



## Daily Compliance Activity Report

Trade Date: 07/18/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                       | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|-------------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| PATTEN & PATTEN               | 025  | AA     | S   | 854    | 8.21   | n/a | n/a      | 42.70       | 0.0 |
| VISIUM/BALY BOBBY             | 044  | AA     | SS  | 50,000 | 8.19   | n/a | n/a      | 2,000.00    | 0.0 |
| COLUMBIA PARTNERS             | 028  | ACTG   | S   | 739    | 25.33  | n/a | n/a      | 29.56       | 0.0 |
| COLUMBIA PARTNERS             | 028  | AGCO   | S   | 394    | 54.71  | n/a | n/a      | 15.76       | 0.0 |
| PARAMETER CAPITAL MGMT LLC044 |      | AGCO   | SS  | 25,000 | 54.62  | n/a | n/a      | 750.00      | 0.0 |
| COLUMBIA PARTNERS             | 028  | AKRX   | S   | 801    | 13.49  | n/a | n/a      | 32.04       | 0.0 |
| MILLRACE FUND LP              | 028  | ALV    | B   | 7,013  | 84.51  | n/a | 19-Jun   | 280.52      | 0.0 |
| COLUMBIA PARTNERS             | 028  | AMBA   | S   | 815    | 18.67  | n/a | n/a      | 32.60       | 0.0 |
| PARAMETER CAPITAL MGMT LLC044 |      | AME    | S   | 35,000 | 45.66  | n/a | n/a      | 1,050.00    | 0.0 |
| PATTEN & PATTEN               | 025  | AMLP   | S   | 300    | 18.14  | n/a | n/a      | 15.00       | 0.0 |
| TYVOR CAPITAL LLC             | 031  | ANN    | SS  | 10,000 | 33.68  | n/a | n/a      | 250.00      | 0.0 |
| COLUMBIA PARTNERS             | 028  | ASGN   | S   | 536    | 30.35  | n/a | n/a      | 21.44       | 0.0 |
| COLUMBIA PARTNERS             | 028  | ATHN   | S   | 353    | 114.59 | n/a | n/a      | 14.12       | 0.0 |
| LEVIN CAPITAL STRATEGIES      | 041  | A      | S   | 21,506 | 45.73  | n/a | n/a      | 645.18      | 0.0 |
| COLUMBIA PARTNERS             | 028  | BIOS   | S   | 1,561  | 16.46  | n/a | n/a      | 62.44       | 0.0 |

| Account             | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢/Shr. |     |
|---------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| COLUMBIA PARTNERS   | 028  | BNNY   | S   | 519     | 43.88  | n/a | n/a      | 20.76       | 0.0 |
| COLUMBIA PARTNERS   | 028  | BSFT   | S   | 534     | 30.44  | n/a | n/a      | 21.36       | 0.0 |
| COLUMBIA PARTNERS   | 028  | BWLD   | S   | 186     | 99.68  | n/a | n/a      | 7.44        | 0.0 |
| CADIAN CAPITAL      | 041  | CAKE   | B   | 30,900  | 43.92  | n/a | 25-Apr   | 1,545.00    | 0.0 |
| PATTEN & PATTEN     | 025  | CAT    | S   | 595     | 85.86  | n/a | 11-Jul   | 29.75       | 0.0 |
| KLEINHEINZ CAP PART | 031  | CHK    | B   | 200,000 | 22.39  | n/a | n/a      | 10,000.00   | 0.0 |
| COLUMBIA PARTNERS   | 028  | CLB    | S   | 143     | 150.64 | n/a | 13-Jun   | 5.72        | 0.0 |
| COLUMBIA PARTNERS   | 028  | CMG    | S   | 46      | 375.46 | n/a | 3-Jun    | 1.84        | 0.0 |
| PATTEN & PATTEN     | 025  | CNI    | S   | 15      | 101.42 | n/a | n/a      | 0.75        | 0.0 |
| S.A.C. CAPITAL      | 044  | COH    | SS  | 25,000  | 58.47  | n/a | 30-May   | 750.00      | 0.0 |
| COLUMBIA PARTNERS   | 028  | CTRX   | S   | 265     | 50.42  | n/a | n/a      | 10.60       | 0.0 |
| EVERGREEN           | 047  | DAL    | B   | 200,000 | 20.58  | n/a | 18-Jun   | 8,000.00    | 0.0 |
| GALT INVESTMENT     | 041  | DECK   | S   | 12,000  | 57.00  | n/a | n/a      | 600.00      | 0.0 |
| ESSENCIAL CAPITAL   | 031  | DELL   | S   | 10,000  | 13.16  | n/a | n/a      | 300.00      | 0.0 |
| BTG PACTUAL         | 040  | DKS    | B   | 20,000  | 50.99  | n/a | 19-Jun   | 600.00      | 0.0 |

