



## Daily Compliance Activity Report

Trade Date: 09/18/2013

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	S	50	461.34	n/a	n/a	40.00	0.0
FOCUSED INVESTORS	084	AET	S	700	66.68	n/a	n/a	28.00	0.0
PATTEN & PATTEN	025	AGG	S	250	105.97	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	AIG	B	125	50.47	n/a	n/a	6.25	0.0
DC CAPITAL	044	ATI	S	101,200	31.23	n/a	11-Jun	4,048.00	0.0
FOCUSED INVESTORS	084	AXP	S	1,500	76.63	n/a	19-Jun	60.00	0.0
FOCUSED INVESTORS	084	BDX	S	500	101.92	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	CAT	S	25	86.61	n/a	11-Jul	1.25	0.0
WOODWAY FINANCIAL	031	CHD	B	32,075	61.39	n/a	17-Jun	1,603.75	0.0
PATTEN & PATTEN	025	CL	B	50	59.86	n/a	17-Jun	2.50	0.0
IMPALA ASSET MMT	040	CMI	B	80,000	133.74	n/a	n/a	4,000.00	0.0
PATTEN & PATTEN	025	CMI	B	180	131.53	n/a	n/a	9.00	0.0
PATTEN & PATTEN	025	CMTL	S	130	24.25	n/a	n/a	6.50	0.0
PATTEN & PATTEN	025	CREE	B	135	60.08	n/a	n/a	6.75	0.0
IMPALA ASSET MMT	040	CRR	B	50,000	103.22	n/a	13-Jun	2,500.00	0.0

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PATTEN & PATTEN	025	CSD	B	125	40.57	n/a	n/a	6.25	0.0
NEWLAND CAPITAL MGT	025	CSTM	S	20,000	20.00	n/a	n/a	800.00	0.0
IMPALA ASSET MMT	040	CSX	S	50,000	26.68	n/a	n/a	2,000.00	0.0
PATTEN & PATTEN	025	CTXS	B	50	74.00	n/a	n/a	2.50	0.0
FOCUSED INVESTORS	084	CVS	S	1,400	59.99	n/a	n/a	56.00	0.0
IMPALA ASSET MMT	040	CX	B	66,800	11.91	n/a	n/a	2,004.00	0.0
PATTEN & PATTEN	025	DBA	S	175	25.21	n/a	n/a	8.75	0.0
PATTEN & PATTEN	025	DBD	B	800	29.85	n/a	16-Jul	40.00	0.0
PATTEN & PATTEN	025	DHR	B	50	69.91	n/a	n/a	2.50	0.0
SCOPUS FUND	041	DLTR	B	30,738	57.36	n/a	4-Jun	1,229.52	0.0
CASTLEROCK	040	DRI	SS	14,824	49.60	n/a	17-Jun	592.96	0.0
PATTEN & PATTEN	025	D	S	200	61.73	n/a	n/a	10.00	0.0
IMPALA ASSET MMT	040	EEM	B	774	43.12	n/a	n/a	38.70	0.0
FRED ALGER MGMT	070	ESRX	S	2,190	63.00	n/a	n/a	78.84	0.0
OSKIE CAPITAL MGMT	224	ESRX	B	15,000	64.01	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	EWV	B	50	65.73	n/a	n/a	2.50	0.0

