



Daily Compliance Activity Report

Trade Date: 07/31/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	159,500	5.92	n/a	n/a	4,785.00	0.0
PATTEN & PATTEN	025	AAPL	B	5	450.89	n/a	n/a	0.25	0.0
SANDLER CAPITAL	028	ADI	B	100,000	49.54	n/a	n/a	5,000.00	0.0
FOCUSED INVESTORS	084	AET	B	600	64.17	n/a	n/a	24.00	0.0
BESSEMER INVESTMENT	085	AMGN	B	1,000	108.03	n/a	n/a	40.00	0.0
CR INTRINSIC/CHRIS C	041	ATI	SS	10,000	27.92	n/a	11-Jun	300.00	0.0
FOCUSED INVESTORS	084	AXP	B	1,300	73.77	n/a	19-Jun	52.00	0.0
SANDLER O'NEILL ASSET	031	AXP	B	20,000	74.18	n/a	19-Jun	1,000.00	0.0
FOCUSED INVESTORS	084	BDX	B	400	103.72	n/a	n/a	16.00	0.0
ROYSTONE CAPITAL	040	BEAV	B	25,000	69.34	n/a	11-Jun	750.00	0.0
ARDSLEY PARTNERS	280	BG	S	10,000	76.30	n/a	n/a	500.00	0.0
ARDSLEY PARTNERS	280	BWC	S	10,000	30.67	n/a	n/a	500.00	0.0
CR INTRINSIC/CHRIS C	041	CAT	SS	5,000	83.33	n/a	11-Jul	150.00	0.0
PRIMECAP MGMT	084	CB	S	2,000	86.84	n/a	n/a	80.00	0.0
WADDELL AND REED	047	CMCSK	B	265,345	42.69	n/a	n/a	10,613.80	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	CNW	B	16,281	40.97	n/a	n/a	488.43	0.0
FOCUSED INVESTORS	084	CVS	B	1,100	61.49	n/a	n/a	44.00	0.0
CR INTRINSIC/CHRIS C	041	DD	SS	6,000	58.07	n/a	n/a	180.00	0.0
CR INTRINSIC/CHRIS C	041	DE	SS	5,000	83.49	n/a	11-Jul	150.00	0.0
WOOSTER CAPITAL	044	DLPH	B	10,000	54.50	n/a	n/a	500.00	0.0
PATTEN & PATTEN	025	FCX	B	100	28.07	n/a	n/a	5.00	0.0
HAWKEYE CAPITAL	087	FINL	S	26,500	22.50	n/a	19-Jun	795.00	0.0
KENNEDY CAPITAL	046	FINL	B	26,550	22.50	n/a	19-Jun	1,062.00	0.0
Õ Jack Chernus		FIO	B	20	1.8500	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	FISV	B	20,000	96.89	n/a	n/a	1,000.00	0.0
TYVOR CAPITAL LLC	031	FIVE	B	14,000	39.25	n/a	13-Jun	420.00	0.0
CR INTRINSIC/CHRIS C	041	FLIR	SS	10,000	32.57	n/a	n/a	300.00	0.0
TIDE POINT CAPITAL	028	GM	S	75,000	36.07	n/a	19-Jun	2,250.00	0.0
ARDSLEY PARTNERS	280	GSM	S	10,000	12.01	n/a	n/a	500.00	0.0
KAM ADVISORS LLC	041	HFC	S	21,300	45.05	n/a	n/a	639.00	0.0
FOCUSED INVESTORS	084	IBM	B	400	195.04	n/a	n/a	16.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	IDX	B	100	27.37	n/a	n/a	5.00	0.0
MAGNETAR FINANCIAL	031	IWM	B	48,000	103.98	n/a	n/a	1,440.00	0.0
FOCUSED INVESTORS	084	JNJ	B	900	93.50	n/a	n/a	36.00	0.0
FOCUSED INVESTORS	084	JPM	B	1,500	55.73	n/a	17-Jun	60.00	0.0
CYRUS CAPITAL	025	KORS	S	25,000	66.89	n/a	30-May	750.00	0.0
FOCUSED INVESTORS	084	KO	B	1,800	40.08	n/a	17-Jun	72.00	0.0