| Account                           | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |     |
|-----------------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| PATTEN & PATTEN                   | 025  | DOW    | B   | 805     | 34.61 | n/a | n/a      | 40.25       | 0.0 |
| BARON ASSET MGMT*                 | 006  | DWA    | B   | 25,000  | 24.57 | n/a | n/a      | 750.00      | 0.0 |
| CAPITAL WORLD                     | 084  | EBAY   | B   | 75,682  | 53.26 | n/a | n/a      | 2,648.87    | 0.0 |
| PATTEN & PATTEN                   | 025  | EWC    | S   | 1,514   | 27.75 | n/a | n/a      | 75.70       | 0.0 |
| PATTEN & PATTEN                   | 025  | EWZ    | S   | 455     | 44.19 | n/a | n/a      | 22.75       | 0.0 |
| PATTEN & PATTEN                   | 025  | FCX    | B   | 1,150   | 28.33 | n/a | n/a      | 57.50       | 0.0 |
| PATTEN & PATTEN                   | 025  | FCX    | S   | 290     | 28.26 | n/a | n/a      | 14.50       | 0.0 |
| COLUMBIA PARTNERS                 | 028  | FIO    | S   | 702     | 14.49 | n/a | n/a      | 28.08       | 0.0 |
| SCOPUS FUND                       | 041  | F      | B   | 100,000 | 16.92 | n/a | 19-Jun   | 4,000.00    | 0.0 |
| PATTEN & PATTEN                   | 025  | GE     | S   | 100     | 23.83 | n/a | n/a      | 5.00        | 0.0 |
| RIVERLOFT CAPITAL                 | 044  | GE     | B   | 50,000  | 23.83 | n/a | n/a      | 1,500.00    | 0.0 |
| HERRING CREEK CAPITAL MGMT LLC040 |      | GHL    | SS  | 7,700   | 49.65 | n/a | n/a      | 231.00      | 0.0 |
| COLUMBIA PARTNERS                 | 028  | GNRC   | S   | 403     | 41.33 | n/a | n/a      | 16.12       | 0.0 |
| PATTEN & PATTEN                   | 025  | GOV    | S   | 16      | 26.50 | n/a | n/a      | 0.80        | 0.0 |
| LOMAS CAPITAL                     | 040  | GRA    | SS  | 8,500   | 83.64 | n/a | n/a      | 255.00      | 0.0 |
| MERRILL ASSET/BLACKROCK           | 085  | HAFC   | B   | 34,600  | 17.79 | n/a | n/a      | 1,384.00    | 0.0 |