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PATTEN & PATTEN	025	EWY	S	50	62.19	n/a	n/a	2.50	0.0
S.A.C. CAPITAL	044	GPS	B	50,000	42.30	n/a	n/a	1,500.00	0.0
FOCUSED INVESTORS	084	GS	S	500	165.81	n/a	6-May	20.00	0.0
NEWLAND CAPITAL MGT	025	GTI	S	10,000	8.82	n/a	n/a	300.00	0.0
<b>WADDELL AND REED</b>	<b>098</b>	<b>HAR</b>	<b>B</b>	<b>31,000</b>	<b>67.23</b>	<b>n/a</b>	<b>3-Feb</b>	<b>1,240.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	HSP	B	17,060	40.14	n/a	17-Jun	511.80	0.0
DW INVESTMENT MGMT.	041	HTZ	B	200,000	26.90	n/a	n/a	6,000.00	0.0
PATTEN & PATTEN	025	IAU	S	100	12.73	n/a	n/a	5.00	0.0
FOCUSED INVESTORS	084	IBM	S	500	192.86	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	IBM	S	10	192.67	n/a	n/a	0.50	0.0
PATTEN & PATTEN	025	IEF	B	60	100.91	n/a	n/a	3.00	0.0
PATTEN & PATTEN	025	IEV	B	100	43.99	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	INTC	B	150	23.67	n/a	n/a	7.50	0.0
IMPALA ASSET MMT	040	IPI	S	50,000	16.93	n/a	n/a	2,000.00	0.0
BRONSON POINT	036	IP	S	25,000	48.17	n/a	17-Jun	750.00	0.0
IONIC CAPITAL MANAGEMENT	041	IP	B	31,650	47.73	n/a	17-Jun	949.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	IP	SS	20,000	47.41	n/a	17-Jun	600.00	0.0
PATTEN & PATTEN	025	IP	S	400	47.79	n/a	17-Jun	20.00	0.0
PATTEN & PATTEN	025	IRM	B	200	27.77	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	IWM	B	25	105.46	n/a	n/a	1.25	0.0
IMPALA ASSET MMT	040	IYT	B	9,300	120.08	n/a	n/a	465.00	0.0
BTG PACTUAL	040	JBLU	B	50,000	6.62	n/a	18-Jun	1,500.00	0.0
FOCUSED INVESTORS	084	JNJ	S	1,000	88.42	n/a	n/a	40.00	0.0
FOCUSED INVESTORS	084	JPM	S	1,400	52.80	n/a	17-Jun	56.00	0.0
PATTEN & PATTEN	025	JWN	B	15	57.29	n/a	18-Jun	0.75	0.0
IMPALA ASSET MMT	040	KEX	S	400	87.28	n/a	n/a	20.00	0.0
FOCUSED INVESTORS	084	KO	S	2,200	38.88	n/a	17-Jun	88.00	0.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>LOW</b>	<b>B</b>	<b>5,000</b>	<b>47.66</b>	<b>n/a</b>	<b>n/a</b>	<b>250.00</b>	<b>0.0</b>
IMPALA ASSET MMT	040	LPX	S	71,200	17.64	n/a	19-Jun	2,848.00	0.0
FOCUSED INVESTORS	084	MCD	S	1,200	97.74	n/a	17-Jun	48.00	0.0
BMO / M&I FUNDS	047	MLI	S	48,849	56.07	n/a	19-Jun	1,953.96	0.0
MIDS	047	MLI	S	17	56.07	n/a	19-Jun	0.68	0.0
FOCUSED INVESTORS	084	MMM	S	500	120.05	n/a	n/a	20.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	MOS	B	100	45.15	n/a	n/a	5.00	0.0
FOCUSED INVESTORS	084	MSFT	S	3,100	32.97	n/a	n/a	124.00	0.0
TROUBH PART	070	MSFT	S	25,000	33.11	n/a	n/a	1,250.00	0.0
FOCUSED INVESTORS	084	MS	S	1,700	28.86	n/a	6-Jun	68.00	0.0
DW INVESTMENT MGMT.	041	MU	S	100,000	17.06	n/a	n/a	2,000.00	0.0
PATTEN & PATTEN	025	MWV	B	450	38.29	n/a	18-Jun	22.50	0.0
BMO / M&I FUNDS	047	M	B	21,406	44.63	n/a	18-Jun	856.24	0.0
PATTEN & PATTEN	025	M	B	100	44.55	n/a	18-Jun	5.00	0.0
61M3	047	M	B	43	44.63	n/a	18-Jun	1.72	0.0
MIKF	047	M	B	72	44.63	n/a	18-Jun	2.88	0.0
FOCUSED INVESTORS	084	NKE	S	900	68.34	n/a	19-Jun	36.00	0.0
NEWLAND CAPITAL MGT	025	PAG	S	10,000	42.40	n/a	19-Jun	400.00	0.0
FOCUSED INVESTORS	084	PFE	S	1,500	28.70	n/a	n/a	60.00	0.0
FOCUSED INVESTORS	084	PG	S	700	78.80	n/a	17-Jun	28.00	0.0
IMPALA ASSET MMT	040	PHM	B	91,000	17.80	n/a	n/a	3,640.00	0.0
PATTEN & PATTEN	025	PRF	B	275	76.83	n/a	n/a	13.75	0.0
J. GOLDMAN	028	PX	SS	21,000	123.04	n/a	n/a	840.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	QQQ	S	100	78.44	n/a	n/a	5.00	0.0
FIRST NEW YORK	086	RAD	B	20,000	3.72	n/a	n/a	800.00	0.0
PATTEN & PATTEN	025	RHT	S	50	52.72	n/a	n/a	2.50	0.0
IONIC CAPITAL MANAGEMENT	041	RKT	B	8,600	112.10	n/a	17-Jun	258.00	0.0
