



## Daily Compliance Activity Report

Trade Date: 07/17/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

| Account                  | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr. |     |
|--------------------------|------|--------|-----|---------|-------|-----|----------|--------------|-----|
| SAGE ASSET MGMT          | 025  | AXL    | S   | 21,000  | 19.04 | n/a | 19-Jun   | 1,050.00     | 0.0 |
| KLEINHEINZ CAP PART      | 031  | AXP    | SS  | 50,000  | 75.05 | n/a | 19-Jun   | 2,500.00     | 0.0 |
| DAVIDSON KEMPNER FRAN    | 028  | BKW    | SS  | 25,000  | 19.77 | n/a | 17-Jun   | 1,250.00     | 0.0 |
| FORTRESS INVESTMENT (US) | 036  | CCK    | S   | 97,000  | 42.31 | n/a | n/a      | 3,880.00     | 0.0 |
| BASSWOOD PARTNERS        | 267  | CIT    | B   | 15,200  | 48.50 | n/a | 13-Jun   | 608.00       | 0.0 |
| DAVIDSON KEMPNER FRAN    | 028  | COH    | S   | 25,000  | 57.95 | n/a | 30-May   | 1,250.00     | 0.0 |
| INVESCO                  | 031  | COH    | S   | 76,876  | 57.98 | n/a | 30-May   | 3,075.04     | 0.0 |
| FARALLON CAP MGMT        | 040  | DELL   | S   | 125,000 | 12.81 | n/a | n/a      | 3,750.00     | 0.0 |
| DAVIDSON KEMPNER FRAN    | 028  | DKS    | B   | 25,000  | 50.59 | n/a | 19-Jun   | 1,250.00     | 0.0 |
| WOOSTER CAPITAL          | 044  | F      | SS  | 25,000  | 16.74 | n/a | 19-Jun   | 1,250.00     | 0.0 |
| CAERUS GLOBAL            | 041  | GM     | S   | 40,000  | 36.33 | n/a | 19-Jun   | 1,600.00     | 0.0 |
| CR INTRINIC INVESTMENT   | 044  | GT     | S   | 7,800   | 17.05 | n/a | n/a      | 234.00       | 0.0 |
| FORTRESS INVESTMENT (US) | 036  | HD     | B   | 50,000  | 80.55 | n/a | n/a      | 1,000.00     | 0.0 |
| BNP PARIBAS SEC          | 040  | HLF    | S   | 6,300   | 52.04 | n/a | n/a      | 189.00       | 0.0 |
| INVESCO                  | 031  | IPG    | S   | 87,242  | 15.70 | n/a | n/a      | 3,489.68     | 0.0 |

| Account                     | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr. |          |     |
|-----------------------------|------|--------|-----|---------|-------|-----|----------|--------------|----------|-----|
| CSFB GLOBAL PROPRIETARY     | 041  | IP     | SS  | 18,275  | 48.79 | n/a | 17-Jun   | 913.75       | 0.0      |     |
| CSFB GLOBAL PROPRIETARY     | 041  | IP     | S   | 21,725  | 48.81 | n/a | 17-Jun   | 1,086.25     | 0.0      |     |
| SCHOTTENFELD ASSOC          | 041  | IP     | SS  | 20,000  | 48.34 | n/a | 17-Jun   | 600.00       | 0.0      |     |
| LISTED ERR                  | 099  | JCP    | S   | 1,300   | 16.90 | n/a | 18-Jun   | 0.00         | 0.0      |     |
| ROTHSCHILD ASSET            | 040  | JNJ    | B   | 33,265  | 90.30 | n/a | n/a      | 1,330.60     | 0.0      |     |
| WEISS PECK/ROBECO/BOSTON PT | 040  | JNY    | S   | 123,400 | 15.56 | n/a | n/a      | 2-May        | 6,170.00 | 0.0 |
| SUFFOLK CAPITAL MGMT        | 040  | JPM    | B   | 13,900  | 55.21 | n/a | 17-Jun   | 556.00       | 0.0      |     |
| WOODWAY FINANCIAL           | 031  | KMI    | S   | 48,526  | 39.91 | n/a | n/a      | 2,426.30     | 0.0      |     |
| INVESCO                     | 031  | KORS   | B   | 19,080  | 62.97 | n/a | 30-May   | 763.20       | 0.0      |     |
| PATTEN & PATTEN             | 025  | KO     | B   | 500     | 40.79 | n/a | 17-Jun   | 25.00        | 0.0      |     |
| INVESCO                     | 031  | KR     | S   | 100,995 | 38.44 | n/a | n/a      | 4,039.80     | 0.0      |     |
| INTERVAL PARTNERS           | 033  | KSS    | S   | 25,000  | 53.00 | n/a | 18-Jun   | 750.00       | 0.0      |     |
| FIRST NY SEC/CHRIS          | 041  | LCC    | B   | 11,000  | 18.18 | n/a | 18-Jun   | 550.00       | 0.0      |     |
| TYVOR CAPITAL LLC           | 031  | LULU   | B   | 10,000  | 64.25 | n/a | 19-Jun   | 250.00       | 0.0      |     |
| INVESCO                     | 031  | MDLZ   | B   | 89,920  | 30.43 | n/a | n/a      | 3,596.80     | 0.0      |     |
| SIGMA CAP BOBBY             | 044  | NKE    | B   | 25,000  | 63.36 | n/a | 19-Jun   | 750.00       | 0.0      |     |