| Account                     | RR # | Symbol | B/S | Shares  | Price  | MRI   | Research | Comm. ¢/Shr. |              |
|-----------------------------|------|--------|-----|---------|--------|-------|----------|--------------|--------------|
| PATTEN & PATTEN             | 025  | HMC    | S   | 1,550   | 38.93  | n/a   | n/a      | 77.50        | 0.0          |
| COLUMBIA PARTNERS           | 028  | HTWR   | S   | 143     | 94.86  | n/a   | n/a      | 5.72         | 0.0          |
| COLUMBIA PARTNERS           | 028  | IMAX   | S   | 509     | 25.34  | n/a   | n/a      | 20.36        | 0.0          |
| PATTEN & PATTEN             | 025  | INTC   | B   | 800     | 23.29  | n/a   | n/a      | 40.00        | 0.0          |
| INVESCO                     | 031  | IPG    | S   | 455,000 | 15.83  | n/a   | n/a      | 18,200.00    | 0.0          |
| CSFB GLOBAL PROPRIETARY     | 041  | IP     | SS  | 17,675  | 48.16  | n/a   | 17-Jun   | 883.75       | 0.0          |
| CSFB GLOBAL PROPRIETARY     | 041  | IP     | S   | 27,325  | 48.10  | n/a   | 17-Jun   | 1,366.25     | 0.0          |
| FIRST NY SEC/CHRIS          | 041  | JBLU   | B   | 10,000  | 6.89   | n/a   | 18-Jun   | 500.00       | 0.0          |
| BASSWOOD PARTNERS           | 267  | JCI    | SS  | 3,200   | 40.15  | n/a   | 10-Jun   | 128.00       | 0.0          |
| BASSWOOD PARTNERS           | 267  | JCI    | S   | 5,600   | 40.28  | n/a   | 10-Jun   | 224.00       | 0.0          |
| WEISS PECK/ROBECO/BOSTON PT |      | 040    | JNY | S       | 50,000 | 15.53 | n/a      | 2-May        | 2,500.00 0.0 |
| CORNERSTONE                 | 030  | JOY    | B   | 227,042 | 50.48  | n/a   | 11-Jul   | 6,811.26     | 0.0          |
| BTG PACTUAL                 | 040  | KMT    | B   | 15,000  | 40.89  | n/a   | n/a      | 450.00       | 0.0          |
| SCOPUS FUND                 | 041  | LAD    | B   | 3,800   | 59.37  | n/a   | n/a      | 152.00       | 0.0          |
| PARAMETER CAPITAL MGMT LLC  | 044  | LM     | SS  | 20,000  | 33.79  | n/a   | 2-Mar    | 600.00       | 0.0          |
| COLUMBIA PARTNERS           | 028  | LQDT   | S   | 311     | 29.55  | n/a   | n/a      | 12.44        | 0.0          |

| Account                | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|------------------------|------|--------|-----|--------|--------|-----|----------|-------------|-----|
| COLUMBIA PARTNERS      | 028  | LULU   | S   | 207    | 66.11  | n/a | 19-Jun   | 8.28        | 0.0 |
| FIRST NY SEC/CHRIS     | 041  | LUV    | B   | 10,000 | 13.82  | n/a | 18-Jun   | 500.00      | 0.0 |
| EVERGREEN              | 047  | MAN    | S   | 42,600 | 61.80  | n/a | n/a      | 1,704.00    | 0.0 |
| COLUMBUS CIRCLE        | 036  | MDVN   | S   | 1,400  | 55.00  | n/a | n/a      | 56.00       | 0.0 |
| COLUMBIA PARTNERS      | 028  | MELI   | S   | 208    | 107.20 | n/a | n/a      | 8.32        | 0.0 |
| MASTERS CAPITAL MANAGE | 025  | MTG    | S   | 50,000 | 6.68   | n/a | n/a      | 2,000.00    | 0.0 |
| COLUMBIA PARTNERS      | 028  | OMEX   | S   | 2,508  | 3.34   | n/a | n/a      | 75.24       | 0.0 |
| PATTEN & PATTEN        | 025  | PEP    | S   | 12     | 86.90  | n/a | n/a      | 0.60        | 0.0 |
| PATTEN & PATTEN        | 025  | PG     | S   | 35     | 80.39  | n/a | 17-Jun   | 1.75        | 0.0 |
| LONG OAR GLOBAL INV    | 040  | POT    | SS  | 20,000 | 38.04  | n/a | n/a      | 800.00      | 0.0 |
| COLUMBIA PARTNERS      | 028  | PRLB   | S   | 479    | 64.85  | n/a | n/a      | 19.16       | 0.0 |
| COLUMBIA PARTNERS      | 028  | PSMT   | S   | 301    | 89.31  | n/a | n/a      | 12.04       | 0.0 |
| COLUMBIA PARTNERS      | 028  | QCOR   | S   | 282    | 46.81  | n/a | n/a      | 11.28       | 0.0 |
| PRIMECAP MGMT          | 084  | QGEN   | B   | 2,000  | 20.62  | n/a | n/a      | 80.00       | 0.0 |
| COLUMBIA PARTNERS      | 028  | QLIK   | S   | 546    | 31.90  | n/a | n/a      | 21.84       | 0.0 |

