



Daily Compliance Activity Report

Trade Date: 07/26/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AA	S	5,000	8.07	n/a	n/a	250.00	0.0
SANDLER O'NEILL ASSET	031	AF	S	25,000	12.41	n/a	18-Apr	1,250.00	0.0
NOKOMIS PARTNERS	031	ALK	B	3,189	60.80	n/a	n/a	95.67	0.0
SIGMA CAPITAL ASSOCIATES	041	ASNA	SS	50,000	18.54	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	ATI	S	500	27.88	n/a	11-Jun	50.00	0.0
MOORE CAPITAL	257	AXP	S	15,000	75.18	n/a	19-Jun	450.00	0.0
PATTEN & PATTEN	025	BDBD	B	3,000	13.71	n/a	n/a	150.00	0.0
PATTEN & PATTEN	025	BTO	B	150	24.13	n/a	n/a	7.50	0.0
LAKEWOOD CAPITAL MGMT	085	CLNE	C	39,000	12.80	n/a	n/a	1,170.00	0.0
PATTEN & PATTEN	025	CL	B	100	59.87	n/a	17-Jun	5.00	0.0
BESSEMER INVESTMENT	085	COL	B	10,000	70.58	n/a	11-Jun	400.00	0.0
LATEEF MGMT	033	DE	B	250	82.62	n/a	11-Jul	50.00	0.0
MOORE CAPITAL	257	EOG	S	10,000	145.93	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	EWC	S	2,500	28.02	n/a	n/a	125.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CADIAN CAPITAL	041	FIO	SS	30,000	15.23	n/a	n/a	150.00	0.0
LAKEWOOD CAPITAL MGMT	085	FIO	C	30,000	15.34	n/a	n/a	900.00	0.0
BALYASNY ASSET MGMT	044	FL	SS	30,000	36.32	n/a	19-Jun	1,500.00	0.0
SURVEYOR CAPITAL	251	FL	B	10,000	36.29	n/a	19-Jun	400.00	0.0
SCOPUS FUND	041	F	SS	50,000	17.04	n/a	19-Jun	2,000.00	0.0
BRONSON POINT	036	GM	B	25,000	36.64	n/a	19-Jun	750.00	0.0
SCOPUS FUND	041	GM	B	25,000	36.70	n/a	19-Jun	1,000.00	0.0
BRONSON POINT	036	GT	B	25,000	16.70	n/a	n/a	750.00	0.0
MOORE CAPITAL	257	HP	S	10,000	67.03	n/a	n/a	300.00	0.0
CR INTRINSIC/CHRIS C	041	HTZ	S	15,000	26.45	n/a	n/a	450.00	0.0
ROVER CAPITAL PARTNERS	031	IP	B	3,500	49.29	n/a	17-Jun	175.00	0.0
SAGE ASSET MGMT	025	IP	S	4,100	49.01	n/a	17-Jun	205.00	0.0
LATEEF MGMT	033	JCI	S	500	40.92	n/a	10-Jun	50.00	0.0
PATTEN & PATTEN	025	KMB	S	150	98.26	n/a	17-Jun	7.50	0.0
LATEEF MGMT	033	KR	S	500	39.52	n/a	n/a	50.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	35,000	36.49	n/a	6-May	1,750.00	0.0
BRONSON POINT	036	LEA	S	66,300	67.20	n/a	19-Jun	1,989.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	LPX	B	15,000	16.39	n/a	19-Jun	450.00	0.0
ASCEND PARTNERS	033	LULU	S	55,000	68.94	n/a	19-Jun	1,650.00	0.0
LOMAS CAPITAL	040	MET	B	13,000	48.58	n/a	n/a	390.00	0.0
PATTEN & PATTEN	025	MMM	B	67	116.31	n/a	n/a	3.35	0.0
PATTEN & PATTEN	025	MOS	B	1,500	52.53	n/a	n/a	75.00	0.0
PATTEN & PATTEN	025	MWV	B	2,600	36.30	n/a	18-Jun	130.00	0.0
TUDOR INVESTORS	028	MWV	S	5,000	36.21	n/a	18-Jun	150.00	0.0
PATTEN & PATTEN	025	NKE	B	1,000	62.55	n/a	19-Jun	50.00	0.0
PATTEN & PATTEN	025	PCH	S	100	44.14	n/a	19-Jun	5.00	0.0
ARDSLEY PARTNERS	280	PHM	S	100,000	16.47	n/a	n/a	5,000.00	0.0
S.A.C. CAPITAL	044	RKT	S	21,500	111.61	n/a	17-Jun	645.00	0.0
MOORE CAPITAL	257	SBUX	S	15,000	72.42	n/a	17-Jun	450.00	0.0
LATEEF MGMT	033	SWY	B	500	26.04	n/a	n/a	50.00	0.0
TUDOR INVESTORS	028	TKR	B	5,000	56.46	n/a	n/a	150.00	0.0
LATEEF MGMT	033	T	B	500	35.46	n/a	n/a	50.00	0.0
