

## **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	В	32	429.00	n/a	n/a	1.28	0.0
PATTEN & PATTEN	025	AAPL	В		428.98	n/a	n/a	1.50	0.0
COLUMBIA PARTNERS	028	ABC	В	14	58.22	n/a	n/a	0.56	0.0
COLUMBIA PARTNERS	028	ABT	В	264	35.39	n/a	n/a	10.56	0.0
PORTER-ORLIN	044	AFSI	В	30,000	39.93	n/a	n/a	1,200.00	0.0
PORTER-ORLIN	044	AGO	В	15,000	22.81	n/a	n/a	600.00	0.0
COLUMBIA PARTNERS	028	AMGN	В	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	В	300	24.08	n/a	n/a	33.00	0.0
DEPRINCE, RACE & ZOLLO	093	ARO	В	24,000	14.86	n/a	n/a	720.00	0.0
TYVOR CAPITAL LLC	031	ARO	В	300	14.45	n/a	n/a	7.50	0.0
COLUMBIA PARTNERS	028	AZN	В	82	49.57	n/a	n/a	3.28	0.0
COLUMBIA PARTNERS	028	BAX	В	14	72.61	n/a	n/a	0.56	0.0
COLUMBIA PARTNERS	028	BDX	В	9	102.20	n/a	n/a	0.36	0.0
GUGGENHEIM GLOBAL TRADIN	G (GGT)2	:51 BIG	j	s 15,	000 35.3	5	n/a n	/a 450	.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
COLUMBIA PARTNERS	028	BMY	В	90	45.18	n/a	n/a	3.60	0.0
COLUMBIA PARTNERS	028	BP	В	137	42.34	n/a	n/a	5.48	0.0
COLUMBIA PARTNERS	028	BTI	В	88	106.46	n/a	n/a	3.52	0.0
COLUMBIA PARTNERS	028	BUD	В	40	92.04	n/a	17-Jun	1.60	0.0
COLUMBIA PARTNERS	028	САН	В	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	В	200	39.41	n/a	n/a	10.00	0.0
COLUMBIA PARTNERS	028	CHD	В	32	63.84	n/a	17-Jun	1.28	0.0
PATTEN & PATTEN	025	CLF	В	200	17.28	n/a	n/a	10.00	0.0
COLUMBIA PARTNERS	028	CL	В	262	58.87	n/a	17-Jun	10.48	0.0
COLUMBIA PARTNERS	028	COST	В	16	115.83	n/a	n/a	0.64	0.0
COLUMBIA PARTNERS	028	CSCO	В	1,385	25.93	n/a	26-Feb	55.40	0.0
PATTEN & PATTEN	025	CSCO	В	700	25.71	n/a	26-Feb	35.00	0.0
COLUMBIA PARTNERS	028	CVS	В	41	60.80	n/a	n/a	1.64	0.0
COLUMBIA PARTNERS	028	CVX	В	191	125.07	n/a	n/a	7.64	0.0
COLUMBIA PARTNERS	028	DCM	В	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	В	2,580	24.47	n/a	n/a	103.20	0.0
COLUMBIA PARTNERS	028	DGX	В	52	59.76	n/a	n/a	2.08	0.0
PATTEN & PATTEN	025	DOW	В	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	В	200	30.57	n/a	n/a	10.00	0.0
COLUMBIA PARTNERS	028	EMC	В	92	25.32	n/a	26-Feb	3.68	0.0
COLUMBIA PARTNERS	028	ESRX	В	371	64.98	n/a	n/a	14.84	0.0
PATTEN & PATTEN	025	ETN	В	100	68.35	n/a	12-Jun	5.00	0.0
PEAK INV/OAKMONT/CYPRESS	084	ETN	В	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	В	7,719	23.00	n/a	n/a	385.95	0.0
PATTEN & PATTEN	025	FCX	В	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	В	2,730	21.12	n/a	n/a	109.20	0.0
PROSPECTOR PARTNERS LLC	036	FOR	В	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	В	36	57.57	n/a	n/a	1.44	0.0
COLUMBIA PARTNERS	028	GIS	В	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	В	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	В	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		В	989	26.36	n/a	n/a	39.56	0.0