| Account                    | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm. ¢/Shr. |     |
|----------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| COLUMBIA PARTNERS          | 028  | RALY   | S   | 654    | 26.77  | n/a | n/a      | 26.16        | 0.0 |
| COLUMBUS CIRCLE            | 036  | RDN    | B   | 14,300 | 13.24  | n/a | n/a      | 572.00       | 0.0 |
| CYRUS CAPITAL              | 025  | RKT    | SS  | 10,000 | 105.33 | n/a | 17-Jun   | 300.00       | 0.0 |
| COLUMBIA PARTNERS          | 028  | RRC    | S   | 237    | 77.71  | n/a | 13-Jun   | 9.48         | 0.0 |
| COLUMBIA PARTNERS          | 028  | RVBD   | S   | 619    | 16.89  | n/a | n/a      | 24.76        | 0.0 |
| COLUMBIA PARTNERS          | 028  | SPLK   | S   | 315    | 49.67  | n/a | n/a      | 12.60        | 0.0 |
| LEVIN CAPITAL STRATEGIES   | 041  | SPY    | C   | 5,738  | 169.00 | n/a | n/a      | 172.14       | 0.0 |
| COLUMBIA PARTNERS          | 028  | SSYS   | S   | 194    | 89.76  | n/a | n/a      | 7.76         | 0.0 |
| TYVOR CAPITAL LLC          | 031  | SWY    | B   | 25,000 | 25.64  | n/a | n/a      | 625.00       | 0.0 |
| PARAMETER CAPITAL MGMT LLC | 044  | TEX    | B   | 30,000 | 29.47  | n/a | n/a      | 900.00       | 0.0 |
| COLUMBIA PARTNERS          | 028  | TRGP   | S   | 407    | 67.97  | n/a | n/a      | 16.28        | 0.0 |
| COLUMBIA PARTNERS          | 028  | TSLA   | S   | 117    | 120.21 | n/a | n/a      | 4.68         | 0.0 |
| PATTEN & PATTEN            | 025  | T      | B   | 482    | 35.72  | n/a | n/a      | 24.10        | 0.0 |
| COLUMBIA PARTNERS          | 028  | UA     | S   | 470    | 61.06  | n/a | 19-Jun   | 18.80        | 0.0 |
| COLUMBIA PARTNERS          | 028  | UBNT   | S   | 1,101  | 20.95  | n/a | n/a      | 44.04        | 0.0 |

