



## Daily Compliance Activity Report

Trade Date: 07/01/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ADBE	S	10,100	46.72	n/a	n/a	404.00	0.0
PRIMECAP MGMT	084	AFFX	S	6,700	4.58	n/a	n/a	134.00	0.0
PRIMECAP MGMT	084	ALTR	S	15,700	33.43	n/a	n/a	628.00	0.0
PRIMECAP MGMT	084	AMAT	S	16,200	14.96	n/a	n/a	648.00	0.0
PRIMECAP MGMT	084	AMGN	S	16,900	98.50	n/a	n/a	676.00	0.0
PRIMECAP MGMT	084	ASML	S	2,550	78.53	n/a	n/a	102.00	0.0
LATEEF MGMT	033	BA	S	100	103.27	n/a	11-Jun	30.00	0.0
WHITE PINE CAPITAL	030	BA	S	4,150	103.54	n/a	11-Jun	207.50	0.0
LATEEF MGMT	033	BDN	B	300	13.73	n/a	n/a	30.00	0.0
PRIMECAP MGMT	084	BIIB	S	5,100	220.02	n/a	n/a	204.00	0.0
BASSWOOD PARTNERS	267	BK	B	39,000	28.93	n/a	6-Jun	1,170.00	0.0
PRIMECAP MGMT	084	BRKB	S	2,000	113.27	n/a	n/a	80.00	0.0
PRIMECAP MGMT	084	BSX	S	4,900	9.32	n/a	n/a	147.00	0.0
PRIMECAP MGMT	084	CB	S	1,300	85.16	n/a	n/a	52.00	0.0
SENATOR INVESTMENT GROUP	036	CMCSA	B	175,000	41.04	n/a	n/a	5,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J. GOLDMAN	028	CNW	S	12,750	39.80	n/a	n/a	510.00	0.0
LOMAS CAPITAL	040	CNW	B	36,600	39.91	n/a	n/a	1,098.00	0.0
PRIMECAP MGMT	084	CREE	S	5,900	64.30	n/a	n/a	236.00	0.0
PRIMECAP MGMT	084	CSCO	S	6,500	24.33	n/a	26-Feb	260.00	0.0
MASTERS CAPITAL MANAGE	025	DAL	S	100,000	19.49	n/a	18-Jun	4,000.00	0.0
GOLD SACHS SPECIAL SIT	030	DAN	S	130,473	20.18	n/a	19-Jun	6,523.65	0.0
BALYASNY ASSET MGMT	044	DD	C	25,000	53.12	n/a	n/a	1,250.00	0.0
IONIC CAPITAL MANAGEMENT	041	DISCA	SS	1,600	78.08	n/a	n/a	48.00	0.0
BALYASNY ASSET MGMT	044	DKS	SS	20,000	50.68	n/a	19-Jun	1,000.00	0.0
LATEEF MGMT	033	DOW	B	125	32.73	n/a	n/a	27.50	0.0
PATTEN & PATTEN	025	DUK	B	100	66.70	n/a	n/a	5.00	0.0
LATEEF MGMT	033	DVN	B	225	52.60	n/a	13-Jun	40.50	0.0
BALYASNY ASSET MGMT	044	EAT	SS	25,000	40.07	n/a	13-May	1,250.00	0.0
PRIMECAP MGMT	084	EA	S	2,000	23.20	n/a	n/a	80.00	0.0
IRIDIAN ASSET MGMT.	036	ELN	S	71,260	14.17	n/a	n/a	3,563.00	0.0
PATTEN & PATTEN	025	EMR	B	100	55.43	n/a	n/a	5.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	ETN	B	220	66.74	n/a	12-Jun	11.00	0.0
LATEEF MGMT	033	FCX	B	200	28.30	n/a	n/a	36.00	0.0
PATTEN & PATTEN	025	FCX	B	50	28.37	n/a	n/a	2.50	0.0
PRIMECAP MGMT	084	FLEX	S	3,300	7.78	n/a	n/a	99.00	0.0
PATTEN & PATTEN	025	GE	B	300	23.42	n/a	n/a	15.00	0.0
DELTEC ASSET MGMT.	040	GILD	S	5,000	52.66	n/a	n/a	250.00	0.0
CAPITAL GROWTH MGMT.	241	GM	S	200,000	33.88	n/a	19-Jun	10,000.00	0.0
CYRUS CAPITAL	025	GM	B	28,000	34.18	n/a	19-Jun	840.00	0.0
PRIMECAP MGMT	084	GOOG	S	900	890.03	n/a	n/a	36.00	0.0
