

Daily Compliance Activity Report Trade Date: 08/01/2013

POTENTIAL ANALYST TRADE VIOLATIONS: 0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	CYRUS CAPITAL	025	AAMRQ	В	200,000	6.06	n/a	n/a	6,000.00	0.0
	EDGEWOOD	085	AAPL	S	655	456.32	n/a	n/a	32.75	0.0
	PATTEN & PATTEN	025	AAPL	S	50	455.65	n/a	n/a	2.50	0.0
	PATTEN & PATTEN	025	AGG	S	500	106.48	n/a	n/a	25.00	0.0
	EDGEWOOD	085	AGN	S	3,435	91.26	n/a	17-Jun	171.75	0.0
	STRONG/MARK GRONET	030	ALK	S	15,000	62.61	n/a	n/a	600.00	0.0
	EDGEWOOD	085	AMT	S	5,289	71.29	n/a	n/a	264.45	0.0
	EDGEWOOD	085	AMZN	S	1,369	305.94	n/a	n/a	68.45	0.0
õ	Jack Chernus		ARP	В	1500	21.7000	n/a	n/a	0.00	0.0
õ	Jack Chernus		ARP	S	15	0.4000	n/a	n/a	0.00	0.0
	RIDGECREST INV MGMT LLC	028	AXL	В	13,352	19.13	n/a	19-Jun	534.08	0.0
	SCOPUS FUND	041	AXL	В	146,751	19.70	n/a	19-Jun	5,870.04	0.0
	PATTEN & PATTEN	025	ВА	В	400	106.79	n/a	11-Jun	20.00	0.0
	PATTEN & PATTEN	025	BDX	S	150	103.07	n/a	n/a	7.50	0.0
	BASSWOOD PARTNERS	267	BK	В	69 , 800	32.19	n/a	6-Jun	2,792.00	0.0
	PRIMECAP MGMT	084	BMRN	В	2,500	64.55	n/a	n/a	100.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
COBALT	041	BTU	В	100,000	16.55	n/a	n/a	4,000.00	0.0
CAPITAL GROWTH MGMT.	241	BWA	В	70,000	97.23	n/a	19-Jun	3,500.00	0.0
EDGEWOOD	085	CELG	S	4,197	148.73	n/a	n/a	209.85	0.0
SONICA CAPITAL LLC	025	CL	В	6,900	60.55	n/a	17-Jun	207.00	0.0
EDGEWOOD	085	CME	S	5 , 577	72.18	n/a	28-Apr	278.85	0.0
EDGEWOOD	085	CMG	S	799	413.84	n/a	3-Jun	39.96	0.0
SONICA CAPITAL LLC	025	CMG	5	3,600	413.95	n/a	3-Jun	108.00	0.0
PATTEN & PATTEN	025	COV	В	6,000	62.99	n/a	n/a	300.00	0.0
EDGEWOOD	085	CTSH	S	3 , 596	73.47	n/a	n/a	179.80	0.0
SANDLER O'NEILL ASSET	031	С	В	500	53.04	n/a	17-Jun	25.00	0.0
PATTEN & PATTEN	025	DGX	S	450	58.64	n/a	n/a	22.50	0.0
PATTEN & PATTEN	025	DON	В	300	70.69	n/a	n/a	15.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	25 , 000	63.59	n/a	10-May	750.00	0.0
ROTHSCHILD ASSET	040	DTV	S	31,649	61.07	n/a	n/a	1,265.96	0.0
LATEEF MGMT	033	DVN	S	225	56.37	n/a	13-Jun	40.50	0.0
CASTLEROCK	040	EAT	SS	2,000	40.96	n/a	13-May	80.00	0.0
	COBALT CAPITAL GROWTH MGMT. EDGEWOOD SONICA CAPITAL LLC EDGEWOOD SONICA CAPITAL LLC PATTEN & PATTEN EDGEWOOD SANDLER O'NEILL ASSET PATTEN & PATTEN PATTEN & PATTEN SIGMA CAPITAL ASSOCIATES ROTHSCHILD ASSET LATEEF MGMT	COBALT 041 CAPITAL GROWTH MGMT. 241 EDGEWOOD 085 SONICA CAPITAL LLC 025 EDGEWOOD 085 SONICA CAPITAL LLC 025 PATTEN & PATTEN 025 EDGEWOOD 085 SANDLER O'NEILL ASSET 031 PATTEN & PATTEN 025 PATTEN & PATTEN 025 SIGMA CAPITAL ASSOCIATES 041 ROTHSCHILD ASSET 040 LATEEF MGMT 033	COBALT 041 BTU CAPITAL GROWTH MGMT. 241 BWA EDGEWOOD 085 CELG SONICA CAPITAL LLC 025 CL EDGEWOOD 085 CME EDGEWOOD 085 CMG SONICA CAPITAL LLC 025 CMG PATTEN & PATTEN 025 COV EDGEWOOD 085 CTSH SANDLER O'NEILL ASSET 031 C PATTEN & PATTEN 025 DGX PATTEN & PATTEN 025 DON SIGMA CAPITAL ASSOCIATES 041 DPZ ROTHSCHILD ASSET 040 DTV LATEEF MGMT 033 DVN	COBALT 041 BTU B CAPITAL GROWTH MGMT. 241 BWA B EDGEWOOD 085 CELG S SONICA CAPITAL LLC 025 CL B EDGEWOOD 085 CME S EDGEWOOD 085 CMG S SONICA CAPITAL LLC 025 CMG S PATTEN & PATTEN 025 COV B FATTEN & PATTEN 025 DGX S PATTEN & PATTEN 025 DON B SIGMA CAPITAL ASSOCIATES 041 DPZ S ROTHSCHILD ASSET 