



Daily Compliance Activity Report

Trade Date: 08/21/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	AAPL	B	205	504.06	n/a	n/a	10.25	0.0
SIMMONS VENTURES	041	AAPL	S	405	503.21	n/a	n/a	20.25	0.0
TUDOR INVESTORS	028	ABX	B	5,000	19.41	n/a	n/a	150.00	0.0
KLEINHEINZ CAP PART	031	ANW	S	25,000	8.79	n/a	n/a	1,250.00	0.0
SCOPUS FUND	041	AXL	B	35,000	19.78	n/a	19-Jun	1,400.00	0.0
MACELLUM CAPITAL	086	BONT	SS	120,000	14.42	n/a	18-Jun	3,600.00	0.0
SCOPUS FUND	041	BWS	B	30,000	22.47	n/a	n/a	1,200.00	0.0
INTERVAL PARTNERS	033	CAKE	C	2,500	43.24	n/a	25-Apr	75.00	0.0
RIDGECREST INV MGMT LLC	028	CAR	S	5,000	28.20	n/a	n/a	200.00	0.0
FRED ALGER MGMT	070	CBS	S	72,310	50.90	n/a	n/a	2,603.16	0.0
MACELLUM CAPITAL	086	CHS	SS	35,000	15.75	n/a	5-Feb	1,050.00	0.0
EDGEWOOD	085	CMG	S	26,310	404.32	n/a	3-Jun	1,315.50	0.0
SENATOR INVESTMENT GROUP	287	COF	S	150,000	66.16	n/a	19-Jun	4,500.00	0.0
PATTEN & PATTEN	025	COV	B	25	60.49	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	DBA	S	150	24.96	n/a	n/a	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	DLTR	B	45,000	51.84	n/a	4-Jun	1,800.00	0.0
PATTEN & PATTEN	025	EWA	S	300	23.50	n/a	n/a	15.00	0.0
NEUBERGER BERMAN	036	FFIN	B	5,648	59.55	n/a	n/a	225.92	0.0
TIDE POINT CAPITAL	028	GM	B	10,000	34.87	n/a	19-Jun	300.00	0.0
PATTEN & PATTEN	025	HEDJ	B	25	51.44	n/a	n/a	1.25	0.0
TUDOR INVESTORS	028	IYR	SS	5,000	62.87	n/a	n/a	150.00	0.0
FRED ALGER MGMT	070	LAMR	S	52,100	43.15	n/a	n/a	1,875.60	0.0
TIDE POINT CAPITAL	028	LEA	B	20,000	70.81	n/a	19-Jun	600.00	0.0
DC CAPITAL	044	LPX	B	50,000	15.13	n/a	19-Jun	2,000.00	0.0
MACELLUM CAPITAL	086	LTM	S	30,000	51.03	n/a	n/a	900.00	0.0
CAPITAL RESEARCH GROUP	296	LUV	S	146,589	13.15		n/a 18-Jun	5,130.62	0.0
SENATOR INVESTMENT GROUP	287	MET	B	225,000	47.85	n/a	n/a	6,750.00	0.0
CORNERSTONE	030	PVH	B	5,395	130.67	n/a	14-Jun	161.85	0.0
CORNERSTONE	030	SBUX	B	13,184	71.24	n/a	17-Jun	395.52	0.0
BARROW HANLEY MEWHINNEY	031	SE	S	382,200	33.61	n/a	n/a	13,377.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	SKX	SS	5,000	29.90	n/a	n/a	250.00	0.0
BTIG/MONT PELERIN	084	SNTS	B	6,015	24.95	n/a	n/a	240.60	0.0
ASCEND PARTNERS	033	TGT	C	50,000	65.58	n/a	23-May	1,500.00	0.0
PATTEN & PATTEN	025	WY	B	100	27.29	n/a	19-Jun	5.00	0.0
INTERVAL PARTNERS	033	XLP	C	20,000	39.99	n/a	n/a	600.00	0.0
TOTAL (Trade Date):								53,661.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/19	SCOPUS FUND (SCOPGS)	041	DG	B	7,128	53.98	n/a	4-Jun	285.12 0.0
AO,CXL	08/19	SCOPUS FUND (SCOPUBS)	041	DG	B	7,128	53.98	n/a	4-Jun	285.12 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	53,661.27
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	53,661.27
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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