COLUMBIA PARINERS	028	HPQ	В	989	20.30	n/a	n/a	39.56	0.0
COLUMBIA PARTNERS	028	IBM	В	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	В	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
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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	В	6,000	16.41	n/a	n/a	300.00	0.0
STRONG/MARK GRONET	030	JBLU	В	24,005	6.48	n/a	18-Jun	720.15	0.0
COLUMBIA PARTNERS	028	JNJ	В	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	В	4	99.94	n/a	17-Jun	0.16	0.0
BRONSON POINT	036	KMT	С	25,000	40.30	n/a	n/a	750.00	0.0
TYVOR CAPITAL LLC	031	KORS	В	20,000	62.10	n/a	30-May	500.00	0.0
COLUMBIA PARTNERS	028	KO	В	790	41.01	n/a	17-Jun	31.60	0.0
COLUMBIA PARTNERS	028	LH	В	50	97.66	n/a	n/a	2.00	0.0
COLUMBIA PARTNERS	028	LLY	В	29	51.61	n/a	n/a	1.16	0.0
COLUMBIA PARTNERS	028	LO	В	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	В	19	596.95	n/a	13-Jun	0.76	0.0
COLUMBIA PARTNERS	028	MCD	В	145	101.03	n/a	17-Jun	5.80	0.0
COLUMBIA PARTNERS	028	MCK	В	8	119.19	n/a	n/a	0.32	0.0
	PATTEN & PATTEN  STRONG/MARK GRONET  COLUMBIA PARTNERS  RIDGECREST INV MGMT LLC  COLUMBIA PARTNERS  BRONSON POINT  TYVOR CAPITAL LLC  COLUMBIA PARTNERS  COLUMBIA PARTNERS  COLUMBIA PARTNERS  COLUMBIA PARTNERS  COLUMBIA PARTNERS  COLUMBIA PARTNERS  MERRILL ASSET/BLACKROCK  COLUMBIA PARTNERS  COLUMBIA PARTNERS	PATTEN & PATTEN 025  STRONG/MARK GRONET 030  COLUMBIA PARTNERS 028  RIDGECREST INV MGMT LLC 028  COLUMBIA PARTNERS 028  BRONSON POINT 036  TYVOR CAPITAL LLC 031  COLUMBIA PARTNERS 028  COLUMBIA PARTNERS 028	PATTEN & PATTEN 025 IVR  STRONG/MARK GRONET 030 JBLU  COLUMBIA PARTNERS 028 JNJ  RIDGECREST INV MGMT LLC 028 KEX  COLUMBIA PARTNERS 028 KMB  BRONSON POINT 036 KMT  TYVOR CAPITAL LLC 031 KORS  COLUMBIA PARTNERS 028 KO  COLUMBIA PARTNERS 028 LH  COLUMBIA PARTNERS 028 LH  COLUMBIA PARTNERS 028 LLY  COLUMBIA PARTNERS 028 LO  MERRILL ASSET/BLACKROCK 085 LUK  COLUMBIA PARTNERS 028 MA  COLUMBIA PARTNERS 028 MA	PATTEN & PATTEN  STRONG/MARK GRONET  O30 JBLU  B  COLUMBIA PARTNERS  O28 JNJ  B  RIDGECREST INV MGMT LLC  O28 KEX  S  COLUMBIA PARTNERS  O28 KMB  B  BRONSON POINT  O36 KMT  C  TYVOR CAPITAL LLC  O31 KORS  B  COLUMBIA PARTNERS  O28 KO  B  COLUMBIA PARTNERS  O28 LH  B  COLUMBIA PARTNERS  O28 LLY  B  COLUMBIA PARTNERS  O28 LLY  B  COLUMBIA PARTNERS  O28 LO  B  MERRILL ASSET/BLACKROCK  O85 LUK  S  COLUMBIA PARTNERS  O28 MA  B  COLUMBIA PARTNERS  O28 MA  B  COLUMBIA PARTNERS  O28 MA  B	PATTEN & PATTEN 025 IVR B 6,000  STRONG/MARK GRONET 030 JBLU B 24,005  COLUMBIA PARTNERS 028 JNJ B 440  RIDGECREST INV MGMT LLC 028 KEX S 5,000  COLUMBIA PARTNERS 028 KMB B 4  BRONSON POINT 036 KMT C 25,000  TYVOR CAPITAL LLC 031 KORS B 20,000  COLUMBIA PARTNERS 028 KO B 790  COLUMBIA