| Account                         | RR # | Symbol | B/S | Shares | Price  | MRI | Research  | Comm.¢/Shr. |        |     |
|---------------------------------|------|--------|-----|--------|--------|-----|-----------|-------------|--------|-----|
| PATTEN & PATTEN                 | 025  | PFE    | B   | 983    | 28.73  | n/a | n/a       | 49.15       | 0.0    |     |
| FIRST NY SEC/CHRIS              | 041  | PKG    | SS  | 10,000 | 52.05  | n/a | 17-Jun    | 500.00      | 0.0    |     |
| CADIAN CAPITAL                  | 041  | RCL    | B   | 85,000 | 36.61  | n/a | n/a       | 2,550.00    | 0.0    |     |
| CSFB GLOBAL PROPRIETARY         | 041  | RKT    | SS  | 10,000 | 105.01 | n/a | 17-Jun    | 500.00      | 0.0    |     |
| CSFB GLOBAL PROPRIETARY         | 041  | RKT    | S   | 10,000 | 105.47 | n/a | 17-Jun    | 500.00      | 0.0    |     |
| DAVIDSON KEMPNER FRAN           | 028  | SWY    | SS  | 25,000 | 24.82  | n/a | n/a       | 1,250.00    | 0.0    |     |
| CENTURION PARTNERS              | 041  | UAL    | B   | 5,927  | 31.92  | n/a | 18-Jun    | 296.35      | 0.0    |     |
| PATTEN & PATTEN                 | 025  | UTX    | S   | 200    | 100.72 | n/a | n/a       | 10.00       | 0.0    |     |
| NOKOMIS PARTNERS                | 031  | VRA    | SS  | 29,000 | 23.63  | n/a | n/a       | 870.00      | 0.0    |     |
| MAPLE ROW                       | 006  | WNC    | B   | 15,000 | 10.65  | n/a | n/a       | 750.00      | 0.0    |     |
| IRIDIAN ASSET MGMT.             | 036  | WYN    | B   | 34,200 | 60.75  | n/a | n/a       | 1,710.00    | 0.0    |     |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251  | YHOO   | S   | 20,000 | 28.59  |     | n/a       | n/a         | 600.00 | 0.0 |
| PATTEN & PATTEN                 | 025  | ZTS    | S   | 478    | 30.91  | n/a | n/a       | 23.90       | 0.0    |     |
| TOTAL (Trade Date) :            |      |        |     |        |        |     | 59,792.82 |             |        |     |