SANDLER O'NEILL ASSET	031	RLGY	B	25,000	45.51	n/a	n/a	1,250.00	0.0
J. GOLDMAN	028	ROC	B	7,000	67.62	n/a	n/a	280.00	0.0
IONIC CAPITAL MANAGEMENT	041	SPY	B	7,168	170.90	n/a	n/a	215.04	0.0
PATTEN & PATTEN	025	SPY	S	70	170.85	n/a	n/a	3.50	0.0
PATTEN & PATTEN	025	STI	B	25	33.82	n/a	n/a	1.25	0.0
IRIDIAN ASSET MGMT.	036	STX	B	85,040	41.29	n/a	n/a	4,252.00	0.0
IMPALA ASSET MMT	040	SWFT	B	24,300	19.64	n/a	n/a	972.00	0.0
PRIMECAP MGMT	084	SYMC	S	5,000	25.30	n/a	n/a	200.00	0.0
PATTEN & PATTEN	025	TFM	B	150	48.69	n/a	n/a	7.50	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TFSL	S	5,000	11.45		n/a n/a	150.00	0.0
PATTEN & PATTEN	025	TGT	S	400	64.84	n/a	23-May	20.00	0.0
IMPALA ASSET MMT	040	TLT	SS	89,249	103.45	n/a	n/a	4,462.45	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAR CAPITAL	029	TRIP	S	112,692	73.67	n/a	n/a	4,507.68	0.0
IMPALA ASSET MMT	040	TRW	S	15,000	72.43	n/a	n/a	750.00	0.0
FOCUSED INVESTORS	084	UNH	S	800	72.66	n/a	n/a	32.00	0.0
IMPALA ASSET MMT	040	UNP	B	300	157.60	n/a	n/a	15.00	0.0
IMPALA ASSET MMT	040	UNP	S	300	157.75	n/a	n/a	15.00	0.0
IMPALA ASSET MMT	040	UPS	B	4,628	90.28	n/a	n/a	231.40	0.0
SIGMA CAPITAL ASSOCIATES	041	URBN	S	25,000	37.93	n/a	n/a	750.00	0.0
IMPALA ASSET MMT	040	WBC	S	443	85.55	n/a	31-May	22.15	0.0
FOCUSED INVESTORS	084	WFC	S	1,700	42.80	n/a	6-Jun	68.00	0.0
FOCUSED INVESTORS	084	WMT	S	1,800	75.46	n/a	16-May	72.00	0.0
IMPALA ASSET MMT	040	WSO	S	100	91.80	n/a	n/a	5.00	0.0
IMPALA ASSET MMT	040	WY	B	110,000	28.88	n/a	19-Jun	4,400.00	0.0
PATTEN & PATTEN	025	WY	B	500	28.19	n/a	19-Jun	25.00	0.0
PERRY PARTNERS	085	XLF	SS	100,000	20.46	n/a	n/a	5,000.00	0.0
IMPALA ASSET MMT	040	XLU	SS	28,900	38.59	n/a	n/a	1,156.00	0.0
PATTEN & PATTEN	025	XOM	S	50	88.56	n/a	n/a	2.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FOCUSED INVESTORS	084	ZMH	S	500	82.62	n/a	n/a	20.00	0.0
<b>TOTAL (Trade Date):</b>							<b>80,507.52</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/17	GLG PARTNERS (GLGPGLGCEN)	044	CPN	S	29	19.59	n/a	n/a	0.87	0.0
AO,	09/17	GLG PARTNERS (GLGPELSAL)	044	CPN	S	3,477	19.59	n/a	n/a	104.31	0.0
AO,CXL	09/17	GLG PARTNERS (GLGPELSCS)	044	CPN	S	12,000	19.59	n/a	n/a	480.00	0.0
AO,	09/17	GLG PARTNERS (GLGPNAOPF)	044	CPN	S	8,494	19.59	n/a	n/a	254.82	0.0
AO,	09/16	TIEDEMANN/TIG ADVISORS LLC (TIEDBNY)	006	MIC	B	300	53.81	n/a	n/a	15.00	0.0
AO,CXL	09/16	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)	006	MIC	B	2,210	53.81	n/a	n/a	110.50	0.0
AO,	09/16	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)	006	MIC	B	1,910	53.81	n/a	n/a	110.50	0.0
AO,CXL	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	SUSS	S	13,885	52.16	n/a	n/a	416.55	0.0
AO,	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	SUSS	S	12,000	52.16	n/a	n/a	416.55	0.0
AO,	09/16	GUGGENHEIM GLOBAL TRADING (GGT) (GUGGCSFB)	251	SUSS	S	1,885	52.16	n/a	n/a	56.55	0.0
AO,CXL	09/17	IMPALA ASSET MMT (IMPAFIDELI)	040	UNP	S	14,027	155.91	n/a	n/a	701.35	0.0
AO,	09/17	IMPALA ASSET MMT (IMPAFIDELI)	040	UNP	S	14,027	155.92	n/a	n/a	701.35	0.0
AO,CXL	09/17	IMPALA ASSET MMT (IMPACITI)	040	UNP	S	1,973	155.91	n/a	n/a	98.65	0.0
AO,	09/17	IMPALA ASSET MMT (IMPACITI)	040	UNP	S	973	155.92	n/a	n/a	48.65	0.0
AO,	09/17	IMPALA ASSET MMT (IMPACITI)	040	UNP	S	1,000	155.82	n/a	n/a	50.00	0.0

**TOTAL (AO, CXL, CRT) :****-48.45**

TOTAL (Trade Date) :

80,507.52

TOTAL (AO, CXL, CRT) :

-48.45

**TOTAL (RUN DATE) / NFS:****80,459.07**



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