PARTNERS 028 LH B 50  COLUMBIA PARTNERS 028 LLY B 29  COLUMBIA PARTNERS 028 LO B 245  MERRILL ASSET/BLACKROCK 085 LUK S 5,175  COLUMBIA PARTNERS 028 MA B 19  COLUMBIA PARTNERS 028 MCD B 145	PATTEN & PATTEN 025 IVR B 6,000 16.41  STRONG/MARK GRONET 030 JBLU B 24,005 6.48  COLUMBIA PARTNERS 028 JNJ B 440 90.50  RIDGECREST INV MGMT LLC 028 KEX S 5,000 83.62  COLUMBIA PARTNERS 028 KMB B 4 99.94  BRONSON POINT 036 KMT C 25,000 40.30  TYVOR CAPITAL LLC 031 KORS B 20,000 62.10  COLUMBIA PARTNERS 028 KO B 790 41.01  COLUMBIA PARTNERS 028 LH B 50 97.66  COLUMBIA PARTNERS 028 LLY B 29 51.61  COLUMBIA PARTNERS 028 LD B 245 46.24  MERRILL ASSET/BLACKROCK 085 LUK S 5,175 26.83  COLUMBIA PARTNERS 028 MA B 19 596.95  COLUMBIA PARTNERS 028 MCD B 145 101.03	PATTEN 6 PATTEN 025 IVR B 6,000 16.41 n/a  STRONG/MARK GRONET 030 JBLU B 24,005 6.48 n/a  COLUMBIA PARTNERS 028 JNJ B 440 90.50 n/a  RIDGECREST INV MGMT LLC 028 KEX S 5,000 83.62 n/a  COLUMBIA PARTNERS 028 KMB B 4 99.94 n/a  BRONSON POINT 036 KMT C 25,000 40.30 n/a  TYVOR CAPITAL LLC 031 KORS B 20,000 62.10 n/a  COLUMBIA PARTNERS 028 KO B 790 41.01 n/a  COLUMBIA PARTNERS 028 LB B 50 97.66 n/a  COLUMBIA PARTNERS 028 LLY B 29 51.61 n/a  COLUMBIA PARTNERS 028 LLY B 29 51.61 n/a  COLUMBIA PARTNERS 028 LLY B 29 51.61 n/a  COLUMBIA PARTNERS 028 LLY B 3 6.83 n/a  COLUMBIA PARTNERS 028 LD B 345 46.24 n/a  MERRILL ASSET/BLACKROCK 085 LUK S 5,175 26.83 n/a  COLUMBIA PARTNERS 028 MA B 19 596.95 n/a	PATTEN 6 PATTEN 025 IVR B 6,000 16.41 n/a n/a STRONG/MARK GRONET 030 JBLU B 24,005 6.48 n/a 18-Jun COLUMBIA PARTNERS 028 JNJ B 440 90.50 n/a n/a RIDGECREST INV MGMT LLC 028 KEX S 5,000 83.62 n/a n/a COLUMBIA PARTNERS 028 KMB B 4 99.94 n/a 17-Jun BRONSON POINT 036 KMT C 25,000 40.30 n/a n/a TYVOR CAPITAL LLC 031 KORS B 20,000 62.10 n/a 30-May COLUMBIA PARTNERS 028 KO B 790 41.01 n/a 17-Jun COLUMBIA PARTNERS 028 LH B 50 97.66 n/a n/a COLUMBIA PARTNERS 028 LH B 50 97.66 n/a n/a COLUMBIA PARTNERS 028 LLY B 29 51.61 n/a n/a COLUMBIA PARTNERS 028 LO B 245 46.24 n/a n/a MERRILL ASSET/BLACKROCK 085 LUK S 5,175 26.83 n/a n/a COLUMBIA PARTNERS 028 MA B 19 596.95 n/a 13-Jun COLUMBIA PARTNERS 028 MA B 19 596.95 n/a 17-Jun	PATTEN & PATTEN  025 IVR B 6,000 16.41

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
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COLUMBIA PARTNERS	028	MDT	В	143	53.84	n/a	n/a	5.72	0.0
COLUMBIA PARTNERS	028	MMM	В	64	114.89	n/a	n/a	2.56	0.0
S.A.C. CAPITAL	044	MOS	В	25,000	56.00	n/a	n/a	750.00	0.0
COLUMBIA PARTNERS	028	MRK	В	55	48.87	n/a	n/a	2.20	0.0
COLUMBIA PARTNERS	028	MSFT	В	957	36.06	n/a	n/a	38.28	0.0
PATTEN & PATTEN	025	MWV	В	500	35.99	n/a	18-Jun	25.00	0.0
COLUMBIA PARTNERS	028	NKE	В	96	63.38	n/a	19-Jun	3.84	0.0
