



Daily Compliance Activity Report

Trade Date: 06/25/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	S	12	403.40	n/a	n/a	0.60	0.0
SYMPHONY ASSET	033	AEO	C	20,000	18.17	n/a	2-Dec	600.00	0.0
PATTEN & PATTEN	025	AIG	B	50	43.51	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	APC	B	112	85.07	n/a	13-Jun	5.60	0.0
BRANDWINE	028	AVX	B	49,600	11.78	n/a	n/a	1,984.00	0.0
FOCUSED INVESTORS	084	AXP	S	5,000	73.31	n/a	19-Jun	200.00	0.0
FOCUSED INVESTORS	084	BDX	S	1,500	98.02	n/a	n/a	60.00	0.0
PATTEN & PATTEN	025	BTO	B	200	19.91	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	BTU	S	500	14.40	n/a	n/a	25.00	0.0
RAINIER INV MGMT	033	BWLD	S	5,330	96.20	n/a	n/a	213.20	0.0
LISTED ERR	099	BWLD	S	6	94.58	n/a	n/a	0.00	0.0
CASTLE ARK	031	CAT	S	63,100	82.31	n/a	11-Jul	2,524.00	0.0
PATTEN & PATTEN	025	CAT	S	150	82.19	n/a	11-Jul	7.50	0.0
PATTEN & PATTEN	025	CBI	B	100	59.15	n/a	n/a	5.00	0.0
SYMPHONY ASSET	033	CLX	C	4,320	82.06	n/a	17-Jun	129.60	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CL	B	350	56.47	n/a	17-Jun	17.50	0.0
PATTEN & PATTEN	025	CSD	B	450	36.71	n/a	n/a	22.50	0.0
PATTEN & PATTEN	025	CTXS	B	150	58.51	n/a	n/a	7.50	0.0
FOCUSED INVESTORS	084	CVS	S	4,700	56.68	n/a	n/a	188.00	0.0
FOCUSED INVESTORS	084	DEO	S	1,100	115.44	n/a	n/a	44.00	0.0
PATTEN & PATTEN	025	DLR	B	75	58.34	n/a	n/a	3.75	0.0
PATTEN & PATTEN	025	EEM	B	200	37.42	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	EPP	S	75	43.65	n/a	n/a	3.75	0.0
PATTEN & PATTEN	025	ETN	B	150	63.27	n/a	12-Jun	7.50	0.0
PATTEN & PATTEN	025	FCX	S	188	27.30	n/a	n/a	9.40	0.0
SCOPUS FUND	041	FL	SS	40,000	34.65	n/a	19-Jun	1,600.00	0.0
SENATOR INVESTMENT GROUP	036	F	SS	400,000	14.92	n/a	19-Jun	12,000.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		GHL	C	10,200	44.51		n/a n/a	306.00	0.0
PATTEN & PATTEN	025	GM	B	250	31.90	n/a	19-Jun	12.50	0.0
FOCUSED INVESTORS	084	GS	S	1,600	153.22	n/a	6-May	64.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
MERRILL ASSET/BLACKROCK	085	HMN	S	23,700	24.31	n/a	n/a	948.00	0.0	
PATTEN & PATTEN	025	IEF	B	350	101.68	n/a	n/a	17.50	0.0	
PATTEN & PATTEN	025	ILF	B	75	35.17	n/a	n/a	3.75	0.0	
PATTEN & PATTEN	025	INTC	B	100	23.90	n/a	n/a	5.00	0.0	
PATTEN & PATTEN	025	IYG	B	300	70.56	n/a	n/a	15.00	0.0	
DSG CAPITAL	030	JBLU	B	30,000	6.08	n/a	18-Jun	900.00	0.0	
ROSEDALE CAPITAL	046	JBLU	B	25,000	6.07	n/a	18-Jun	1,250.00	0.0	
PATTEN & PATTEN	025	JCI	B	50	35.47	n/a	10-Jun	2.50	0.0	
FOCUSED INVESTORS	084	JNJ	S	3,200	85.38	n/a	n/a	128.00	0.0	
FOCUSED INVESTORS	084	JPM	S	4,300	52.14	n/a	17-Jun	172.00	0.0	
WINSLOW CAPITAL	030	JPM	B	284,100	51.81	n/a	17-Jun	8,523.00	0.0	
PATTEN & PATTEN	025	KMB	S	50	95.97	n/a	17-Jun	2.50	0.0	
FOCUSED INVESTORS	084	KO	S	6,800	39.82	n/a	17-Jun	272.00	0.0	
PATTEN & PATTEN	025	LOW	B	200	39.70	n/a	n/a	10.00	0.0	
SMITH MGMT/ALDEN GLOBAL		029	LPX	S	117,500	15.28	n/a	19-Jun	3,525.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	LUV	S	59,600	13.35	n/a	18-Jun	1,788.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FOCUSED INVESTORS	084	MCD	S	3,800	97.74	n/a	17-Jun	152.00	0.0
RIDGECREST INV MGMT LLC	028	MLI	B	10,000	49.36	n/a	19-Jun	400.00	0.0
FOCUSED INVESTORS	084	MMM	S	1,300	108.27	n/a	n/a	52.00	0.0
FOCUSED INVESTORS	084	MSFT	S	1,000	33.56	n/a	n/a	40.00	0.0
