



Daily Compliance Activity Report

Trade Date: 07/15/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	AAPL	B	32	429.00	n/a	n/a	1.28	0.0
PATTEN & PATTEN	025	AAPL	B	30	428.98	n/a	n/a	1.50	0.0
COLUMBIA PARTNERS	028	ABC	B	14	58.22	n/a	n/a	0.56	0.0
COLUMBIA PARTNERS	028	ABT	B	264	35.39	n/a	n/a	10.56	0.0
PORTER-ORLIN	044	AFSI	B	30,000	39.93	n/a	n/a	1,200.00	0.0
PORTER-ORLIN	044	AGO	B	15,000	22.81	n/a	n/a	600.00	0.0
COLUMBIA PARTNERS	028	AMGN	B	27	104.34	n/a	n/a	1.08	0.0
PATTEN & PATTEN	025	APC	S	100	89.42	n/a	13-Jun	5.00	0.0
LATEEF MGMT	033	AREPRE	B	300	24.08	n/a	n/a	33.00	0.0
DEPRINCE, RACE & ZOLLO	093	ARO	B	24,000	14.86	n/a	n/a	720.00	0.0
TYVOR CAPITAL LLC	031	ARO	B	300	14.45	n/a	n/a	7.50	0.0
COLUMBIA PARTNERS	028	AZN	B	82	49.57	n/a	n/a	3.28	0.0
COLUMBIA PARTNERS	028	BAX	B	14	72.61	n/a	n/a	0.56	0.0
COLUMBIA PARTNERS	028	BDX	B	9	102.20	n/a	n/a	0.36	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BIG	S	15,000	35.35	n/a	n/a	450.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	BMJ	B	90	45.18	n/a	n/a	3.60	0.0
COLUMBIA PARTNERS	028	BP	B	137	42.34	n/a	n/a	5.48	0.0
COLUMBIA PARTNERS	028	BTI	B	88	106.46	n/a	n/a	3.52	0.0
COLUMBIA PARTNERS	028	BUD	B	40	92.04	n/a	17-Jun	1.60	0.0
COLUMBIA PARTNERS	028	CAH	B	13	49.76	n/a	n/a	0.52	0.0
PATTEN & PATTEN	025	CAT	S	60	87.56	n/a	11-Jul	3.00	0.0
PATTEN & PATTEN	025	CBT	B	200	39.41	n/a	n/a	10.00	0.0
COLUMBIA PARTNERS	028	CHD	B	32	63.84	n/a	17-Jun	1.28	0.0
PATTEN & PATTEN	025	CLF	B	200	17.28	n/a	n/a	10.00	0.0
COLUMBIA PARTNERS	028	CL	B	262	58.87	n/a	17-Jun	10.48	0.0
COLUMBIA PARTNERS	028	COST	B	16	115.83	n/a	n/a	0.64	0.0
COLUMBIA PARTNERS	028	CSCO	B	1,385	25.93	n/a	26-Feb	55.40	0.0
PATTEN & PATTEN	025	CSCO	B	700	25.71	n/a	26-Feb	35.00	0.0
COLUMBIA PARTNERS	028	CVS	B	41	60.80	n/a	n/a	1.64	0.0
COLUMBIA PARTNERS	028	CVX	B	191	125.07	n/a	n/a	7.64	0.0
COLUMBIA PARTNERS	028	DCM	B	297	15.96	n/a	n/a	11.88	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	DFT	B	2,580	24.47	n/a	n/a	103.20	0.0
COLUMBIA PARTNERS	028	DGX	B	52	59.76	n/a	n/a	2.08	0.0
PATTEN & PATTEN	025	DOW	B	200	34.32	n/a	n/a	10.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPS	SS	25,000	47.49	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	EIDO	B	200	30.57	n/a	n/a	10.00	0.0
COLUMBIA PARTNERS	028	EMC	B	92	25.32	n/a	26-Feb	3.68	0.0
COLUMBIA PARTNERS	028	ESRX	B	371	64.98	n/a	n/a	14.84	0.0
PATTEN & PATTEN	025	ETN	B	100	68.35	n/a	12-Jun	5.00	0.0
PEAK INV/OAKMONT/CYPRESS	084	ETN	B	119,000	68.30	n/a	12-Jun	4,760.00	0.0
PATTEN & PATTEN	025	EWC	S	100	27.42	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	EWZ	S	200	43.05	n/a	n/a	10.00	0.0
DAVIDSON KEMPNER FRAN	028	EXPR	B	7,719	23.00	n/a	n/a	385.95	0.0
PATTEN & PATTEN	025	FCX	B	100	28.16	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	FCX	S	600	28.11	n/a	n/a	30.00	0.0