PATTEN & PATTEN	025	NOK	В	3,500	4.12	n/a	n/a	175.00	0.0
COLUMBIA PARTNERS	028	NSRGY	В	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	В	15,000	19.06	n/a	n/a	750.00	0.0
COLUMBIA PARTNERS	028	NVO	В	11	164.02	n/a	n/a	0.44	0.0
COLUMBIA PARTNERS	028	NVS	В	146	73.69	n/a	n/a	5.84	0.0
INTERVAL PARTNERS	033	NWL	В	15,000	26.99	n/a	n/a	450.00	0.0
COLUMBIA PARTNERS	028	ORCL	В	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 MGM	T LLC040	OUTR	S	20,0	000 63.61	n	/a n/a	600.	00 0.0
COLUMBIA PARTNERS	028	PEP	В	256	84.74	n/a	n/a	10.24	0.0
COLUMBIA PARTNERS	028	PFE	В	983	28.83	n/a	n/a	39.32	0.0
COLUMBIA PARTNERS	028	PG	В	272	81.36	n/a	17-Jun	10.88	0.0
COLUMBIA PARTNERS	028	PM	В	268	89.82	n/a	n/a	10.72	0.0
MERRILL ASSET/BLACKROCK	085	PRU	В	8,100	77.93	n/a	n/a	324.00	0.0
COLUMBIA PARTNERS	028	QCOM	В	87	61.16	n/a	n/a	3.48	0.0
COLUMBIA PARTNERS	028	RDSA	В	122	66.72	n/a	n/a	4.88	0.0
COLUMBIA PARTNERS	028	RHHBY	В	174	63.68	n/a	n/a	6.96	0.0
COLUMBIA PARTNERS	028	SAP	В	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	В	47,533	10.54	n/a	n/a	1,425.99	0.0
COLUMBIA PARTNERS	028	SNY	В	178	52.66	n/a	n/a	7.12	0.0
TYVOR CAPITAL LLC	031	SSI	В	15,000	24.66	n/a	18-Jun	375.00	0.0
COLUMBIA PARTNERS	028	SYK	В	5	68.00	n/a	n/a	0.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/S	hr.
COLUMBIA PARTNERS	028	SYY	В	86	35.76	n/a	n/a	3.44 0	.0
COLUMBIA PARTNERS	028	TGT	В	223	72.51	n/a	23-May	8.92 0	.0
COLUMBIA PARTNERS	028	TJX	В	35	52.19	n/a	18-Jun	1.40 0	.0
COLUMBIA PARTNERS	028	TKPYY	В	67	23.86	n/a	n/a	2.68 0	.0
COLUMBIA PARTNERS	028	TOT	В	123	50.84	n/a	n/a	4.92 0	.0
COLUMBIA PARTNERS	028	TSCDY	В	255	16.17	n/a	n/a	10.20 0	.0
COLUMBIA PARTNERS	028	UNH	В	78	67.76	n/a	n/a	3.12 0	.0
COLUMBIA PARTNERS	028	UN	В	284	41.61	n/a	n/a	11.36 0	.0
PATTEN & PATTEN	025	VNQ	В	300	71.47	n/a	n/a	15.00 0	.0
COLUMBIA PARTNERS	028	V	В	48	190.80	n/a	11-Jun	1.92 0	.0
COLUMBIA PARTNERS	028	WAG	В	10	49.10	n/a	n/a	0.40 0	.0
COLUMBIA PARTNERS	028	WMT	В	264	77.12	n/a	16-May	10.56 0	.0
COLUMBIA PARTNERS	028	MOX	В	94	93.41	n/a	n/a	3.76 0	.0
COLUMBIA PARTNERS	028	ҮНОО	В	41	27.31	n/a	n/a	1.64 0	.0
COLUMBIA PARTNERS	028	YUM	В	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	В	91	79.43	n/a	n/a	3.64 0.0
COTAL (Trade Date):							2	9,021.26

## Cancel/Corrects and As-Of Trades

Туре	Date	Account		RR #	Symbol	B/S	Shares	Price	MRI I	Research	Comm.	¢/Shr.
AO,CXL	07/12	HARVEST MGMT (JMP)	(HARVGSCO)	029	ASNA	В	10,000	18.53	n/a	n/a	500.00	0.0
AO,CRT	07/12	HARVEST MGMT (JMP)	(HARVGSCO)	029	ASNA	В	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, 0	CXL, CRT):								_	300.00	

TOTAL (RUN DATE) / NFS:	28,721.26
TOTAL (AO, CXL, CRT):	-300.00
TOTAL (Trade Date):	29,021.26

## 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