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

| Type   | Date  | Account                              | RR # | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢/Shr. |     |
|--------|-------|--------------------------------------|------|--------|-----|---------|--------|-----|----------|-------------|-----|
| AO,CRT | 07/16 | PATTEN & PATTEN (PATTFSG BA)         | 025  | AML    | B   | 300     | 18.06  | n/a | n/a      | 15.00       | 0.0 |
| AO,CXL | 07/16 | PATTEN & PATTEN (PATTSCHWAB)         | 025  | AML    | B   | 300     | 18.06  | n/a | n/a      | 15.00       | 0.0 |
| AO,CXL | 07/16 | PATTEN & PATTEN (PATTREGION)         | 025  | CAT    | S   | 5       | 87.90  | n/a | 11-Jul   | 0.25        | 0.0 |
| AO,CRT | 07/16 | PATTEN & PATTEN (PATTMERR)           | 025  | CAT    | S   | 5       | 87.90  | n/a | 11-Jul   | 0.25        | 0.0 |
| AO,    | 07/16 | PIMCO (PIMC4975)                     | 084  | DVA    | B   | 8,000   | 117.73 | n/a | n/a      | 160.00      | 0.0 |
| AO,CXL | 07/16 | PIMCO (PIMC4975G)                    | 084  | DVA    | B   | 8,000   | 117.73 | n/a | n/a      | 160.00      | 0.0 |
| AO,CXL | 07/16 | SCOPUS FUND (SCOPCS)                 | 041  | F      | B   | 165,600 | 16.61  | n/a | 19-Jun   | 6624.00     | 0.0 |
| AO,    | 07/16 | SCOPUS FUND (SCOPCS)                 | 041  | F      | B   | 165,600 | 16.61  | n/a | 19-Jun   | 6624.00     | 0.0 |
| AO,CXL | 07/16 | SCOPUS FUND (SCOPGS)                 | 041  | F      | B   | 14,400  | 16.61  | n/a | 19-Jun   | 576.00      | 0.0 |
| AO,    | 07/16 | SCOPUS FUND (SCOPGS)                 | 041  | F      | B   | 14,400  | 16.61  | n/a | 19-Jun   | 576.00      | 0.0 |
| AO,    | 07/16 | LISTED ERR (LISTED ERR)              | 099  | JCP    | B   | 1,300   | 17.70  | n/a | 18-Jun   | 0.00        | 0.0 |
| AO,    | 07/16 | TIEDEMANN/TIG ADVISORS LLC (TIEDBNY) | 006  | ODP    | S   | 3,000   | 4.30   | n/a | n/a      | 90.00       | 0.0 |
| AO,CXL | 07/16 | TIEDEMANN/TIG ADVISORS LLC (TIEDJPM) | 006  | ODP    | S   | 25,000  | 4.30   | n/a | n/a      | 1000.00     | 0.0 |
| AO,    | 07/16 | TIEDEMANN/TIG ADVISORS LLC (TIEDGS)  | 006  | ODP    | S   | 22,000  | 4.30   | n/a | n/a      | 660.00      | 0.0 |
| AO,CRT | 07/16 | PATTEN & PATTEN (PATTFSG BA)         | 025  | VB     | B   | 160     | 98.95  | n/a | n/a      | 8.00        | 0.0 |
| AO,CXL | 07/16 | PATTEN & PATTEN (PATTSCHWAB)         | 025  | VB     | B   | 160     | 98.95  | n/a | n/a      | 8.00        | 0.0 |
| AO,CRT | 07/16 | PATTEN & PATTEN (PATTFSG BA)         | 025  | VO     | B   | 200     | 99.16  | n/a | n/a      | 10.00       | 0.0 |
| AO,CXL | 07/16 | PATTEN & PATTEN (PATTSCHWAB)         | 025  | VO     | B   | 200     | 99.16  | n/a | n/a      | 10.00       | 0.0 |
| AO,CRT | 07/16 | PATTEN & PATTEN (PATTFSG BA)         | 025  | VV     | B   | 450     | 76.68  | n/a | n/a      | 22.50       | 0.0 |

| Type   | Date  | Account                      | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |       |     |
|--------|-------|------------------------------|------|--------|-----|--------|-------|--------------|-------------|-------|-----|
| AO,CXL | 07/16 | PATTEN & PATTEN (PATTSCHWAB) | 025  | VV     | B   | 450    | 76.68 | n/a          | n/a         | 22.50 | 0.0 |

|                               |  |  |  |  |  |  |  |  |                |
|-------------------------------|--|--|--|--|--|--|--|--|----------------|
| <b>TOTAL (AO, CXL, CRT) :</b> |  |  |  |  |  |  |  |  | <b>-250.00</b> |
|-------------------------------|--|--|--|--|--|--|--|--|----------------|

|                        |  |  |  |  |  |  |  |  |           |
|------------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (Trade Date) :   |  |  |  |  |  |  |  |  | 59,792.82 |
| TOTAL (AO, CXL, CRT) : |  |  |  |  |  |  |  |  | -250.00   |

|                                 |  |  |  |  |  |  |  |  |                  |
|---------------------------------|--|--|--|--|--|--|--|--|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> |  |  |  |  |  |  |  |  | <b>59,542.82</b> |
|---------------------------------|--|--|--|--|--|--|--|--|------------------|

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