

Daily Compliance Activity Report Trade Date: 08/23/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

					101		MINILIGI	TREEDE VIO	Lilio	110.0
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
YORK CAPITAL	036	AAMRQ	S	300,000	3.11	n/a	n/a	6,000.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	51 ADT		В 5,	,000 41.2	8	n/a	n/a 15	0.00 0	0.0
PATTEN & PATTEN	025	ADT	S	25	41.28	n/a	n/a	1.25	0.0	
PATTEN & PATTEN	025	AIG	В	200	47.34	n/a	n/a	10.00	0.0	
LONG OAR GLOBAL INV	040	AKS	В	50,000	3.57	n/a	n/a	2,000.00	0.0	
FRED ALGER MGMT	070	AMCX	S	27,532	64.69	n/a	n/a	991.15	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	51 ARCE	>	s 30,	,000 13.4	4	n/a	n/a 90	0.00 0	0.0
BERYLSON CAPITAL	030	BONT	В	166,630	12.47	n/a	18-Jun	4,998.90	0.0	
PATTEN & PATTEN	025	BRCM	S	300	25.21	n/a	n/a	15.00	0.0	
COHE & STEERS	041	BRE	S	4,660	49.82	n/a	n/a	186.40	0.0	
EDGEWOOD	085	CMG	S	40,000	403.34	n/a	3-Jun	2,000.00	0.0	
PATTEN & PATTEN	025	CSD	В	390	38.94	n/a	n/a	19.50	0.0	
BRIGADE CAPITAL MGMT	029	CWH	S	25,000	25.09	n/a	n/a	750.00	0.0	
PATTEN & PATTEN	025	DBA	S	500	24.91	n/a	n/a	25.00	0.0	
ARDSLEY PARTNERS	280	DE	SS	5,000	82.77	n/a	11-Jul	250.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WALL STREET CAPITAL	084	DISCA	S	3,104	80.66	n/a	n/a	139.68	0.0
LISTED ERR	099	DLTR	S	200	53.39	n/a	4-Jun	0.00	0.0
LISTED ERR	099	DTV	В	255	58.02	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	DVR	S	39 , 817	2.05	n/a	n/a	796.34	0.0
TYVOR CAPITAL LLC	031	EXPR	В	40,000	19.38	n/a	n/a	1,200.00	0.0
NEUBERGER BERMAN	036	FFIN	В	6,400	60.19	n/a	n/a	256.00	0.0
ROARING BLUE LION MGMT	031	FL	В	26,100	33.09	n/a	19-Jun	1,044.00	0.0
TYVOR CAPITAL LLC	031	GPS	S	60,000	41.64	n/a	n/a	1,800.00	0.0
ARDSLEY PARTNERS	280	GRA	SS	5,000	79.91	n/a	n/a	250.00	0.0
PATTEN & PATTEN	025	IBM	S	50	185.10	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	IEV	В	350	42.77	n/a	n/a	17.50	0.0
ARDSLEY PARTNERS	280	IWM	С	25,000	103.07	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	IXN	S	170	73.37	n/a	n/a	8.50	0.0
PATTEN & PATTEN	025	KMI	S	376	37.02	n/a	n/a	18.80	0.0
PATTEN & PATTEN	025	KRE	В	150	36.88	n/a	n/a	7.50	0.0