MERRILL ASSET/BLACKROCK	085	FMER	B	2,730	21.12	n/a	n/a	109.20	0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	22.07	n/a	9-May	400.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	F	SS	6,000	17.24	n/a	19-Jun	180.00	0.0
PATTEN & PATTEN	025	GDX	S	400	24.31	n/a	n/a	20.00	0.0
COLUMBIA PARTNERS	028	GILD	B	36	57.57	n/a	n/a	1.44	0.0
COLUMBIA PARTNERS	028	GIS	B	6	51.32	n/a	n/a	0.24	0.0
CAERUS GLOBAL	041	GM	S	20,000	36.56	n/a	19-Jun	800.00	0.0
COLUMBIA PARTNERS	028	GOOG	B	40	926.40	n/a	n/a	1.60	0.0
PATTEN & PATTEN	025	GOV	S	600	26.24	n/a	n/a	30.00	0.0
COLUMBIA PARTNERS	028	GSK	B	170	52.76	n/a	n/a	6.80	0.0
LOMAS CAPITAL	040	GS	S	20,000	161.97	n/a	6-May	600.00	0.0
KEY ASSET MGMT/VICTORY	220	HON	S	101,000	82.02	n/a	19-Apr	4,040.00	0.0
COLUMBIA PARTNERS	028	HPQ	B	989	26.36	n/a	n/a	39.56	0.0
COLUMBIA PARTNERS	028	IBM	B	96	194.05	n/a	n/a	3.84	0.0
LONG OAR GLOBAL INV	040	INGR	SS	6,000	62.59	n/a	n/a	240.00	0.0
PATTEN & PATTEN	025	INTC	B	300	23.92	n/a	n/a	15.00	0.0
PATTEN & PATTEN	025	INTC	S	1,000	23.81	n/a	n/a	50.00	0.0
INVESCO	031	IPG	S	112,549	15.64	n/a	n/a	4,501.96	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	IVR	B	6,000	16.41	n/a	n/a	300.00	0.0
STRONG/MARK GRONET	030	JBLU	B	24,005	6.48	n/a	18-Jun	720.15	0.0
COLUMBIA PARTNERS	028	JNJ	B	440	90.50	n/a	n/a	17.60	0.0
RIDGECREST INV MGMT LLC	028	KEX	S	5,000	83.62	n/a	n/a	200.00	0.0
COLUMBIA PARTNERS	028	KMB	B	4	99.94	n/a	17-Jun	0.16	0.0
BRONSON POINT	036	KMT	C	25,000	40.30	n/a	n/a	750.00	0.0
TYVOR CAPITAL LLC	031	KORS	B	20,000	62.10	n/a	30-May	500.00	0.0
COLUMBIA PARTNERS	028	KO	B	790	41.01	n/a	17-Jun	31.60	0.0
COLUMBIA PARTNERS	028	LH	B	50	97.66	n/a	n/a	2.00	0.0
COLUMBIA PARTNERS	028	LLY	B	29	51.61	n/a	n/a	1.16	0.0
COLUMBIA PARTNERS	028	LO	B	245	46.24	n/a	n/a	9.80	0.0
MERRILL ASSET/BLACKROCK	085	LUK	S	5,175	26.83	n/a	n/a	207.00	0.0
COLUMBIA PARTNERS	028	MA	B	19	596.95	n/a	13-Jun	0.76	0.0
COLUMBIA PARTNERS	028	MCD	B	145	101.03	n/a	17-Jun	5.80	0.0
COLUMBIA PARTNERS	028	MCK	B	8	119.19	n/a	n/a	0.32	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	MDT	B	143	53.84	n/a	n/a	5.72	0.0
COLUMBIA PARTNERS	028	MMM	B	64	114.89	n/a	n/a	2.56	0.0
S.A.C. CAPITAL	044	MOS	B	25,000	56.00	n/a	n/a	750.00	0.0
COLUMBIA PARTNERS	028	MRK	B	55	48.87	n/a	n/a	2.20	0.0
COLUMBIA PARTNERS	028	MSFT	B	957	36.06	n/a	n/a	38.28	0.0
PATTEN & PATTEN	025	MWV	B	500	35.99	n/a	18-Jun	25.00	0.0
COLUMBIA PARTNERS	028	NKE	B	96	63.38	n/a	19-Jun	3.84	0.0
PATTEN & PATTEN	025	NOK	B	3,500	4.12	n/a	n/a	175.00	0.0
COLUMBIA PARTNERS	028	NSRGY	B	170	67.45	n/a	n/a	6.80	0.0
PATTEN & PATTEN	025	NSRGY	S	50	67.42	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	NUAN	S	800	18.99	n/a	n/a	40.00	0.0
ROSEDALE CAPITAL	046	NUAN	B	15,000	19.06	n/a	n/a	750.00	0.0
COLUMBIA PARTNERS	028	NVO	B	11	164.02	n/a	n/a	0.44	0.0