ARDSLEY PARTNERS	280	GRPN	B	200,000	8.66	n/a	n/a	6,000.00	0.0
PRIMECAP MGMT	084	GSK	S	4,000	50.20	n/a	n/a	160.00	0.0
PRIMECAP MGMT	084	IBM	S	10,000	192.45	n/a	n/a	400.00	0.0
PRIMECAP MGMT	084	INTC	S	11,200	23.93	n/a	n/a	448.00	0.0
PRIMECAP MGMT	084	INTU	S	7,500	63.34	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	IXN	B	200	70.58	n/a	n/a	10.00	0.0
ADAGE CAPITAL MGMT	030	JCP	S	205,514	16.71	n/a	18-Jun	6,165.42	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLENVEIW CAPITAL	036	JCP	B	185,000	16.69	n/a	18-Jun	7,400.00	0.0
SURVEYOR CAPITAL	251	JCP	SS	50,000	16.70	n/a	18-Jun	1,500.00	0.0
LISTED ERR	030	JCP	S	339	16.71	n/a	18-Jun	0.00	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>JCP</b>	<b>B</b>	<b>339</b>	<b>16.68</b>	<b>n/a</b>	<b>18-Jun</b>	<b>16.95</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	JNJ	S	1,200	87.28	n/a	n/a	48.00	0.0
PRIMECAP MGMT	084	JNJ	S	6,700	87.17	n/a	n/a	268.00	0.0
SCOPUS FUND	041	LAD	B	1,000	54.34	n/a	n/a	40.00	0.0
SCOPUS FUND	041	LAD	S	22,355	54.60	n/a	n/a	894.20	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	32.48	n/a	6-May	1,250.00	0.0
PRIMECAP MGMT	084	LIFE	S	4,400	74.12	n/a	n/a	176.00	0.0
PRIMECAP MGMT	084	LLY	B	4,000	49.95	n/a	n/a	160.00	0.0
PRIMECAP MGMT	084	LLY	S	5,400	50.06	n/a	n/a	216.00	0.0
ADAGE CAPITAL MGMT	030	LULU	B	60,000	66.48	n/a	19-Jun	1,800.00	0.0
PRIMECAP MGMT	084	MATX	S	1,700	25.11	n/a	n/a	68.00	0.0
BRONSON POINT	036	MA	C	5,000	587.94	n/a	13-Jun	150.00	0.0
WADDELL AND REED	047	MA	S	12,200	584.18	n/a	13-Jun	488.00	0.0
PATTEN & PATTEN	025	MCD	B	75	99.85	n/a	17-Jun	3.75	0.0
PRIMECAP MGMT	084	MDT	S	4,300	52.29	n/a	n/a	172.00	0.0
PRIMECAP MGMT	084	MMC	S	7,000	40.26	n/a	n/a	280.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	MSFT	S	15,700	34.48	n/a	n/a	628.00	0.0
PRIMECAP MGMT	084	MSI	S	900	58.13	n/a	n/a	36.00	0.0
STELLIAM INV ADV	086	MS	SS	50,000	24.78	n/a	6-Jun	2,000.00	0.0
PRIMECAP MGMT	084	MU	S	8,200	14.21	n/a	n/a	328.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		MWV	S	10,000	34.60		n/a 18-Jun	300.00	0.0
PATTEN & PATTEN	025	NKE	B	120	62.82	n/a	19-Jun	6.00	0.0
SCOPUS FUND	041	NKE	SS	20,000	63.05	n/a	19-Jun	800.00	0.0
WADDELL AND REED	047	NKE	B	56,200	62.77	n/a	19-Jun	2,248.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	32.07	n/a	13-May	400.00	0.0
PRIMECAP MGMT	084	NSR	S	6,800	49.91	n/a	n/a	272.00	0.0
PRIMECAP MGMT	084	NUAN	S	23,500	18.93	n/a	n/a	940.00	0.0
PRIMECAP MGMT	084	NVDA	S	7,600	14.09	n/a	n/a	304.00	0.0
IONIC CAPITAL MANAGEMENT	041	NYT	SS	87,000	11.50	n/a	n/a	2,610.00	0.0