FOCUSED INVESTORS	084	MCD	B	900	98.08	n/a	17-Jun	36.00	0.0
LOMAS CAPITAL	040	MLM	B	17,500	100.68	n/a	n/a	525.00	0.0
KAM ADVISORS LLC	041	MPC	S	12,400	73.64	n/a	n/a	372.00	0.0
FOCUSED INVESTORS	084	MSFT	B	2,500	31.83	n/a	n/a	100.00	0.0
FOCUSED INVESTORS	084	MS	B	1,700	27.21	n/a	6-Jun	68.00	0.0
PATTEN & PATTEN	025	MWV	B	50	37.34	n/a	18-Jun	2.50	0.0
FOCUSED INVESTORS	084	NKE	B	800	62.92	n/a	19-Jun	32.00	0.0
FIRST NEW YORK	086	NOK	B	20,000	3.96	n/a	n/a	800.00	0.0
FOCUSED INVESTORS	084	PEP	B	1,100	83.54	n/a	n/a	44.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	PG	SS	10,000	81.02	n/a	17-Jun	400.00	0.0
FOCUSED INVESTORS	084	PG	B	600	80.30	n/a	17-Jun	24.00	0.0
KAM ADVISORS LLC	041	PSX	S	15,600	61.58	n/a	n/a	468.00	0.0
ASCEND PARTNERS	033	PVH	S	18,720	132.38	n/a	14-Jun	561.60	0.0
BTG PACTUAL	040	RH	B	20,000	67.07	n/a	n/a	600.00	0.0
T. ROWE PRICE	243	RRC	B	42,100	79.12	n/a	13-Jun	1,684.00	0.0
ARDSLEY PARTNERS	280	SOL	B	25,000	4.75	n/a	n/a	750.00	0.0
FOCUSED INVESTORS	084	TGT	B	1,100	71.25	n/a	23-May	44.00	0.0
CHARTERBRIDGE CAPITAL	025	T	SS	25,000	35.52	n/a	n/a	750.00	0.0
FOCUSED INVESTORS	084	UNH	B	700	72.85	n/a	n/a	28.00	0.0
ARDSLEY PARTNERS	280	URRE	S	19,300	3.72	n/a	n/a	579.00	0.0
KAM ADVISORS LLC	041	VLO	S	24,200	35.74	n/a	n/a	726.00	0.0
FOCUSED INVESTORS	084	WFC	B	1,700	43.50	n/a	6-Jun	68.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	6,200	24.02	n/a	n/a	186.00	0.0
FOCUSED INVESTORS	084	WLP	B	700	85.56	n/a	n/a	28.00	0.0
FOCUSED INVESTORS	084	WMT	B	1,500	77.94	n/a	16-May	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OSKIE CAPITAL MGMT	224	WY	B	35,000	28.25	n/a	19-Jun	1,750.00	0.0
FOCUSED INVESTORS	084	ZMH	B	400	83.48	n/a	n/a	16.00	0.0
FOCUSED INVESTORS	084	ZMH	S	2,200	83.69	n/a	n/a	88.00	0.0
TOTAL (Trade Date) :								45,313.58	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/30	DC CAPITAL (DCCAGOLDMA)	044	ACI	B	250,000	3.99	n/a	n/a	10000.00 0.0
AO,	07/30	DC CAPITAL (DCCAGOLDMA)	044	ACI	B	250,000	3.99	n/a	n/a	7500.00 0.0
AO,CXL	07/30	HARVEST MGMT (JMP) (HARVGSCO)	029	ZUMZ	S	15,000	27.50	n/a	n/a	750.00 0.0
AO,	07/30	HARVEST MGMT (JMP) (HARVGSCO)	029	ZUMZ	S	15,000	27.50	n/a	n/a	600.00 0.0
TOTAL (AO, CXL, CRT) :										-2,650.00

TOTAL (Trade Date) :	45,313.58
TOTAL (AO, CXL, CRT) :	-2,650.00

TOTAL (RUN DATE) / NFS :	42,663.58
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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