



## Daily Compliance Activity Report

Trade Date: 06/21/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	B	200	411.32	n/a	n/a	60.00	0.0
WILLIAMS TRADING/BLUE MTN	087	ADT	B	55,812	39.42	n/a	n/a	1,674.36	0.0
PATTEN & PATTEN	025	AGG	S	250	106.83	n/a	n/a	12.50	0.0
SUFFOLK CAPITAL MGMT	040	AIG	S	39,300	44.05	n/a	n/a	1,572.00	0.0
SUFFOLK CAPITAL MGMT	040	ALTR	B	114,900	31.96	n/a	n/a	4,596.00	0.0
PATTEN & PATTEN	025	AML	B	165	17.29	n/a	n/a	8.25	0.0
NORTHWESTERN MUTUAL LIFE	047	AMT	B	111,000	71.91	n/a	n/a	4,440.00	0.0
SCOPUS FUND	041	ANF	S	25,000	46.22	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	APD	S	300	93.91	n/a	n/a	15.00	0.0
LATEEF MGMT	033	ATI	B	300	27.32	n/a	11-Jun	30.00	0.0
BRANDWINE	028	AVX	B	43,312	11.78	n/a	n/a	1,732.48	0.0
PATTEN & PATTEN	025	AXP	B	200	72.55	n/a	19-Jun	10.00	0.0
CASTLE ARK	031	BONT	B	21,300	18.24	n/a	18-Jun	852.00	0.0
HARVEST MGMT (JMP)	029	BONT	S	5,000	18.31	n/a	18-Jun	200.00	0.0
MERRILL ASSET/BLACKROCK	085	BRKB	S	13,500	111.66	n/a	n/a	540.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	CME	B	75,200	76.52	n/a	28-Apr	3,008.00	0.0
WADDELL AND REED	047	COV	S	465,282	61.91	n/a	n/a	18,611.28	0.0
COHE & STEERS	041	CUBE	S	27,765	15.79	n/a	n/a	832.95	0.0
BRANDWINE	028	DDS	B	34,404	80.94	n/a	n/a	1,376.16	0.0
COHE & STEERS	041	DLR	S	37,663	57.08	n/a	n/a	1,506.52	0.0
ZWEIG FUNDS	006	EAT	S	90,000	38.33	n/a	13-May	4,500.00	0.0
CAPITAL WORLD	084	EBAY	B	117,200	50.44	n/a	n/a	4,102.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		ECHO	S	15,000	18.62	n/a	n/a	450.00	0.0
LIONEYE CAPITAL	040	EGN	B	10,000	52.72	n/a	n/a	500.00	0.0
PATTEN & PATTEN	025	EWG	S	200	25.05	n/a	n/a	10.00	0.0
COHE & STEERS	041	EXR	S	13,429	41.23	n/a	n/a	537.16	0.0
BRONSON POINT	036	FLR	SS	50,000	59.66	n/a	n/a	1,500.00	0.0
CHARTERBRIDGE CAPITAL	025	FNP	B	60,000	20.50	n/a	n/a	1,800.00	0.0
SUFFOLK CAPITAL MGMT	040	FNP	B	15,000	20.44	n/a	n/a	600.00	0.0
CAISSE DEPOT PLACEMENT Q	257	FTNT	B	20,000	17.22	n/a	n/a	1,000.00	0.0
STANDARD PACIFIC CAPITAL	084	GOGO	S	200,000	15.99	n/a	n/a	10,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	HBI	B	40,000	49.92	n/a	3-May	1,600.00	0.0
SIGMA CAPITAL ASSOCIATES	041	HD	B	50,000	73.99	n/a	n/a	1,500.00	0.0
SUFFOLK CAPITAL MGMT	040	HIG	S	66,900	29.75	n/a	n/a	2,676.00	0.0
BRANDWINE	028	HUN	B	94,310	17.16	n/a	n/a	3,772.40	0.0
LATEEF MGMT	033	IP	B	2,000	43.41	n/a	17-Jun	200.00	0.0
SANDLER CAPITAL	028	JBL	C	200,000	20.38	n/a	n/a	10,000.00	0.0
MERRILL ASSET/BLACKROCK	085	JPM	S	71,490	52.56	n/a	17-Jun	2,859.60	0.0
SANDLER O'NEILL ASSET	031	JPM	S	150,000	52.21	n/a	17-Jun	7,500.00	0.0