PRIMECAP MGMT	084	ORCL	S	7,200	30.38	n/a	n/a	288.00	0.0
PRIMECAP MGMT	084	PSMI	B	12,000	10.70	n/a	n/a	480.00	0.0
PRIMECAP MGMT	084	QCOM	S	16,300	61.39	n/a	n/a	652.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	RIG	B	10,000	48.57	n/a	n/a	400.00	0.0
PRIMECAP MGMT	084	RMBS	S	3,200	8.88	n/a	n/a	96.00	0.0
WADDELL AND REED	047	SBUX	S	21,500	66.37	n/a	17-Jun	860.00	0.0
PRIMECAP MGMT	084	SCHW	S	20,400	21.51	n/a	n/a	816.00	0.0
IRIDIAN ASSET MGMT.	036	SEE	B	34,160	24.62	n/a	2-Jun	683.20	0.0
WALL STREET CAPITAL	084	SIX	S	31,374	36.65	n/a	n/a	1,411.83	0.0
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	31,200	67.17	n/a	17-Jun	936.00	0.0
PRIMECAP MGMT	084	SNDK	S	2,500	61.95	n/a	n/a	100.00	0.0
PATTEN & PATTEN	025	SPY	B	315	161.67	n/a	n/a	15.75	0.0
ADAGE CAPITAL MGMT	030	SSI	S	29,736	23.63	n/a	18-Jun	892.08	0.0
PRIMECAP MGMT	084	SYMC	S	31,600	22.58	n/a	n/a	1,264.00	0.0
PRIMECAP MGMT	084	TRMB	S	9,100	26.64	n/a	n/a	364.00	0.0
PRIMECAP MGMT	084	TSLA	S	2,500	115.52	n/a	n/a	100.00	0.0
IONIC CAPITAL MANAGEMENT	041	TWX	SS	19,000	58.55	n/a	n/a	570.00	0.0
PRIMECAP MGMT	084	TXN	S	17,700	35.14	n/a	n/a	708.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IONIC CAPITAL MANAGEMENT	041	VIAB	SS	16,500	68.20	n/a	n/a	495.00	0.0
PATTEN & PATTEN	025	VZ	B	60	50.26	n/a	n/a	3.00	0.0
PRIMECAP MGMT	084	V	S	700	185.84	n/a	11-Jun	28.00	0.0
PATTEN & PATTEN	025	WMT	B	100	74.60	n/a	16-May	5.00	0.0
PRIMECAP MGMT	084	WSH	S	3,100	40.98	n/a	n/a	124.00	0.0
OSKIE CAPITAL MGMT	224	WY	B	75,000	28.34	n/a	19-Jun	3,750.00	0.0
SCOPUS FUND	041	WY	B	20,525	28.67	n/a	19-Jun	821.00	0.0
APEX CAPITAL MGMT.	033	ZNGA	B	331,500	3.10	n/a	n/a	6,630.00	0.0
<b>TOTAL (Trade Date):</b>							<b>102,727.83</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/27	ARDSLEY PARTNERS (ARDSGS)	280	ENPH	SS	25,000	7.57	n/a	n/a	1250.00 0.0
AO,CRT	06/27	ARDSLEY PARTNERS (ARDSGS)	280	ENPH	SS	25,000	7.57	n/a	n/a	750.00 0.0
AO,CXL	06/28	MARSICO CAPITAL (MARSLEP510)	046	UA	SS	9,200	59.15	n/a	19-Jun	368.00 0.0
AO,CRT	06/28	SCOPUS FUND (SCOPMLCO)	041	UA	SS	9,200	59.15	n/a	19-Jun	368.00 4.0
AO,CXL	06/28	MARCATO CAPITAL MGMT. (MARCGS)	029	URI	B	175,000	50.25	n/a	17-Apr	7000.00 0.0
AO,	06/28	MARCATO CAPITAL MGMT. (MARCGS)	029	URI	B	175,000	50.25	n/a	17-Apr	5250.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,250.00</b>
TOTAL (Trade Date) :										102,727.83
TOTAL (AO, CXL, CRT) :										-2,250.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>100,477.83</b>



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