FOCUSED INVESTORS	084	MS	S	5,400	25.00	n/a	6-Jun	216.00	0.0
PATTEN & PATTEN	025	MWV	B	50	33.74	n/a	18-Jun	2.50	0.0
FOCUSED INVESTORS	084	NKE	S	1,700	60.66	n/a	19-Jun	68.00	0.0
PATTEN & PATTEN	025	NKE	B	200	60.69	n/a	19-Jun	10.00	0.0
PATTEN & PATTEN	025	NUAN	B	500	18.34	n/a	n/a	25.00	0.0
RAINIER INV MGMT	033	OHI	B	83,540	29.66	n/a	n/a	3,341.60	0.0
FOCUSED INVESTORS	084	PEP	S	4,800	80.04	n/a	n/a	192.00	0.0
FOCUSED INVESTORS	084	PFE	S	6,000	28.08	n/a	n/a	240.00	0.0
PATTEN & PATTEN	025	PGJ	S	650	20.00	n/a	n/a	32.50	0.0
FOCUSED INVESTORS	084	PG	S	2,100	76.94	n/a	17-Jun	84.00	0.0
PATTEN & PATTEN	025	QCOM	B	375	62.37	n/a	n/a	18.75	0.0
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	14,500	64.46	n/a	17-Jun	435.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	SPY	B	35	158.97	n/a	n/a	1.75	0.0
ROBERTSON STEVENS	084	TER	B	195,000	16.94	n/a	n/a	7,800.00	0.0
PATTEN & PATTEN	025	TOL	B	350	31.97	n/a	n/a	17.50	0.0
PAR CAPITAL	268	TRIP	B	13,408	61.32	n/a	n/a	536.32	0.0
PATTEN & PATTEN	025	TSCO	B	37	112.01	n/a	n/a	1.85	0.0
SYMPHONY ASSET	033	TUP	C	7,450	75.18	n/a	n/a	223.50	0.0
PATTEN & PATTEN	025	UA	B	50	57.63	n/a	19-Jun	2.50	0.0
FOCUSED INVESTORS	084	UNH	S	4,100	64.06	n/a	n/a	164.00	0.0
PATTEN & PATTEN	025	UNM	S	113	28.75	n/a	n/a	5.65	0.0
BAIRD INVESTMENT	047	UNP	B	1,365	153.34	n/a	n/a	68.25	0.0
PATTEN & PATTEN	025	UTX	B	50	91.71	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	UTX	S	75	91.77	n/a	n/a	3.75	0.0
PATTEN & PATTEN	025	V	S	50	180.17	n/a	11-Jun	2.50	0.0
FOCUSED INVESTORS	084	WFC	S	5,100	40.29	n/a	6-Jun	204.00	0.0
PATTEN & PATTEN	025	WFC	B	525	40.47	n/a	6-Jun	26.25	0.0
FOCUSED INVESTORS	084	WLP	S	3,600	80.26	n/a	n/a	144.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FOCUSED INVESTORS	084	WMT	S	5,700	74.63	n/a	16-May	228.00	0.0
PATTEN & PATTEN	025	WY	B	650	27.56	n/a	19-Jun	32.50	0.0
PATTEN & PATTEN	025	XLE	S	25	78.16	n/a	n/a	1.25	0.0
BNP PARIBAS SEC	040	XLF	S	50,000	19.07	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	XLP	B	75	39.47	n/a	n/a	3.75	0.0
MERRILL ASSET/BLACKROCK	085	Y	S	2,000	371.98	n/a	n/a	80.00	0.0
FOCUSED INVESTORS	084	ZMH	S	1,300	75.08	n/a	n/a	52.00	0.0
CAPITAL WORLD	084	ZQK	B	55,200	6.00	n/a	10-May	1,932.00	0.0
TOTAL (Trade Date) :								55,968.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/24	TUDOR INVESTORS (TUDRJPM PB)	028	F	B	25,000	14.46	n/a	19-Jun	7.50 0.0
AO,	06/24	TUDOR INVESTORS (TUDRJPM PB)	028	F	B	25,000	14.46	n/a	19-Jun	750.00 0.0
AO,CRT	06/24	CHARTER OAK (CHARBTIG)	033	SONS	SS	104,533	3.02	n/a	n/a	2090.66 2.0
AO,CXL	06/24	CHARTER OAK (CHARMAIN A)	033	SONS	SS	104,533	3.02	n/a	n/a	5226.65 0.0
AO,CXL	06/24	TUDOR INVESTORS (TUDRJPM PB)	028	XLI	SS	10,000	41.69	n/a	n/a	3.00 0.0
AO,	06/24	TUDOR INVESTORS (TUDRJPM PB)	028	XLI	SS	10,000	41.69	n/a	n/a	300.00 0.0

TOTAL (AO, CXL, CRT) :	-2,096.49
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TOTAL (Trade Date) :	55,968.82
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TOTAL (AO, CXL, CRT) :	-2,096.49
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TOTAL (RUN DATE) / NFS :	53,872.33
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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