,500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ARCO	SS	50,000	13.01	n/a	2-May	1,500.00	0.0
BROADARCH CAP/OLD NEWC	006	ASH	SS	1,000	87.67	n/a	n/a	40.00	0.0
DONALD SMITH	088	AUY	B	300,000	9.07	n/a	n/a	9,000.00	0.0
SCOPUS FUND	041	AXL	B	20,000	19.81	n/a	19-Jun	800.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	BC	S	38,100	38.44	n/a	n/a	1,143.00	0.0
BROADARCH CAP/OLD NEWC	006	CAR	SS	1,200	29.65	n/a	n/a	48.00	0.0
EDGEWOOD	085	CELG	S	4,182	141.05	n/a	n/a	209.10	0.0
EDGEWOOD	085	CME	S	5,708	71.35	n/a	28-Apr	285.40	0.0
EDGEWOOD	085	CMG	S	826	405.68	n/a	3-Jun	41.30	0.0
PATTEN & PATTEN	025	COST	S	100	119.40	n/a	n/a	5.00	0.0
CONIFER	025	CPN	B	4,000	19.48	n/a	n/a	160.00	0.0
EDGEWOOD	085	CTSH	S	3,711	73.63	n/a	n/a	185.55	0.0
BROADARCH CAP/OLD NEWC	006	C	SS	2,000	50.96	n/a	17-Jun	80.00	0.0
MOORE CAPITAL	257	DIS	S	15,000	64.33	n/a	n/a	450.00	0.0
EDGEWOOD	085	ECL	S	3,737	92.73	n/a	18-Jan	186.85	0.0
EDGEWOOD	085	EQIX	S	1,401	176.92	n/a	n/a	70.05	0.0
BROADARCH CAP/OLD NEWC	006	FAZ	B	5,500	28.84	n/a	n/a	220.00	0.0
COUGAR TRADING	044	FDO	SS	5,000	70.68	n/a	4-Jun	250.00	0.0
EDGEWOOD	085	FTI	S	4,444	53.20	n/a	n/a	222.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	F	SS	200,000	16.75	n/a	19-Jun	6,000.00	0.0
EDGEWOOD	085	GILD	S	8,480	59.88	n/a	n/a	424.00	0.0
OSKIE CAPITAL MGMT	224	GM	B	25,000	35.61	n/a	19-Jun	1,250.00	0.0
ROSEDALE CAPITAL	046	GM	B	10,000	35.65	n/a	19-Jun	400.00	0.0
YORK CAPITAL	036	GM	B	50,000	36.00	n/a	19-Jun	1,500.00	0.0
EDGEWOOD	085	GOOG	S	563	894.57	n/a	n/a	28.15	0.0
BROADARCH CAP/OLD NEWC	006	GPK	S	5,000	8.58	n/a	n/a	200.00	0.0
BROADARCH CAP/OLD NEWC	006	GPS	S	4,000	44.98	n/a	n/a	160.00	0.0
BROADARCH CAP/OLD NEWC	006	GS	S	1,000	162.89	n/a	6-May	40.00	0.0
BROADARCH CAP/OLD NEWC	006	HTZ	S	3,000	24.17	n/a	n/a	120.00	0.0
EDGEWOOD	085	IHS	S	3,283	110.91	n/a	n/a	164.15	0.0
EDGEWOOD	085	ILMN	S	4,836	78.49	n/a	n/a	241.80	0.0
EDGEWOOD	085	ISRG	S	821	390.45	n/a	n/a	41.05	0.0
CONIFER	025	LCC	B	10,000	18.86	n/a	18-Jun	400.00	0.0
BROADARCH CAP/OLD NEWC	006	LEN	S	2,000	32.84	n/a	n/a	80.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	18,000	17.30	n/a	19-Jun	900.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CSFB GLOBAL PROPRIETARY	041	LPX	S	12,000	17.35	n/a	19-Jun	600.00	0.0	
TYVOR CAPITAL LLC	031	LULU	S	15,000	72.43	n/a	19-Jun	450.00	0.0	
PATTEN & PATTEN	025	MCD	S	150	98.39	n/a	17-Jun	7.50	0.0	
WALL STREET CAPITAL	084	MHO	B	3,100	20.56	n/a	n/a	139.50	0.0	
EDGEWOOD	085	MJN	S	2,144	79.22	n/a	n/a	107.20	0.0	
PATTEN & PATTEN	025	MMM	S	125	117.74	n/a	n/a	6.25	0.0	
HIGHFIELDS CAP MGMT	030	MU	B	290,000	13.74	n/a	n/a	8,700.00	0.0	
INTERVAL PARTNERS	033	M	C	5,100	47.82	n/a	18-Jun	153.00	0.0	
FIRST NEW YORK	086	NOK	B	10,000	4.11	n/a	n/a	500.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	NUAN	S	5,000	18.56		n/a	n/a	150.00	0.0
PATTEN & PATTEN	025	NVS	S	150	73.75	n/a	n/a	7.50	0.0	
PATTEN & PATTEN	025	PEP	S	175	84.89	n/a	n/a	8.75	0.0	
PATTEN & PATTEN	025	PG	S	150	82.10	n/a	17-Jun	7.50	0.0	
ARCHON CAPITAL	033	PLCM	S	70,000	9.87	n/a	n/a	2,100.00	0.0	
