



Daily Compliance Activity Report

Trade Date: 08/01/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	200,000	6.06	n/a	n/a	6,000.00	0.0
EDGEWOOD	085	AAPL	S	655	456.32	n/a	n/a	32.75	0.0
PATTEN & PATTEN	025	AAPL	S	50	455.65	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	AGG	S	500	106.48	n/a	n/a	25.00	0.0
EDGEWOOD	085	AGN	S	3,435	91.26	n/a	17-Jun	171.75	0.0
STRONG/MARK GRONET	030	ALK	S	15,000	62.61	n/a	n/a	600.00	0.0
EDGEWOOD	085	AMT	S	5,289	71.29	n/a	n/a	264.45	0.0
EDGEWOOD	085	AMZN	S	1,369	305.94	n/a	n/a	68.45	0.0
Õ Jack Chernus		ARP	B	1500	21.7000	n/a	n/a	0.00	0.0
Õ Jack Chernus		ARP	S	15	0.4000	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	13,352	19.13	n/a	19-Jun	534.08	0.0
SCOPUS FUND	041	AXL	B	146,751	19.70	n/a	19-Jun	5,870.04	0.0
PATTEN & PATTEN	025	BA	B	400	106.79	n/a	11-Jun	20.00	0.0
PATTEN & PATTEN	025	BDX	S	150	103.07	n/a	n/a	7.50	0.0
BASSWOOD PARTNERS	267	BK	B	69,800	32.19	n/a	6-Jun	2,792.00	0.0
PRIMECAP MGMT	084	BMRN	B	2,500	64.55	n/a	n/a	100.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COBALT	041	BTU	B	100,000	16.55	n/a	n/a	4,000.00	0.0
CAPITAL GROWTH MGMT.	241	BWA	B	70,000	97.23	n/a	19-Jun	3,500.00	0.0
EDGEWOOD	085	CELG	S	4,197	148.73	n/a	n/a	209.85	0.0
SONICA CAPITAL LLC	025	CL	B	6,900	60.55	n/a	17-Jun	207.00	0.0
EDGEWOOD	085	CME	S	5,577	72.18	n/a	28-Apr	278.85	0.0
EDGEWOOD	085	CMG	S	799	413.84	n/a	3-Jun	39.96	0.0
SONICA CAPITAL LLC	025	CMG	S	3,600	413.95	n/a	3-Jun	108.00	0.0
PATTEN & PATTEN	025	COV	B	6,000	62.99	n/a	n/a	300.00	0.0
EDGEWOOD	085	CTSH	S	3,596	73.47	n/a	n/a	179.80	0.0
SANDLER O'NEILL ASSET	031	C	B	500	53.04	n/a	17-Jun	25.00	0.0
PATTEN & PATTEN	025	DGX	S	450	58.64	n/a	n/a	22.50	0.0
PATTEN & PATTEN	025	DON	B	300	70.69	n/a	n/a	15.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	25,000	63.59	n/a	10-May	750.00	0.0
ROTHSCHILD ASSET	040	DTV	S	31,649	61.07	n/a	n/a	1,265.96	0.0
LATEEF MGMT	033	DVN	S	225	56.37	n/a	13-Jun	40.50	0.0
CASTLEROCK	040	EAT	SS	2,000	40.96	n/a	13-May	80.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLIAMS TRADING/BBLUE MTN	087	EA	S	100,000	26.47	n/a	n/a	3,000.00	0.0
EDGEWOOD	085	ECL	S	3,272	94.06	n/a	18-Jan	163.60	0.0
PATTEN & PATTEN	025	EELV	B	4,800	27.55	n/a	n/a	240.00	0.0
PATTEN & PATTEN	025	EPP	S	2,100	45.01	n/a	n/a	105.00	0.0
EDGEWOOD	085	EQIX	S	1,403	177.08	n/a	n/a	70.15	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	ETN	B	10,000	69.98	n/a	12-Jun	300.00	0.0
PATTEN & PATTEN	025	EWA	B	1,000	23.32	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	EWG	S	2,600	26.74	n/a	n/a	130.00	0.0
CHARTER OAK	033	FCX	B	50,000	28.86	n/a	n/a	2,000.00	0.0
PATTEN & PATTEN	025	FCX	B	600	29.15	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	FCX	S	2,300	29.14	n/a	n/a	115.00	0.0
KENNEDY CAPITAL	046	FINL	B	7,880	22.74	n/a	19-Jun	315.20	0.0
ACK ASSET	028	FLOW	B	10,000	3.88	n/a	n/a	300.00	0.0