SUFFOLK CAPITAL MGMT	040	KRO	S	9,000	15.91	n/a	n/a	360.00	0.0
LATEEF MGMT	033	K	B	750	63.10	n/a	n/a	75.00	0.0
CLEARLINE CAPITAL LLC	040	LL	C	15,800	76.61	n/a	n/a	474.00	0.0
PROSPECTOR PARTNERS LLC	036	LM	B	10,000	30.85	n/a	2-Mar	400.00	0.0
SMITH MGMT/ALDEN GLOBAL	029	LPX	S	500,000	15.67		n/a 19-Jun	15,000.00	0.0
DISIPLINED GROWTH INV.	030	LTD	S	1,750	51.64	n/a	n/a	87.50	0.0
SIGMA CAPITAL ASSOCIATES	041	MAT	SS	25,000	44.00	n/a	n/a	750.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	34.13	n/a	18-Jun	1,250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	NTRS	SS	25,000	57.68	n/a	6-Jun	1,250.00	0.0
PATTEN & PATTEN	025	NUE	S	500	43.87	n/a	n/a	25.00	0.0
SUFFOLK CAPITAL MGMT	040	PBYI	S	10,000	40.00	n/a	n/a	400.00	0.0
PLATTE RIVER CAPITAL	046	PEP	S	5,000	79.99	n/a	n/a	200.00	0.0
COHE & STEERS	041	PLD	S	35,963	35.29	n/a	n/a	1,438.52	0.0
COBALT	041	PNC	B	100,000	71.76	n/a	n/a	4,000.00	0.0
SCOPUS FUND	041	PPG	S	17,884	148.50	n/a	n/a	715.36	0.0
MELLON/BANK OF NEW YORK	046	PVH	B	255,951	120.75	n/a	14-Jun	10,019.14	0.0
PATTEN & PATTEN	025	QCOM	B	250	60.29	n/a	n/a	12.50	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	2,300	32.15	n/a	n/a	115.00	0.0
COHE & STEERS	041	SPG	B	76,982	156.35	n/a	n/a	3,079.28	0.0
NOKOMIS PARTNERS	031	SSYS	B	12,500	81.40	n/a	n/a	375.00	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	S	20,000	50.78	n/a	17-Jun	600.00	0.0
DISCIPLINED GROWTH INV.	030	TJX	S	3,750	49.46	n/a	18-Jun	187.50	0.0
NEWLAND CAPITAL MGT	025	UAL	B	10,000	29.97	n/a	18-Jun	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	UNT	B	14,708	42.86	n/a	13-Jun	735.40	0.0
PATTEN & PATTEN	025	VB	B	90	92.24	n/a	n/a	4.50	0.0
PATTEN & PATTEN	025	VO	B	720	93.71	n/a	n/a	36.00	0.0
PATTEN & PATTEN	025	VV	B	225	73.32	n/a	n/a	11.25	0.0
SIGMA CAPITAL ASSOCIATES	041	WAG	SS	25,000	48.91	n/a	n/a	750.00	0.0
MERRILL ASSET/BLACKROCK	085	WAL	S	41,900	14.82	n/a	n/a	1,676.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	18,000	20.41	n/a	n/a	540.00	0.0
LATEEF MGMT	033	WY	B	2,000	27.45	n/a	19-Jun	180.00	0.0
PLATTE RIVER CAPITAL	046	WY	S	5,228	27.06	n/a	19-Jun	209.12	0.0
HERRING CREEK CAPITAL MGMT LLC040		XPO	B	15,000	17.31	n/a	n/a	450.00	0.0
MERRILL ASSET/BLACKROCK	085	Y	S	2,000	377.07	n/a	n/a	80.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>143,070.73</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									143,070.73
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									143,070.73
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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