MOORE CAPITAL	257	UTX	B	20,000	104.33	n/a	n/a	600.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	VNTV	B	59,400	26.30	n/a	11-Jun	2,376.00	0.0
TYVOR CAPITAL LLC	031	WFM	SS	10,000	54.59	n/a	n/a	500.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	24,700	23.90	n/a	n/a	741.00	0.0
TOTAL (Trade Date):								31,695.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/25	BLACKTHORN (BLKTCS)	047	BK	B	17,250	31.82	n/a	6-Jun	862.50 0.0
AO,CXL	07/25	BLACKTHORN (BLKTMS)	047	BK	B	30,000	31.82	n/a	6-Jun	1500.00 0.0
AO,	07/25	BLACKTHORN (BLKTMS)	047	BK	B	12,750	31.82	n/a	6-Jun	637.50 0.0
AO,CXL	07/25	BASSWOOD PARTNERS (BASWGS)	267	DAN	B	54,200	21.26	n/a	19-Jun	1626.00 0.0
AO,	07/25	BASSWOOD PARTNERS (BASWJPM)	267	DAN	B	12,935	21.60	n/a	19-Jun	517.40 0.0
AO,	07/25	BASSWOOD PARTNERS (BASWJPM)	267	DAN	B	21,265	21.05	n/a	19-Jun	850.60 0.0
AO,	07/25	BASSWOOD PARTNERS (BASWBNPPB)	267	DAN	B	7,565	21.60	n/a	19-Jun	302.60 0.0
AO,	07/25	BASSWOOD PARTNERS (BASWBNPPB)	267	DAN	B	12,435	21.05	n/a	19-Jun	497.40 0.0
AO,CXL	07/25	ROYSTONE CAPITAL (ROYSGS)	040	GNTX	B	51,500	21.69	n/a	19-Jun	1545.00 0.0
AO,	07/25	ROYSTONE CAPITAL (ROYSGS)	040	GNTX	B	34,900	21.69	n/a	19-Jun	1047.00 0.0
AO,	07/25	ROYSTONE CAPITAL (ROYSGS)	040	GNTX	B	16,600	21.69	n/a	19-Jun	498.00 0.0
AO,	07/25	ASCEND PARTNERS (ASCEBARCLA)	033	HBI	B	34,592	58.27	n/a	3-May	1037.76 0.0
AO,	07/25	ASCEND PARTNERS (ASCEJPM)	033	HBI	B	9,525	58.27	n/a	3-May	285.75 0.0
AO,	07/25	ASCEND PARTNERS (ASCEMSIL)	033	HBI	B	5,417	58.27	n/a	3-May	162.51 0.0
AO,	07/25	ASCEND PARTNERS (ASCEBAML)	033	HBI	B	22,439	58.27	n/a	3-May	673.17 0.0
AO,	07/25	ASCEND PARTNERS (ASCEDBAB)	033	HBI	B	3,806	58.27	n/a	3-May	114.18 0.0
AO,	07/25	ASCEND PARTNERS (ASCEMSPB)	033	HBI	B	24,176	58.27	n/a	3-May	725.28 0.0
AO,CXL	07/25	BARROW HANLEY MEWHINNEY (BARR9707)	031	IP	SS	10,000	50.11	n/a	17-Jun	400.00 0.0
CRT	07/26	ROVER CAPITAL PARTNERS (ROVEGS)	031	IP	B	3,500	49.29	n/a	17-Jun	175.00 0.0
AO,CRT	07/25	ROVER CAPITAL PARTNERS (ROVEGS)	031	IP	SS	10,000	50.11	n/a	17-Jun	400.00 0.0
AO,CXL	07/25	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	10,000	65.70	n/a	19-Jun	300.00 0.0
AO,	07/25	TIDE POINT CAPITAL (TIDEGS)	028	LEA	B	10,000	65.70	n/a	19-Jun	300.00 0.0
AO,CRT	07/25	TIEDEMANN/TIG ADVISORS LLC (TIEDGSPIKE)006		LEN	B	18,500	33.36	n/a	n/a	555.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/25	TIEDEMANN/TIG ADVISORS LLC (TIEDGS)	006	LEN	B	18,500	33.36	n/a	n/a	555.00 0.0
AO,	07/25	BLACKTHORN (BLKTCS)	047	STT	B	5,100	69.29	n/a	17-Jun	255.00 0.0
AO,CXL	07/25	BLACKTHORN (BLKTMS)	047	STT	B	10,000	69.29	n/a	17-Jun	500.00 0.0
AO,	07/25	BLACKTHORN (BLKTMS)	047	STT	B	4,900	69.29	n/a	17-Jun	245.00 0.0
TOTAL (AO, CXL, CRT) :										3,715.65
TOTAL (Trade Date) :										31,695.02
TOTAL (AO, CXL, CRT) :										3,715.65
TOTAL (RUN DATE) / NFS:										35,410.67

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