

Daily Compliance Activity Report Trade Date: 07/05/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					101		IIIIIII	TIELDE VIO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
PATTEN & PATTEN	025	AIG	В	300	45.11	n/a	n/a	15.00	0.0
PATTEN & PATTEN	025	AMLP	S	200	17.84	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	BA	В	2 , 550	104.06	n/a	11-Jun	127.50	0.0
PATTEN & PATTEN	025	ВТО	В	100	22.09	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	CAT	S	100	82.10	n/a	11-Jul	5.00	0.0
PATTEN & PATTEN	025	CBI	В	450	60.11	n/a	n/a	22.50	0.0
PATTEN & PATTEN	025	CBT	В	200	37.86	n/a	n/a	10.00	0.0
GABELLI FUNDS	025	СОН	S	16,600	57.05	n/a	30-May	498.00	0.0
PATTEN & PATTEN	025	COV	В	150	58.18	n/a	n/a	7.50	0.0
PATTEN & PATTEN	025	CSD	В	200	37.38	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	CTXS	В	400	63.18	n/a	n/a	20.00	0.0
PROSPECTOR PARTNERS LLC	036	CW	S	10,000	37.38	n/a	n/a	400.00	0.0
LEVIN CAPITAL STRATEGIES	041	DELL	В	73,272	12.93	n/a	n/a	1,465.44	0.0
PATTEN & PATTEN	025	DLR	В	50	59.30	n/a	n/a	2.50	0.0

Account		RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN		025	DON	В	75	65.83	n/a	n/a	3.75	0.0
GOLD SACHS SPEC	IAL SIT	030	EBF	S	10,000	18.06	n/a	n/a	500.00	0.0
PATTEN & PATTEN		025	EEM	В	100	37.13	n/a	n/a	5.00	0.0
PATTEN & PATTEN		025	ETN	В	225	67.63	n/a	12-Jun	11.25	0.0
PATTEN & PATTEN		025	EWA	S	2,650	22.35	n/a	n/a	132.50	0.0
PATTEN & PATTEN		025	EWC	S	200	26.03	n/a	n/a	10.00	0.0
PATTEN & PATTEN		025	EWW	В	50	64.47	n/a	n/a	2.50	0.0
PATTEN & PATTEN		025	FCX	S	5,900	27.19	n/a	n/a	295.00	0.0
PATTEN & PATTEN		025	FLR	В	50	58.39	n/a	n/a	2.50	0.0
PATTEN & PATTEN		025	GE	В	70	23.18	n/a	n/a	3.50	0.0
PROSPECTOR PART	NERS LLC	036	GLW	В	10,000	14.47	n/a	n/a	400.00	0.0
HARVEST MGMT (J	MP)	029	GNC	S	5,000	45.98	n/a	n/a	200.00	0.0
PATTEN & PATTEN		025	HDV	S	100	66.30	n/a	n/a	5.00	0.0
PATTEN & PATTEN		025	HD	В	150	78.15	n/a	n/a	7.50	0.0
SAGE ASSET MGMT		025	HD	В	2,850	77.85	n/a	n/a	142.50	0.0
PATTEN & PATTEN		025	LLY	S	250	50.37	n/a	n/a	12.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN	025	LOW	В	225	42.62	n/a	n/a	11.25	0.0
PATTEN & PATTEN	025	MDU	В	200	26.45	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	MIC	S	150	54.17	n/a	n/a	7.50	0.0
SENATOR INVESTMENT GROUP	036	NCR	SS	65,000	33.39	n/a	n/a	1,950.00	0.0
GOLD SACHS SPECIAL SIT	030	NDZ	В	25,000	7.20	n/a	n/a	1,250.00	0.0
PATTEN & PATTEN	025	NKE	В	300	63.55	n/a	19-Jun	15.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	33.93	n/a	13-May	400.00	0.0
PATTEN & PATTEN	025	PEP	В	50	80.70	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	PH	В	25	97.45	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	PKB	В	150	18.89	n/a	n/a	7.50	0.0
PATTEN & PATTEN	025	PRU	В	50	75.42	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	QQQ	В	25	72.04	n/a	n/a	1.25	0.0
DISIPLINED GROWTH INV.	030	RCL	В	15,500	34.23	n/a	n/a	775.00	0.0
PATTEN & PATTEN	025	SLB	S	125	74.02	n/a	n/a	6.25	0.0
PATTEN & PATTEN	025	SNI	В	50	69.65	n/a	n/a	2.50	0.0
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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Sh	r.
GOLD SACHS SPECIAL SIT	030	SRI	S	50,000	12.36	n/a	n/a	2,500.00 0.	0
PATTEN & PATTEN	025	TFM	В	25	50.84	n/a	n/a	1.25 0.	0
PATTEN & PATTEN	025	TMO	В	25	85.36	n/a	n/a	1.25 0.	0
PATTEN & PATTEN	025	V	S	25	190.27	n/a	11-Jun	1.25 0.	0
PATTEN & PATTEN	025	WPRT	В	175	31.39	n/a	n/a	8.75 0.	0
PATTEN & PATTEN	025	XLU	S	150	36.83	n/a	n/a	7.50 0.	0

TOTAL (Trade Date): 11,294.44

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Sh	hr.
AO,CXL AO,		CYPRESS CAP MGMT LLC (CYPRGSPB) CYRUS CAPITAL (CYRUGS)	040 025	XLE	В	25,000 25,000	78.69 78.69	n/a n/a		1000.00 0. 750.00 0.	
TOTAL	(AO, (CXL, CRT):							_	250.00	

TOTAL (RUN DATE) / NFS:	11,044.44
TOTAL (AO, CXL, CRT):	-250.00
TOTAL (Trade Date):	11,294.44

Legend:

O: 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