ACK ASSET	028	FLOW	S	10,000	3.88	n/a	n/a	300.00	0.0
EDGEWOOD	085	FTI	S	4,547	54.89	n/a	n/a	227.35	0.0
Ö Jack Chernus		FWM	S	20	0.7000	n/a	n/a	0.00	0.0
EDGEWOOD	085	GILD	S	8,217	61.99	n/a	n/a	410.85	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	C	15,000	36.43	n/a	19-Jun	450.00	0.0
PECONIC PARTNERS	036	GM	B	10,000	36.50	n/a	19-Jun	500.00	0.0
EDGEWOOD	085	GOOG	S	556	903.60	n/a	n/a	27.80	0.0
PATTEN & PATTEN	025	GOV	S	500	25.06	n/a	n/a	25.00	0.0
CLEARLINE CAPITAL LLC	040	GRA	B	20,000	78.51	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	HON	S	200	84.41	n/a	19-Apr	10.00	0.0
CAPITAL GROWTH MGMT.	241	HTZ	S	100,000	24.67	n/a	n/a	5,000.00	0.0
EDGEWOOD	085	IHS	S	3,332	113.12	n/a	n/a	166.60	0.0
PATTEN & PATTEN	025	IJH	B	700	125.79	n/a	n/a	35.00	0.0
PATTEN & PATTEN	025	ILF	S	500	36.85	n/a	n/a	25.00	0.0
EDGEWOOD	085	ILMN	S	5,103	79.43	n/a	n/a	255.15	0.0
EDGEWOOD	085	ISRG	S	699	392.85	n/a	n/a	34.96	0.0
MARCATO CAPITAL MGMT.	029	IWM	S	80,000	105.16	n/a	n/a	3,200.00	0.0
HARVEST MGMT (JMP)	029	JCP	SS	20,000	14.87	n/a	18-Jun	1,000.00	0.0
MACELLUM CAPITAL	086	JCP	B	95,000	15.35	n/a	18-Jun	2,850.00	0.0
PATTEN & PATTEN	025	JNJ	S	150	93.85	n/a	n/a	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CR INTRINIC INVESTMENT	044	JNPR	SS	20,000	21.80	n/a	26-Feb	600.00	0.0	
KENNEDY CAPITAL	046	JNY	S	50,000	17.00	n/a	2-May	2,000.00	0.0	
PATTEN & PATTEN	025	JWN	S	350	62.11	n/a	18-Jun	17.50	0.0	
PATTEN & PATTEN	025	KMB	S	300	98.86	n/a	17-Jun	15.00	0.0	
MAPLE ROW	006	LYB	B	12,500	68.48	n/a	n/a	625.00	0.0	
MAPLE ROW	006	MAS	S	9,500	21.06	n/a	n/a	475.00	0.0	
EDGEWOOD	085	MJN	S	2,143	72.79	n/a	n/a	107.15	0.0	
PATTEN & PATTEN	025	MOS	B	500	41.95	n/a	n/a	25.00	0.0	
PATTEN & PATTEN	025	MRK	S	180	48.51	n/a	n/a	9.00	0.0	
PATTEN & PATTEN	025	MSFT	S	2,300	31.69	n/a	n/a	115.00	0.0	
PATTEN & PATTEN	025	MWV	B	2,900	37.69	n/a	18-Jun	145.00	0.0	
M&I FUNDS	047	M	B	5,228	49.50	n/a	18-Jun	209.12	0.0	
PATTEN & PATTEN	025	NEE	S	650	88.13	n/a	n/a	32.50	0.0	
PATTEN & PATTEN	025	NKE	B	400	66.11	n/a	19-Jun	20.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	NUAN	S	5,000	19.05		n/a	n/a	150.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	NUVA	B	5,000	22.61	n/a	n/a	200.00	0.0
J. GOLDMAN	028	OEI	B	20,000	12.72	n/a	n/a	800.00	0.0
PATTEN & PATTEN	025	PEP	S	160	84.08	n/a	n/a	8.00	0.0
PATTEN & PATTEN	025	PG	S	400	81.61	n/a	17-Jun	20.00	0.0
PATTEN & PATTEN	025	PM	S	125	89.64	n/a	n/a	6.25	0.0
EDGEWOOD	085	QCOM	S	4,256	65.25	n/a	n/a	212.80	0.0
ROARING BLUE LION MGMT	031	QCOM	B	51,000	64.97	n/a	n/a	2,180.00	0.0
PATTEN & PATTEN	025	RHHBY	S	200	61.41	n/a	n/a	10.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	S	65,600	117.61	n/a	17-Jun	2,624.00	0.0
RAINIER INV MGMT	033	ROK	B	52,680	99.33	n/a	n/a	2,107.20	0.0
BALYASNY ASSET MGMT	044	ROST	B	25,000	68.78	n/a	18-Jun	1,250.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	43,600	75.61	n/a	17-Jun	1,308.00	0.0