COLUMBIA PARTNERS	028	NVS	B	146	73.69	n/a	n/a	5.84	0.0
INTERVAL PARTNERS	033	NWL	B	15,000	26.99	n/a	n/a	450.00	0.0
COLUMBIA PARTNERS	028	ORCL	B	962	32.01	n/a	n/a	38.48	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
HERRING CREEK CAPITAL MGMT LLC040		OUTR	S	20,000	63.61		n/a	n/a	600.00	0.0
COLUMBIA PARTNERS	028	PEP	B	256	84.74	n/a	n/a		10.24	0.0
COLUMBIA PARTNERS	028	PFE	B	983	28.83	n/a	n/a		39.32	0.0
COLUMBIA PARTNERS	028	PG	B	272	81.36	n/a	17-Jun		10.88	0.0
COLUMBIA PARTNERS	028	PM	B	268	89.82	n/a	n/a		10.72	0.0
MERRILL ASSET/BLACKROCK	085	PRU	B	8,100	77.93	n/a	n/a		324.00	0.0
COLUMBIA PARTNERS	028	QCOM	B	87	61.16	n/a	n/a		3.48	0.0
COLUMBIA PARTNERS	028	RDSA	B	122	66.72	n/a	n/a		4.88	0.0
COLUMBIA PARTNERS	028	RHHBY	B	174	63.68	n/a	n/a		6.96	0.0
COLUMBIA PARTNERS	028	SAP	B	71	75.12	n/a	n/a		2.84	0.0
BRIGADE CAPITAL MGMT	029	SD	S	24,741	4.86	n/a	n/a		742.23	0.0
NOKOMIS PARTNERS	031	SIMO	B	47,533	10.54	n/a	n/a		1,425.99	0.0
COLUMBIA PARTNERS	028	SNY	B	178	52.66	n/a	n/a		7.12	0.0
TYVOR CAPITAL LLC	031	SSI	B	15,000	24.66	n/a	18-Jun		375.00	0.0
COLUMBIA PARTNERS	028	SYK	B	5	68.00	n/a	n/a		0.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	SYX	B	86	35.76	n/a	n/a	3.44	0.0
COLUMBIA PARTNERS	028	TGT	B	223	72.51	n/a	23-May	8.92	0.0
COLUMBIA PARTNERS	028	TJX	B	35	52.19	n/a	18-Jun	1.40	0.0
COLUMBIA PARTNERS	028	TKPYY	B	67	23.86	n/a	n/a	2.68	0.0
COLUMBIA PARTNERS	028	TOT	B	123	50.84	n/a	n/a	4.92	0.0
COLUMBIA PARTNERS	028	TSCDY	B	255	16.17	n/a	n/a	10.20	0.0
COLUMBIA PARTNERS	028	UNH	B	78	67.76	n/a	n/a	3.12	0.0
COLUMBIA PARTNERS	028	UN	B	284	41.61	n/a	n/a	11.36	0.0
PATTEN & PATTEN	025	VNQ	B	300	71.47	n/a	n/a	15.00	0.0
COLUMBIA PARTNERS	028	V	B	48	190.80	n/a	11-Jun	1.92	0.0
COLUMBIA PARTNERS	028	WAG	B	10	49.10	n/a	n/a	0.40	0.0
COLUMBIA PARTNERS	028	WMT	B	264	77.12	n/a	16-May	10.56	0.0
COLUMBIA PARTNERS	028	XOM	B	94	93.41	n/a	n/a	3.76	0.0
COLUMBIA PARTNERS	028	YHOO	B	41	27.31	n/a	n/a	1.64	0.0
COLUMBIA PARTNERS	028	YUM	B	17	72.07	n/a	17-Jun	0.68	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	ZMH	B	91	79.43	n/a	n/a	3.64	0.0
TOTAL (Trade Date):							29,021.26		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/12	HARVEST MGMT (JMP) (HARVGSCO)	029	ASNA	B	10,000	18.53	n/a	n/a	500.00 0.0
AO,CRT	07/12	HARVEST MGMT (JMP) (HARVGSCO)	029	ASNA	B	10,000	18.53	n/a	n/a	400.00 4.0
AO,CXL	07/12	CENTURION PARTNERS (CENTBSPT)	041	TMUS	S	20,000	24.71	n/a	n/a	1000.00 0.0
AO,CRT	07/12	CENTURION PARTNERS (CENTBSPT)	041	TMUS	S	20,000	24.71	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										-300.00

TOTAL (Trade Date) :	29,021.26
TOTAL (AO, CXL, CRT) :	-300.00

TOTAL (RUN DATE) / NFS :	28,721.26
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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