



Daily Compliance Activity Report

Trade Date: 06/18/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	S	30	431.70	n/a	n/a	1.50	0.0
LATEEF MGMT	033	AA	B	450	8.21	n/a	n/a	36.00	0.0
PATTEN & PATTEN	025	ACI	S	100	4.24	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	AGG	S	250	108.64	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	ALU	S	100	1.87	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	AOL	S	22	36.78	n/a	n/a	1.10	0.0
DC CAPITAL	044	BA	S	25,000	103.63	n/a	11-Jun	1,000.00	0.0
PATTEN & PATTEN	025	BA	B	450	103.61	n/a	11-Jun	22.50	0.0
PATTEN & PATTEN	025	BHP	S	250	62.65	n/a	n/a	12.50	0.0
PENNANT CAP MGMT	029	BRCM	S	15,000	34.49	n/a	n/a	450.00	0.0
PATTEN & PATTEN	025	BTU	S	460	16.82	n/a	n/a	23.00	0.0
PATTEN & PATTEN	025	CAT	S	200	84.68	n/a	11-Jul	10.00	0.0
LATEEF MGMT	033	CMC	B	150	14.67	n/a	n/a	30.00	0.0
LATEEF MGMT	033	CSCO	S	300	24.97	n/a	26-Feb	30.00	0.0
PATTEN & PATTEN	025	CSD	B	260	38.43	n/a	n/a	13.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	DELL	S	25	13.46	n/a	n/a	1.25	0.0
LATEEF MGMT	033	DE	B	125	85.18	n/a	11-Jul	31.25	0.0
NORTHWESTERN MUTUAL LIFE	047	DISCA	B	31,700	77.88	n/a	n/a	1,268.00	0.0
TIDE POINT CAPITAL	028	DLPH	S	5,000	51.46	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	033	DLTR	S	66,200	50.45	n/a	4-Jun	2,648.00	0.0
COLUMBUS CIRCLE	036	DLX	S	3,018	35.15	n/a	n/a	120.72	0.0
PAR CAPITAL	268	EXPE	SS	100,000	60.56	n/a	n/a	4,000.00	0.0
PATTEN & PATTEN	025	FCX	S	370	29.51	n/a	n/a	18.50	0.0
SANDLER CAPITAL	028	FLR	C	115,000	63.29	n/a	n/a	5,750.00	0.0
PATTEN & PATTEN	025	FTR	S	29	4.02	n/a	n/a	1.45	0.0
PENNANT CAP MGMT	029	FWLT	B	25,000	24.79	n/a	n/a	750.00	0.0
Õ Jack Chernus		GM	S	15	0.4000	n/a	18-Jun	0.00	0.0
Õ Jack Chernus		GM	S	5	0.3900	n/a	18-Jun	0.00	0.0
TIDE POINT CAPITAL	028	GM	B	25,000	33.51	n/a	18-Jun	750.00	0.0
PATTEN & PATTEN	025	HAL	S	100	44.02	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	HDV	S	150	68.71	n/a	n/a	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033			INVN	S	97,406	14.59	n/a	n/a	2,922.18	0.0
PATTEN & PATTEN	025	IXN	B	170	73.23	n/a	n/a	8.50	0.0	
PATTEN & PATTEN	025	IYG	B	135	72.87	n/a	n/a	6.75	0.0	
COUGAR TRADING	044	JNY	S	8,800	14.67	n/a	2-May	440.00	0.0	
PATTEN & PATTEN	025	JPM	B	55	54.08	n/a	17-Jun	2.75	0.0	
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	16.96	n/a	14-Jun	1,500.00	0.0	
PATTEN & PATTEN	025	LSI	S	28	7.38	n/a	n/a	1.40	0.0	
PATTEN & PATTEN	025	MUB	S	200	106.57	n/a	n/a	10.00	0.0	
CSFB GLOBAL PROPRIETARY	041	MWV	B	30,000	35.50	n/a	18-Jun	1,500.00	0.0	
PATTEN & PATTEN	025	MWV	B	400	35.46	n/a	18-Jun	20.00	0.0	