FIFTH THIRD BANK/FREEMAN	047	PMF	S	20,200	12.04	n/a	n/a	606.00	0.0	
BROADARCH CAP/OLD NEWC	006	PPG	SS	1,000	160.23	n/a	n/a	40.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	PVH	S	27,930	131.03	n/a	14-Jun	837.90	0.0
BALYASNY ASSET MGMT	044	PVH	S	10,000	130.92	n/a	14-Jun	500.00	0.0
BROADARCH CAP/OLD NEWC	006	PX	SS	500	120.35	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	PX	S	150	120.42	n/a	n/a	7.50	0.0
EDGEWOOD	085	QCOM	S	5,020	65.67	n/a	n/a	251.00	0.0
PRIMECAP MGMT	084	QGEN	B	710	21.33	n/a	n/a	28.40	0.0
FRED ALGER MGMT	070	RL	B	89,530	177.25	n/a	24-May	3,223.08	0.0
BROADARCH CAP/OLD NEWC	006	RTH	SS	3,500	55.13	n/a	n/a	140.00	0.0
PIMCO	084	SAVE	S	60,000	33.83	n/a	18-Jun	1,800.00	0.0
CADIAN CAPITAL	041	SBUX	B	14,000	72.58	n/a	17-Jun	420.00	0.0
RIDGECREST INV MGMT LLC	028	SPY	SS	10,000	169.01	n/a	n/a	400.00	0.0
BROADARCH CAP/OLD NEWC	006	SSO	SS	1,500	84.83	n/a	n/a	60.00	0.0
Ñ Nilsa Vazquez		TBT	B	300	76.8160	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	TGT	S	2,500	71.49	n/a	23-May	100.00	0.0
BROADARCH CAP/OLD NEWC	006	THC	S	1,500	41.61	n/a	n/a	60.00	0.0
EDGEWOOD	085	TROW	S	4,826	74.50	n/a	n/a	241.30	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	006	TWX	B	3,000	65.14	n/a	n/a	120.00	0.0
LATEEF MGMT	033	UN	S	500	39.42	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	UTX	S	200	105.99	n/a	n/a	10.00	0.0
TUDOR INVESTORS	028	UTX	SS	3,000	105.57	n/a	n/a	90.00	0.0
EDGEWOOD	085	VIAB	S	5,430	78.91	n/a	n/a	271.50	0.0
EDGEWOOD	085	V	S	2,547	180.17	n/a	11-Jun	127.35	0.0
PATTEN & PATTEN	025	V	S	200	181.26	n/a	11-Jun	10.00	0.0
FORTRESS INVESTMENT (US)	036	WCC	SS	6,591	74.83	n/a	n/a	263.64	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	25,800	24.15		n/a	774.00	0.0
WALL STREET CAPITAL	084	WG	B	6,900	7.32	n/a	n/a	276.00	0.0
CHARTERBRIDGE CAPITAL	025	WIN	SS	100,000	8.44	n/a	n/a	3,000.00	0.0
SANDLER CAPITAL	028	WLL	S	200,000	51.27	n/a	n/a	10,000.00	0.0
PATTEN & PATTEN	025	WMT	S	200	77.51	n/a	16-May	10.00	0.0
LATEEF MGMT	033	WRIPRF	B	715	25.15	n/a	n/a	71.50	0.0
LOMAS CAPITAL	040	WY	B	105,000	27.66	n/a	19-Jun	3,150.00	0.0
OSKIE CAPITAL MGMT	224	WY	B	20,000	27.65	n/a	19-Jun	1,000.00	0.0
MOORE CAPITAL	257	XLI	S	200,000	45.23	n/a	n/a	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	006	XLNX	S	2,000	45.45	n/a	n/a	80.00	0.0
MOORE CAPITAL	257	XLY	S	150,000	59.95	n/a	n/a	4,500.00	0.0
PATTEN & PATTEN	025	XOM	S	125	91.36	n/a	n/a	6.25	0.0
EDGEWOOD	085	YUM	S	5,098	74.23	n/a	17-Jun	254.90	0.0
TOTAL (Trade Date):								84,126.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/05	PAULSON & CO INC (PAULBS)	041	SPY	SS	64,500	170.38	n/a	n/a	1935.00 0.0
AO,	08/05	PAULSON & CO INC (PAULBS)	041	SPY	SS	64,224	170.38	n/a	n/a	2568.96 0.0
AO,	08/05	PAULSON & CO INC (PAULDEUTSH)	041	SPY	SS	276	170.38	n/a	n/a	11.04 0.0

TOTAL (AO, CXL, CRT) :**645.00**

TOTAL (Trade Date):

84,126.72

TOTAL (AO, CXL, CRT):

645.00

TOTAL (RUN DATE) / NFS:**84,771.72**

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