



## Daily Compliance Activity Report

Trade Date: 09/13/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AGG	S	100	105.68	n/a	n/a	5.00	0.0
CALA	041	AIG	B	421,921	49.49	n/a	n/a	12,657.63	0.0
SUFFOLK CAPITAL MGMT	040	ANN	B	10,000	35.55	n/a	n/a	400.00	0.0
NOKOMIS PARTNERS	031	AOS	B	15,000	44.19	n/a	16-May	450.00	0.0
FEDERATED INV/KAUFMAN	029	APC	B	4,300	95.90	n/a	13-Jun	215.00	0.0
PATTEN & PATTEN	025	APC	S	50	95.83	n/a	13-Jun	2.50	0.0
PATTEN & PATTEN	025	APD	S	100	105.81	n/a	n/a	5.00	0.0
TYVOR CAPITAL LLC	031	ARO	SS	50,000	8.94	n/a	n/a	1,500.00	0.0
WHITE PINE CAPITAL	030	ARO	B	1,900	8.92	n/a	n/a	95.00	0.0
KEYGROUP/KGLT	040	BTU	SS	25,000	18.15	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	CL	B	150	59.58	n/a	17-Jun	7.50	0.0
PRIMECAP MGMT	084	CME	B	5,000	72.18	n/a	28-Apr	200.00	0.0
PATTEN & PATTEN	025	CNI	S	100	97.78	n/a	n/a	5.00	0.0
LEVIN CAPITAL STRATEGIES	041	DAL	B	5,000	22.25	n/a	18-Jun	150.00	0.0
PATTEN & PATTEN	025	DBD	B	250	29.50	n/a	16-Jul	12.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FEDERATED INV/KAUFMAN	029	ETN	B	12,200	67.11	n/a	12-Jun	610.00	0.0
INTERVAL PARTNERS	033	EXPR	B	10,000	21.95	n/a	n/a	300.00	0.0
RIVERLOFT CAPITAL	044	FOE	S	20,000	8.61	n/a	n/a	600.00	0.0
SLS CAPITAL LLC	006	F	SS	205,479	17.41	n/a	19-Jun	10,273.95	0.0
MERRILL ASSET/BLACKROCK	085	GBCI	S	24,500	23.93	n/a	n/a	980.00	0.0
SYSTEMATIC FINANCIAL MGT	070	GES	S	40,000	29.90	n/a	31-May	1,200.00	0.0
FEDERATED INV/KAUFMAN	029	HAL	B	5,200	49.28	n/a	n/a	260.00	0.0
PATTEN & PATTEN	025	HEDJ	B	200	52.85	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	IRM	B	250	26.53	n/a	n/a	12.50	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	16,400	86.05	n/a	n/a	656.00	0.0
ARDSLEY PARTNERS	280	LPX	B	20,000	16.93	n/a	19-Jun	1,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	25,000	16.94	n/a	19-Jun	1,250.00	0.0
ROVER CAPITAL PARTNERS	040	LPX	B	5,000	17.03	n/a	19-Jun	200.00	0.0
CASTLEROCK	040	LULU	SS	4,941	68.00	n/a	19-Jun	197.64	0.0
M&I FUNDS	047	MLI	S	6,105	55.40	n/a	19-Jun	244.20	0.0
PATTEN & PATTEN	025	MRK	S	100	47.93	n/a	n/a	5.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	MWV	B	200	38.13	n/a	18-Jun	10.00	0.0
ACK ASSET	028	RUE	SS	50,000	40.67	n/a	n/a	1,500.00	0.0
SUFFOLK CAPITAL MGMT	040	SLB	S	8,000	86.36	n/a	n/a	320.00	0.0
IMPALA ASSET MMT	040	SPY	SS	14,780	169.35	n/a	n/a	739.00	0.0
PRIMECAP MGMT	084	SZYM	B	11,900	10.76	n/a	n/a	476.00	0.0
PATTEN & PATTEN	025	TIF	S	100	78.82	n/a	n/a	5.00	0.0
LEVIN CAPITAL STRATEGIES	041	UAL	B	5,000	32.28	n/a	18-Jun	150.00	0.0
<b>SPARTAN</b>	<b>093</b>	<b>VOD</b>	<b>S</b>	<b>23,500</b>	<b>33.60</b>	<b>n/a</b>	<b>n/a</b>	<b>705.00</b>	<b>0.0</b>
ARDSLEY PARTNERS	280	WY	B	10,000	28.40	n/a	19-Jun	500.00	0.0
ROVER CAPITAL PARTNERS	040	WY	B	5,000	28.40	n/a	19-Jun	200.00	0.0
SCHOTTENFELD ASSOC	041	WY	B	25,000	28.37	n/a	19-Jun	750.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>39,859.42</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/12	ADAGE CAPITAL MGMT (ADAGGS)	030	AOL	B	60,000	34.48	n/a	n/a	1800.00 3.0
AO,CXL	09/12	ADAGE CAPITAL MGMT (ADAGGS)	030	AOL	B	60,000	34.48	n/a	n/a	3600.00 0.0
AO,CXL	09/10	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	HOLX	S	3,375	20.80	n/a	n/a	168.75 0.0
AO,	09/10	DSM CAPITAL PARTNERS (DSMCRBCPB)	085	HOLX	S	3,375	20.80	n/a	n/a	168.75 0.0
AO,	09/12	MIDS (MIDS61J129)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD431623)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD619B36)	047	MLI	S	200	55.56	n/a	19-Jun	8.00 0.0