NORTHWESTERN MUTUAL LIFE	047	M	B	25,200	49.25	n/a	18-Jun	1,008.00	0.0	
PATTEN & PATTEN	025	NCR	S	50	33.98	n/a	n/a	2.50	0.0	
PATTEN & PATTEN	025	NYX	S	100	42.22	n/a	n/a	5.00	0.0	
PATTEN & PATTEN	025	PRU	S	500	72.95	n/a	n/a	25.00	0.0	
PATTEN & PATTEN	025	QCOM	S	200	62.41	n/a	n/a	10.00	0.0	
GABELLI FUNDS	025	RHHBY	S	7,000	62.30	n/a	n/a	350.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JET CAPITAL/CHRIS	041	RSG	S	40,000	34.38	n/a	n/a	1,200.00	0.0
MERRILL ASSET/BLACKROCK	085	SF	B	16,800	36.11	n/a	n/a	672.00	0.0
NORTHWESTERN MUTUAL LIFE	047	SNI	B	38,700	67.96	n/a	n/a	1,548.00	0.0
Õ Jack Chernus		STT	S	10	0.7600	n/a	17-Jun	0.00	0.0
PATTEN & PATTEN	025	TDC	B	200	55.33	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	TEL	S	50	46.81	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	TYC	S	50	33.78	n/a	26-Apr	2.50	0.0
NEWLAND CAPITAL MGT	025	UAL	B	10,000	32.35	n/a	18-Jun	400.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	UA	C	4,400	59.94	n/a	12-Jun	220.00 0.0
PATTEN & PATTEN	025	VBK	B	120	105.31	n/a	n/a	6.00	0.0
PATTEN & PATTEN	025	VB	B	125	95.74	n/a	n/a	6.25	0.0
PATTEN & PATTEN	025	VO	B	125	97.34	n/a	n/a	6.25	0.0
PATTEN & PATTEN	025	VZ	B	178	51.46	n/a	n/a	8.90	0.0
ROYCE TRADING	031	WG	S	80,800	6.86	n/a	n/a	4,040.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	74.88	n/a	16-May	750.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	B	35,000	28.21	n/a	17-Jun	1,750.00	0.0
DC CAPITAL	044	WY	B	50,000	28.20	n/a	17-Jun	2,000.00	0.0
PATRIOT STRATEGY PARTNERS	036	WY	B	25,000	28.50	n/a	17-Jun	1,250.00	0.0
CR INTRINSIC/CHRIS C	041	XRX	SS	35,000	9.42	n/a	n/a	1,050.00	0.0
PATTEN & PATTEN	025	YHOO	B	200	26.70	n/a	n/a	10.00	0.0
TOTAL (Trade Date) :								39,748.25	

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/17	NEWLAND CAPITAL MGT (NEWLGS)	025	ARC	S	14,672	3.71	n/a	n/a	586.88 0.0
AO,CRT	06/17	NEWLAND CAPITAL MGT (NEWLGS)	025	ARC	S	14,672	3.71	n/a	n/a	293.44 0.0
AO,	06/14	TIEDEMANN/TIG ADVISORS LLC (TIEDBNY)	006	BRP	S	1,300	22.68	n/a	n/a	39.00 0.0
AO,CXL	06/14	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)	006	BRP	S	11,000	22.68	n/a	n/a	330.00 0.0
AO,	06/14	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)	006	BRP	S	9,700	22.68	n/a	n/a	291.00 0.0
AO,CXL	06/12	PIMCO (PIMC4975G)	084	SAVE	S	32,308	31.47	n/a	18-Jun	1292.32 0.0
AO,CRT	06/12	PIMCO (PIMC4975G)	084	SAVE	S	32,308	31.47	n/a	18-Jun	646.16 2.0
TOTAL (AO, CXL, CRT) :									-939.60	
TOTAL (Trade Date) :									39,748.25	
TOTAL (AO, CXL, CRT) :									-939.60	
TOTAL (RUN DATE) / NFS:									38,808.65	

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