



Daily Compliance Activity Report

Trade Date: 08/30/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	AOS	B	12,500	42.19	n/a	16-May	375.00	0.0
BRONSON POINT	036	ARO	SS	100,000	8.19	n/a	n/a	3,000.00	0.0
LISTED ERR	099	BEE	S	84	8.27	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	BKD	S	9,007	25.22	n/a	n/a	360.28	0.0
FIFTH THIRD BANK/FREEMAN	047	BND	B	5,000	80.28	n/a	n/a	150.00	0.0
INTERVAL PARTNERS	033	CAKE	SS	5,000	41.92	n/a	25-Apr	150.00	0.0
IMPALA ASSET MMT	040	CNW	S	30,000	41.74	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	COST	B	100	112.02	n/a	n/a	5.00	0.0
ARDSLEY PARTNERS	280	CREE	S	10,000	55.66	n/a	n/a	500.00	0.0
PATTEN & PATTEN	025	CSD	B	200	38.30	n/a	n/a	10.00	0.0
DENVER INST. ADV	046	CSII	B	34,100	20.53	n/a	n/a	1,364.00	0.0
LATEEF MGMT	033	DD	B	100	56.72	n/a	n/a	30.00	0.0
LATEEF MGMT	033	DE	B	100	83.61	n/a	11-Jul	30.00	0.0
LATEEF MGMT	033	DRE	B	275	14.69	n/a	n/a	27.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	EEM	B	100	37.80	n/a	n/a	5.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		ETN	B	11,400	63.37		n/a 12-Jun	342.00	0.0
PATTEN & PATTEN	025	EWA	S	200	23.51	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	FCX	S	200	30.14	n/a	n/a	10.00	0.0
ARDSLEY PARTNERS	280	FLR	S	5,000	63.37	n/a	n/a	250.00	0.0
LATEEF MGMT	033	GIS	B	125	49.00	n/a	n/a	31.25	0.0
LATEEF MGMT	033	GSPRD	B	250	20.16	n/a	n/a	25.00	0.0
BALYASNY ASSET MGMT	044	JNY	B	75,000	14.78	n/a	2-May	3,750.00	0.0
CORNERSTONE	030	KO	S	145,000	38.23	n/a	17-Jun	4,350.00	0.0
LATEEF MGMT	033	KR	B	125	36.47	n/a	n/a	31.25	0.0
IMPALA ASSET MMT	040	KSS	SS	50,000	51.30	n/a	18-Jun	2,500.00	0.0
LATEEF MGMT	033	K	B	100	60.62	n/a	n/a	30.00	0.0
BRONSON POINT	036	MDLZ	S	25,000	30.82	n/a	n/a	750.00	0.0
IMPALA ASSET MMT	040	MTH	B	40,000	39.93	n/a	n/a	1,600.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	20,000	35.89	n/a	18-Jun	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	M	B	2,550	44.79	n/a	18-Jun	127.50	0.0
COBALT	041	NFX	B	100,000	24.09	n/a	n/a	4,000.00	0.0
BRONSON POINT	036	PG	S	50,000	77.66	n/a	17-Jun	1,500.00	0.0
CR INTRINIC INVESTMENT	044	PHM	B	50,000	15.40	n/a	n/a	1,500.00	0.0
FIFTH THIRD BANK/FREEMAN	047	PMF	S	25,096	12.03	n/a	n/a	1,254.80	0.0
IMPALA ASSET MMT	040	RYL	B	100,000	34.79	n/a	n/a	4,000.00	0.0
LISTED ERR	099	RYL	S	2,534	34.82	n/a	n/a	0.00	0.0
LATEEF MGMT	033	SPLS	B	300	13.90	n/a	n/a	30.00	0.0
ARDSLEY PARTNERS	280	SPWR	C	25,000	21.55	n/a	n/a	1,250.00	0.0
IMPALA ASSET MMT	040	SPY	SS	122,000	163.88	n/a	n/a	6,100.00	0.0
BRANDWINE	028	STX	B	423,568	38.33	n/a	n/a	16,942.72	0.0
PATTEN & PATTEN	025	TGT	S	1,500	63.30	n/a	23-May	75.00	0.0
PATTEN & PATTEN	025	TIF	S	100	77.06	n/a	n/a	5.00	0.0
IMPALA ASSET MMT	040	TJX	B	25,000	52.66	n/a	18-Jun	1,250.00	0.0
ARDSLEY PARTNERS	280	TRMB	S	10,000	25.40	n/a	n/a	500.00	0.0
PATTEN & PATTEN	025	TSLA	B	33	165.89	n/a	n/a	1.65	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARDSLEY PARTNERS	280	TSL	C	50,000	9.62	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	TSN	B	150	28.87	n/a	n/a	30.00	0.0
CADIAN CAPITAL	041	TXN	SS	70,000	38.15	n/a	n/a	2,100.00	0.0
LATEEF MGMT	033	T	B	125	33.60	n/a	n/a	31.25	0.0
CLEARLINE CAPITAL LLC	006	ULTI	SS	1,040	143.16	n/a	n/a	31.20	0.0
INTERVAL PARTNERS	033	URBN	B	5,000	41.91	n/a	n/a	150.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	5,000	22.40	n/a	n/a	150.00	0.0
IMPALA ASSET MMT	040	WHR	B	35,050	129.22	n/a	n/a	1,752.50	0.0
ARDSLEY PARTNERS	280	WSM	C	5,000	56.41	n/a	n/a	250.00	0.0
TOTAL (Trade Date) :								66,717.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	08/29	LISTED ERR (LISTED ERR)	099	BEE	B	592	8.33	n/a	n/a	0.00	0.0
AO,CRT	08/29	LISTED ERR (LISTED ERR)	099	BEE	B	592	8.28	n/a	n/a	0.00	0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	66,717.90
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	66,717.90
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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