AO,	09/12	M&I FUNDS (MIFD431576)	047	MLI	S	9	55.56	n/a	19-Jun	0.36 0.0
AO,	09/12	M&I FUNDS (MIFD619B35)	047	MLI	S	100	55.56	n/a	19-Jun	4.00 0.0
AO,	09/12	M&I FUNDS (MIFD418061)	047	MLI	S	4	55.56	n/a	19-Jun	0.16 0.0
AO,	09/12	M&I FUNDS (MIFD619B34)	047	MLI	S	300	55.56	n/a	19-Jun	12.00 0.0
AO,	09/12	M&I FUNDS (MIFD43M246)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD619B27)	047	MLI	S	10	55.56	n/a	19-Jun	0.40 0.0
AO,	09/12	M&I FUNDS (MIFD41M518)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD619B25)	047	MLI	S	200	55.56	n/a	19-Jun	8.00 0.0
AO,	09/12	M&I FUNDS (MIFD41V212)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD619B22)	047	MLI	S	350	55.56	n/a	19-Jun	14.00 0.0
AO,	09/12	M&I FUNDS (MIFD41M658)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD619B19)	047	MLI	S	9	55.56	n/a	19-Jun	0.36 0.0
AO,	09/12	M&I FUNDS (MIFD41M487)	047	MLI	S	5	55.56	n/a	19-Jun	0.20 0.0
AO,	09/12	M&I FUNDS (MIFD611957)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD213195)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611907)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD611876)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,CXL	09/12	M&I FUNDS (MIFDMAIN)	047	MLI	S	3,522	55.56	n/a	19-Jun	140.88 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/12	M&I FUNDS (MIFD611807)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD611782)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611720)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD611713)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD611559)	047	MLI	S	6	55.56	n/a	19-Jun	0.24 0.0
AO,	09/12	M&I FUNDS (MIFD611503)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD611498)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611475)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD611464)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611417)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD611412)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611381)	047	MLI	S	4	55.56	n/a	19-Jun	0.16 0.0
AO,	09/12	M&I FUNDS (MIFD611356)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611351)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611340)	047	MLI	S	5	55.56	n/a	19-Jun	0.20 0.0
AO,	09/12	M&I FUNDS (MIFD611328)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611255)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD611189)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD611145)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611131)	047	MLI	S	5	55.56	n/a	19-Jun	0.20 0.0
AO,	09/12	M&I FUNDS (MIFD611127)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD611126)	047	MLI	S	6	55.56	n/a	19-Jun	0.24 0.0
AO,	09/12	M&I FUNDS (MIFD611109)	047	MLI	S	5	55.56	n/a	19-Jun	0.20 0.0
AO,	09/12	M&I FUNDS (MIFD611106)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD611091)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD611038)	047	MLI	S	4	55.56	n/a	19-Jun	0.16 0.0
AO,	09/12	M&I FUNDS (MIFD610887)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD610885)	047	MLI	S	5	55.56	n/a	19-Jun	0.20 0.0
AO,	09/12	M&I FUNDS (MIFD610657)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD610562)	047	MLI	S	7	55.56	n/a	19-Jun	0.28 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/12	M&I FUNDS (MIFD61R276)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD993013)	047	MLI	S	1,894	55.56	n/a	19-Jun	75.76 0.0