	WALL STREET CAPITAL LISTED ERR LISTED ERR IRIDIAN ASSET MGMT. TYVOR CAPITAL LLC NEUBERGER BERMAN ROARING BLUE LION MGMT TYVOR CAPITAL LLC ARDSLEY PARTNERS PATTEN & PATTEN ARDSLEY PARTNERS PATTEN & PATTEN ARDSLEY PARTNERS PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN	WALL STREET CAPITAL 084 LISTED ERR 099 LISTED ERR 099 IRIDIAN ASSET MGMT. 036 TYVOR CAPITAL LLC 031 NEUBERGER BERMAN 036 ROARING BLUE LION MGMT 031 TYVOR CAPITAL LLC 031 ARDSLEY PARTNERS 280 PATTEN & PATTEN 025 ARDSLEY PARTNERS 280 PATTEN & PATTEN 025 PATTEN & PATTEN 025 PATTEN & PATTEN 025 PATTEN & PATTEN 025	WALL STREET CAPITAL 084 DISCA LISTED ERR 099 DTV LISTED ERR 099 DTV IRIDIAN ASSET MGMT. 036 DVR TYVOR CAPITAL LLC 031 EXPR NEUBERGER BERMAN 036 FFIN ROARING BLUE LION MGMT 031 FL TYVOR CAPITAL LLC 031 GPS ARDSLEY PARTNERS 280 GRA PATTEN & PATTEN 025 IBM PATTEN & PATTEN 025 IEV ARDSLEY PARTNERS 280 IWM PATTEN & PATTEN 025 IXN PATTEN & PATTEN 025 IXN	WALL STREET CAPITAL LISTED ERR 099 DUTY B IRIDIAN ASSET MGMT. 036 DVR S TYVOR CAPITAL LLC 031 EXPR B NEUBERGER BERMAN 036 FFIN B ROARING BLUE LION MGMT 031 FL B TYVOR CAPITAL LLC 031 GPS S ARDSLEY PARTNERS 280 GRA SS PATTEN & PATTEN 025 IEV B ARDSLEY PARTNERS 280 IWM C PATTEN & PATTEN 025 IXN S PATTEN & PATTEN 025 KMI S	WALL STREET CAPITAL 084 DISCA S 3,104 LISTED ERR 099 DLTR S 200 LISTED ERR 099 DTV B 255 IRIDIAN ASSET MGMT. 036 DVR S 39,817 TYVOR CAPITAL LLC 031 EXPR B 40,000 NEUBERGER BERMAN 036 FFIN B 6,400 ROARING BLUE LION MGMT 031 FL B 26,100 TYVOR CAPITAL LLC 031 GPS S 60,000 ARDSLEY PARTNERS 280 GRA SS 5,000 PATTEN & PATTEN 025 IBM S 50 PATTEN & PATTEN 025 IWM C 25,000 PATTEN & PATTEN 025 IXN S 170 PATTEN & PATTEN 025 KMI S 376	WALL STREET CAPITAL 084 DISCA S 3,104 80.66 LISTED ERR 099 DLTR S 200 53.39 LISTED ERR 099 DTV B 255 58.02 IRIDIAN ASSET MGMT. 036 DVR S 39,817 2.05 TYVOR CAPITAL LLC 031 EXPR B 40,000 19.38 NEUBERGER BERMAN 036 FFIN B 6,400 60.19 ROARING BLUE LION MGMT 031 FL B 26,100 33.09 TYVOR CAPITAL LLC 031 GPS S 60,000 41.64 ARDSLEY PARTNERS 280 GRA SS 5,000 79.91 PATTEN & PATTEN 025 IEW B 350 42.77 ARDSLEY PARTNERS 280 IWM C 25,000 103.07 PATTEN & PATTEN 025 IXN S 170 73.37 PATTEN & PATTEN 025 IXN S 170 73.37	WALL STREET CAPITAL 084 DISCA S 3,104 80.66 n/a LISTED ERR 099 DLTR S 200 53.39 n/a LISTED ERR 099 DTV B 255 58.02 n/a IRIDIAN ASSET MGMT. 036 DVR S 39,817 2.05 n/a TYVOR CAPITAL LLC 031 EXPR B 40,000 19.38 n/a NEUBERGER BERMAN 036 FFIN B 6,400 60.19 n/a ROARING BLUE LION MGMT 031 FL B 26,100 33.09 n/a TYVOR CAPITAL LLC 031 GPS S 60,000 41.64 n/a ARDSLEY PARTNERS 280 GRA SS 5,000 79.91 n/a PATTEN & PATTEN 025 IBM S 50 185.10 n/a ARDSLEY PARTNERS 280 IWM C 25,000 103.07 n/a PATTEN & PATTEN 025 IXN S 170 73.37 n/a PATTEN & PATTEN 025 IXN S 170 73.37 n/a	WALL STREET CAPITAL 084 DISCA S 3,104 80.66	WALL STREET CAPITAL 084 DISCA S 3,104 80.66