ENTRUST CAPITAL	040	SNY	B	26,441	51.00	n/a	n/a	1,322.05	0.0
LATEEF MGMT	033	SPLS	S	300	17.19	n/a	n/a	30.00	0.0
WADDELL AND REED	047	SSI	B	145,000	25.25	n/a	18-Jun	5,800.00	0.0
CAPITAL GROWTH MGMT.	241	SSS	B	20,000	71.29	n/a	n/a	1,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	SWN	S	800	40.01	n/a	13-Jun	40.00	0.0
Õ Nilsa Vazquez		TBT	B	1050	77.6960	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	TRN	B	2,400	40.81	n/a	n/a	120.00	0.0
EDGEWOOD	085	TROW	S	4,717	76.79	n/a	n/a	235.85	0.0
APEX CAPITAL MGMT.	033	TYC	S	75,000	35.25	n/a	26-Apr	3,000.00	0.0
PATTEN & PATTEN	025	UNM	S	253	32.91	n/a	n/a	12.65	0.0
PATTEN & PATTEN	025	UPS	S	100	88.40	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	VEU	B	400	46.97	n/a	n/a	20.00	0.0
EDGEWOOD	085	VIAB	S	5,290	74.42	n/a	n/a	264.50	0.0
KEYGROUP/KGLT	040	VLO	S	25,000	36.17	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	VNQ	B	150	69.26	n/a	n/a	7.50	0.0
EDGEWOOD	085	V	S	2,476	178.87	n/a	11-Jun	123.80	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	16,700	24.02	n/a	n/a	501.00	0.0
LOMAS CAPITAL	040	WY	B	105,000	28.61	n/a	19-Jun	3,150.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	B	20,000	28.70	n/a	19-Jun	600.00	0.0
SONICA CAPITAL LLC	025	YHOO	S	40,000	27.97	n/a	n/a	1,200.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	YUM	S	4,604	73.89	n/a	17-Jun	230.20	0.0
PARKWEST	084	ZBRA	SS	10,000	48.03	n/a	n/a	400.00	0.0
TOTAL (Trade Date):								83,789.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/31	BESSEMER INVESTMENT (BESS8G2653)	085	AMGN	B	1,000	108.03	n/a	n/a	40.00	0.0
AO,	07/31	BESSEMER INVESTMENT (BESSMAIN)	085	AMGN	B	1,000	108.03	n/a	n/a	40.00	0.0
AO,CXL	07/31	TIDE POINT CAPITAL (TIDEGS)	028	GM	S	75,000	36.07	n/a	19-Jun	2250.00	0.0
AO,	07/31	TIDE POINT CAPITAL (TIDEGS)	028	GM	S	75,000	36.07	n/a	19-Jun	2250.00	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	IWM	B	2,649	103.98	n/a	n/a	79.47	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	IWM	B	5,744	103.98	n/a	n/a	79.47	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	IWM	B	6,157	103.98	n/a	n/a	184.71	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	IWM	B	12,344	103.98	n/a	n/a	184.71	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	IWM	B	9,982	103.98	n/a	n/a	299.46	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	IWM	B	15,138	103.98	n/a	n/a	299.46	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	IWM	B	24,167	103.98	n/a	n/a	725.01	0.0
AO,	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	IWM	B	9,729	103.98	n/a	n/a	725.01	0.0
TOTAL (AO, CXL, CRT) :										0.00	

TOTAL (Trade Date) :	83,789.17
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	83,789.17
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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