AO,	09/12	M&I FUNDS (MIFD61R201)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD92M004)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD61N526)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD907007)	047	MLI	S	20	55.56	n/a	19-Jun	0.80 0.0
AO,	09/12	M&I FUNDS (MIFD61N116)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD900142)	047	MLI	S	62	55.56	n/a	19-Jun	2.48 0.0
AO,	09/12	M&I FUNDS (MIFD61M678)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD900111)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD61M672)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD900096)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD61M546)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD900089)	047	MLI	S	150	55.56	n/a	19-Jun	6.00 0.0
AO,	09/12	M&I FUNDS (MIFD61M519)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD711394)	047	MLI	S	6	55.56	n/a	19-Jun	0.24 0.0
AO,	09/12	M&I FUNDS (MIFD61M283)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD711276)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD61M273)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD711275)	047	MLI	S	7	55.56	n/a	19-Jun	0.28 0.0
AO,	09/12	M&I FUNDS (MIFD61M124)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD706470)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD61M087)	047	MLI	S	13	55.56	n/a	19-Jun	0.52 0.0
AO,	09/12	M&I FUNDS (MIFD71M074)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD61L320)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD71L070)	047	MLI	S	11	55.56	n/a	19-Jun	0.44 0.0
AO,	09/12	M&I FUNDS (MIFD61L311)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD71J085)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD61L241)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD690737)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/12	M&I FUNDS (MIFD61L228)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD690695)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD61L067)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD690641)	047	MLI	S	4	55.56	n/a	19-Jun	0.16 0.0
AO,	09/12	M&I FUNDS (MIFD690584)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,	09/12	M&I FUNDS (MIFD61G168)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD690541)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD61G067)	047	MLI	S	4	55.56	n/a	19-Jun	0.16 0.0
AO,	09/12	M&I FUNDS (MIFD690530)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD441097)	047	MLI	S	3	55.56	n/a	19-Jun	0.12 0.0
AO,	09/12	M&I FUNDS (MIFD690526)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD61K144)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD690518)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD431651)	047	MLI	S	4	55.56	n/a	19-Jun	0.16 0.0
AO,	09/12	M&I FUNDS (MIFD690483)	047	MLI	S	2	55.56	n/a	19-Jun	0.08 0.0
AO,	09/12	M&I FUNDS (MIFD431624)	047	MLI	S	4	55.56	n/a	19-Jun	0.16 0.0
AO,	09/12	M&I FUNDS (MIFD690479)	047	MLI	S	1	55.56	n/a	19-Jun	0.04 0.0
AO,CXL	09/12	FIRST NEW YORK (FNYS)	086	RAD	B	20,000	3.62	n/a	n/a	1000.00 0.0
AO,CRT	09/12	FIRST NEW YORK (FNYS)	086	RAD	B	20,000	3.62	n/a	n/a	800.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,000.00</b>

TOTAL (Trade Date) :	39,859.42
TOTAL (AO, CXL, CRT) :	-2,000.00

TOTAL (RUN DATE) / NFS:

37,859.42



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