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	В	100,000	14.99	n/a	19-Jun	5,000.00	0.0	
DC CAPITAL	044	LPX	В	50,000	14.87	n/a	19-Jun	1,500.00	0.0	
BRONSON POINT	036	MDLZ	В	75 , 000	31.28	n/a	n/a	2,250.00	0.0	
MATRIX ASSET ADV.	091	MET	S	1,500	48.40	n/a	n/a	60.00	0.0	
PATTEN & PATTEN	025	MOS	В	200	41.86	n/a	n/a	10.00	0.0	
CSFB GLOBAL PROPRIETARY	041	MWV	В	30,000	36.39	n/a	18-Jun	1,500.00	0.0	
PATTEN & PATTEN	025	MWV	В	300	36.36	n/a	18-Jun	15.00	0.0	
KINGDON ASSET MGMT	041	ORCL	S	100,000	31.90	n/a	n/a	4,000.00	0.0	
PATTEN & PATTEN	025	QQQ	В	150	76.60	n/a	n/a	7.50	0.0	
MACELLUM CAPITAL	086	ROST	В	20,000	69.46	n/a	18-Jun	600.00	0.0	
IRIDIAN ASSET MGMT.	036	SEE	В	40,070	29.16	n/a	2-Jun	2,003.50	0.0	
ARDSLEY PARTNERS	280	SHW	SS	2,500	172.02	n/a	n/a	125.00	0.0	
ARDSLEY PARTNERS	280	SRE	В	5,000	84.13	n/a	n/a	250.00	0.0	
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 TIBX	В	4,	400 22.78		n/a	n/a 132	.00 0.0	
FOCUSED INVESTORS	084	TPC	S	54	19.20	n/a	n/a	2.16	0.0	
LOMBARDIA CAP MGMT	084	TPC	S	17,769	19.20	n/a	n/a	710.76	0.0	
WALL STREET CAPITAL	084	TSCO	S	2,002	121.12	n/a	n/a	90.09	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
FRED ALGER MGMT	070	TYC	В	55,000	34.17	n/a	26-Apr	1,980.00 0.0
HIGHFIELDS CAP MGMT	030	Т	С	200,000	34.13	n/a	n/a	8,000.00 0.0
NEUBERGER BERMAN	036	VPFG	В	6,371	21.07	n/a	n/a	254.84 0.0
PATTEN & PATTEN	025	WAG	В	100	48.67	n/a	n/a	5.00 0.0
WALL STREET CAPITAL	084	WFM	S	9,254	52.93	n/a	n/a	416.43 0.0
LATEEF MGMT	033	MOX	В	200	87.36	n/a	n/a	40.00 0.0

TOTAL (Trade Date): 53,540.30

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
AO,CXL	08/22	MAPLE LANE CAPITAL (MAPCGS)	040	DLTR	В	25,000	51.65	n/a	4-Jun	1250.00	0.0
AO,CRT	08/22	MAPLE LANE CAPITAL (MAPCGS)	040	DLTR	В	25,000	51.65	n/a	4-Jun	1000.00	0.0
AO, CXL	08/22	LISTED ERR (LISTED ERR)	099	DTV	S	255	58.09	n/a	n/a	0.00	0.0
AO, CRT	08/22	LISTED ERR (LISTED ERR)	099	DTV	S	255	58.22	n/a	n/a	0.00	0.0
AO,	08/22	KEY ASSET MGMT/VICTORY (KEYA075974)	220	DTV	В	50	58.09	n/a	n/a	2.00	0.0
AO,CXL	08/22	KEY ASSET MGMT/VICTORY (KEYA104620)	220	DTV	В	50	58.09	n/a	n/a	2.00	0.0

TOTAL (AO, CXL	, CRT):	-250.00
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TOTAL (RUN DATE) / NFS:	53,290.30
TOTAL (AO, CXL, CRT):	-250.00
TOTAL (Trade Date):	53,540.30

Legend:

O: 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