| Account                    | RR # | Symbol | B/S | Shares | Price  | MRI | Research | Comm. ¢/Shr.     |     |
|----------------------------|------|--------|-----|--------|--------|-----|----------|------------------|-----|
| COLUMBIA PARTNERS          | 028  | ULTA   | S   | 161    | 97.46  | n/a | n/a      | 6.44             | 0.0 |
| EPOCH INV MGMT             | 030  | USLM   | B   | 2,479  | 57.55  | n/a | n/a      | 74.37            | 0.0 |
| PATTEN & PATTEN            | 025  | VB     | S   | 160    | 100.36 | n/a | n/a      | 8.00             | 0.0 |
| HOLLIS CAPITAL             | 033  | VLO    | S   | 5,000  | 34.96  | n/a | n/a      | 250.00           | 0.0 |
| PATTEN & PATTEN            | 025  | VO     | S   | 200    | 100.27 | n/a | n/a      | 10.00            | 0.0 |
| COLUMBIA PARTNERS          | 028  | VSI    | S   | 397    | 49.59  | n/a | n/a      | 15.88            | 0.0 |
| PATTEN & PATTEN            | 025  | VV     | S   | 450    | 77.39  | n/a | n/a      | 22.50            | 0.0 |
| CR INTRINIC INVESTMENT     | 044  | WAG    | B   | 10,000 | 51.12  | n/a | n/a      | 300.00           | 0.0 |
| PARAMETER CAPITAL MGMT LLC | 044  | WCC    | B   | 10,000 | 72.24  | n/a | n/a      | 300.00           | 0.0 |
| COLUMBIA PARTNERS          | 028  | WDAY   | S   | 257    | 67.94  | n/a | n/a      | 10.28            | 0.0 |
| COLUMBIA PARTNERS          | 028  | WLL    | S   | 404    | 50.80  | n/a | n/a      | 16.16            | 0.0 |
| LONG OAR GLOBAL INV        | 040  | WNC    | B   | 50,000 | 10.39  | n/a | n/a      | 2,000.00         | 0.0 |
| <b>TOTAL (Trade Date):</b> |      |        |     |        |        |     |          | <b>81,205.37</b> |     |

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

| Type                          | Date  | Account                             | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr.   |
|-------------------------------|-------|-------------------------------------|------|--------|-----|--------|-------|-----|----------|---------------|
| AO,                           | 07/17 | ALLIANZ GLOBAL INVESTOR (AGIZU1760) | 084  | CBK    | B   | 5,483  | 7.16  | n/a | n/a      | 191.91 0.0    |
| AO,                           | 07/17 | ALLIANZ GLOBAL INVESTOR (AGIZU1814) | 084  | CBK    | B   | 2,272  | 7.16  | n/a | n/a      | 79.52 0.0     |
| AO,                           | 07/17 | ALLIANZ GLOBAL INVESTOR (AGIZU1816) | 084  | CBK    | B   | 2,234  | 7.16  | n/a | n/a      | 78.19 0.0     |
| AO,                           | 07/17 | ALLIANZ GLOBAL INVESTOR (AGIZU1820) | 084  | CBK    | B   | 2,658  | 7.16  | n/a | n/a      | 93.03 0.0     |
| AO,                           | 07/17 | ALLIANZ GLOBAL INVESTOR (AGIZU230)  | 084  | CBK    | B   | 2,378  | 7.16  | n/a | n/a      | 83.23 0.0     |
| AO,                           | 07/17 | ALLIANZ GLOBAL INVESTOR (AGIZU1754) | 084  | CBK    | B   | 250    | 7.16  | n/a | n/a      | 8.75 0.0      |
| AO,                           | 07/17 | ALLIANZ GLOBAL INVESTOR (AGIZU1454) | 084  | CBK    | B   | 2,862  | 7.16  | n/a | n/a      | 100.17 0.0    |
| AO,CXL                        | 07/17 | CENTURION PARTNERS (CENTBSPT)       | 041  | UAL    | B   | 5,927  | 31.92 | n/a | 18-Jun   | 296.35 0.0    |
| AO,CRT                        | 07/17 | CENTURION PARTNERS (CENTBSPT)       | 041  | UAL    | B   | 5,927  | 31.92 | n/a | 18-Jun   | 237.08 4.0    |
| AO,CXL                        | 07/17 | PATTEN & PATTEN (PATTREGION)        | 025  | ZTS    | S   | 478    | 30.91 | n/a | n/a      | 23.90 0.0     |
| AO,CRT                        | 07/17 | PATTEN & PATTEN (PATTMERR)          | 025  | ZTS    | S   | 478    | 30.91 | n/a | n/a      | 23.90 0.0     |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                                     |      |        |     |        |       |     |          | <b>575.53</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 81,205.37 |
| TOTAL (AO, CXL, CRT) : | 575.53    |

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>81,780.90</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