



## Daily Compliance Activity Report

Trade Date: 08/12/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	100	467.13	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	AA	S	2,000	8.25	n/a	n/a	100.00	0.0
SASCO	033	AA	B	265,000	8.23	n/a	n/a	7,950.00	0.0
FARALLON CAP MGMT	040	AMT	B	45,000	69.96	n/a	n/a	1,350.00	0.0
NEUBERGER BERMAN	036	BKU	B	37,322	30.46	n/a	n/a	1,492.88	0.0
NEUBERGER BERMAN	036	CBU	B	7,274	34.04	n/a	n/a	290.96	0.0
KAM ADVISORS LLC	041	CMCSA	B	107,400	44.73	n/a	n/a	3,222.00	0.0
PATTEN & PATTEN	025	COV	B	600	63.85	n/a	n/a	30.00	0.0
<b>MATRIX ASSET ADV.</b>	<b>091</b>	<b>CVX</b>	<b>B</b>	<b>1,300</b>	<b>121.24</b>	<b>n/a</b>	<b>n/a</b>	<b>52.00</b>	<b>0.0</b>
FARALLON CAP MGMT	040	DIS	S	40,000	64.09	n/a	n/a	1,200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	B	25,000	52.59	n/a	4-Jun	750.00	0.0
SCOGGIN LLC	041	DOLE	B	184,000	13.45	n/a	n/a	5,520.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	DOW	S	50,000	37.64	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	EELV	B	300	27.47	n/a	n/a	15.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	ENV	B	22,038	26.28	n/a	n/a	661.14	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	EPP	S	600	45.80	n/a	n/a	30.00	0.0
PATTEN & PATTEN	025	EWG	S	400	26.66	n/a	n/a	20.00	0.0
PATTEN & PATTEN	025	EWH	S	500	19.54	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	EWZ	S	250	44.57	n/a	n/a	12.50	0.0
NEUBERGER BERMAN	036	FFIN	B	21,500	57.93	n/a	n/a	860.00	0.0
NEUBERGER BERMAN	036	FNB	B	20,925	12.88	n/a	n/a	837.00	0.0
PATTEN & PATTEN	025	F	S	375	17.09	n/a	19-Jun	18.75	0.0
PATTEN & PATTEN	025	GOV	S	500	24.45	n/a	n/a	25.00	0.0
NEUBERGER BERMAN	036	GS	S	30,418	161.70	n/a	6-May	1,216.72	0.0
COLUMBUS CIRCLE	036	HAR	B	682	70.53	n/a	3-Feb	27.28	0.0
TRUST CO/COWEN/CALF.	040	HAR	S	3,815	70.82	n/a	3-Feb	190.75	0.0
J. GOLDMAN	028	JCP	B	305,000	13.20	n/a	18-Jun	12,200.00	0.0
SANDLER O'NEILL ASSET	031	JPM	S	15,500	54.04	n/a	17-Jun	775.00	0.0
HOLLIS CAPITAL	033	KORS	S	7,000	72.06	n/a	30-May	350.00	0.0
DAVIDSON KEMPNER ADVISOR	281	MAT	SS	37,500	42.88	n/a	n/a	1,875.00	0.0
PATTEN & PATTEN	025	MOS	B	1,700	43.79	n/a	n/a	85.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	PLCE	B	20,000	53.00	n/a	24-May	800.00	0.0
PRIMECAP MGMT	084	QGEN	B	2,500	21.42	n/a	n/a	100.00	0.0
CAMBIAR CAP	046	RDEN	B	6,550	33.96	n/a	17-Jun	262.00	0.0
PATTEN & PATTEN	025	SWN	S	700	37.96	n/a	13-Jun	35.00	0.0
SAGE ASSET MGMT	025	SYU	B	24,900	33.22	n/a	n/a	1,245.00	0.0
MAIRS AND POWER INV	030	TGT	B	20,000	70.74	n/a	23-May	1,000.00	0.0
NEUBERGER BERMAN	036	TOO	B	25,000	32.54	n/a	n/a	1,000.00	0.0
COLUMBUS CIRCLE	036	UNFI	B	1,981	61.92	n/a	n/a	79.24	0.0
PATTEN & PATTEN	025	VNQ	B	350	68.39	n/a	n/a	17.50	0.0
CRAMER ROSENTHAL	070	WYNN	B	11,200	138.13	n/a	13-Jun	448.00	0.0
NEUBERGER BERMAN	036	YHOO	S	9,778	27.84	n/a	n/a	391.12	0.0
<b>TOTAL (Trade Date) :</b>								<b>48,064.84</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/08	ARDSLEY PARTNERS (ARDSCITI)	280	CTB	SS	10,000	33.48	n/a	n/a	500.00 5.0
AO,CXL	08/08	ARDSLEY PARTNERS (ARDSGS)	280	CTB	SS	10,000	33.48	n/a	n/a	500.00 0.0
AO,CRT	08/06	YORK CAPITAL (YORKUSBAN)	036	GM	B	512	36.27	n/a	19-Jun	15.36 3.0
AO,CXL	08/06	YORK CAPITAL (YORKUBS)	036	GM	B	512	36.27	n/a	19-Jun	15.36 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	48,064.84
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>48,064.84</b>
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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