040 DTV S LATEEF MGMT 033 DVN S	COBALT 041 BTU B 100,000 CAPITAL GROWTH MGMT. 241 BWA B 70,000 EDGEWOOD 085 CELG S 4,197 SONICA CAPITAL LLC 025 CL B 6,900 EDGEWOOD 085 CMG S 799 SONICA CAPITAL LLC 025 CMG S 3,600 PATTEN & PATTEN 025 COV B 6,000 EDGEWOOD 085 CTSH S 3,596 SANDLER O'NEILL ASSET 031 C B 500 PATTEN & PATTEN 025 DGX S 450 PATTEN & PATTEN 025 DON B 300 SIGMA CAPITAL ASSOCIATES 041 DPZ S 25,000 ROTHSCHILD ASSET 040 DTV S 31,649 LATEEF MGMT 033 DVN S 225	COBALT 041 BTU B 100,000 16.55 CAPITAL GROWTH MGMT. 241 BWA B 70,000 97.23 EDGEWOOD 085 CELG S 4,197 148.73 SONICA CAPITAL LLC 025 CL B 6,900 60.55 EDGEWOOD 085 CME S 5,577 72.18 EDGEWOOD 085 CMG S 799 413.84 SONICA CAPITAL LLC 025 CMG S 3,600 413.95 PATTEN & PATTEN 025 COV B 6,000 62.99 EDGEWOOD 085 CTSH S 3,596 73.47 SANDLER O'NEILL ASSET 031 C B 500 53.04 PATTEN & PATTEN 025 DGX S 450 58.64 PATTEN & PATTEN 025 DON B 300 70.69 SIGMA CAPITAL ASSOCIATES 041 DPZ S 25,000 63.59 ROTHSCHILD ASSET 040 DTV S 31,649 61.07 LATEEF MGMT 033 DVN S 225 56.37	COBALT 041 BTU B 100,000 16.55 n/a CAPITAL GROWTH MGMT. 241 BWA B 70,000 97.23 n/a EDGEWOOD 085 CELG S 4,197 148.73 n/a SONICA CAPITAL LLC 025 CL B 6,900 60.55 n/a EDGEWOOD 085 CMG S 5,577 72.18 n/a EDGEWOOD 085 CMG S 799 413.84 n/a SONICA CAPITAL LLC 025 CMG S 3,600 413.95 n/a EDGEWOOD 085 CMG S 3,600 413.95 n/a EDGEWOOD 085 CTSH S 3,596 73.47 n/a EDGEWOOD 085 CTSH S 3,596 73.47 n/a SANDLER O'NEILL ASSET 031 C B 500 53.04 n/a PATTEN & PATTEN 025 DGX S 450 58.64 n/a PATTEN & PATTEN 025 DON B 300 70.69 n/a SIGMA CAPITAL ASSOCIATES 041 DPZ S 25,000 63.59 n/a ROTHSCHILD ASSET 040 DTV S 31,649 61.07 n/a LATEEF MGMT 033 DVN S 225 56.37 n/a	COBALT 041 BTU B 100,000 16.55 n/a n/a CAPITAL GROWTH MGMT. 241 BWA B 70,000 97.23 n/a 19-Jun EDGEWOOD 085 CELG S 4,197 148.73 n/a n/a SONICA CAPITAL LLC 025 CL B 6,900 60.55 n/a 17-Jun EDGEWOOD 085 CME S 5,577 72.18 n/a 28-Apr EDGEWOOD 085 CMG S 799 413.84 n/a 3-Jun SONICA CAPITAL LLC 025 CMG S 3,600 413.95 n/a 3-Jun PATTEN & PATTEN 025 COV B 6,000 62.99 n/a n/a EDGEWOOD 085 CTSH S 3,596 73.47 n/a n/a SANDLER O'NEILL ASSET 031 C B 500 53.04 n/a 17-Jun PATTEN & PATTEN 025 DGX S 450 58.64 n/a n/a PATTEN & PATTEN 025 DGX S 450 58.64 n/a n/a SIGMA CAPITAL ASSOCIATES 041 DPZ S 25,000 63.59 n/a 10-May ROTHSCHILD ASSET 040 DTV S 31,649 61.07 n/a n/a LATEEF MGMT 033 DVN S 225 56.37 n/a 13-Jun	COBALT O41 BTU B 100,000 16.55 N/a N/a 4,000.00 CAPITAL GROWTH MGMT. 241 BWA B 70,000 97.23 N/a 19-Jun 3,500.00 EDGEWOOD 085 CELG S 4,197 148.73 N/a 17-Jun 207.00 EDGEWOOD 085 CMG S 6,900 60.55 N/a 17-Jun 207.00 EDGEWOOD 085 CMG S 7,97 72.18 N/a 28-Apr 278.85 EDGEWOOD 085 CMG S 799 413.84 N/a 3-Jun 39.96 SONICA CAPITAL LLC 025 CMG S 3,600 413.95 N/a 3-Jun 108.00 PATTEN & PATTEN 025 COV B 6,000 62.99 N/a N/a 179.80 EDGEWOOD 085 CTSH S 3,596 73.47 N/a N/a 179.80 SANDLER O'NEILL ASSET 031 C B 500 53.04 N/a 17-Jun 25.00 PATTEN & PATTEN 025 DON B 300 70.69 N/a N/a 15.00 SIGMA CAPITAL ASSOCIATES 041 DPZ S 25,000 63.59 N/a 10-May 750.00 ROTHSCHILD ASSET 040 DTV S 31,649 61.07 N/a N/a 1.265.96 LATEEF MGMT 033 DVN S 225 56.37 N/a 13-Jun 40.50

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢,	/Shr.
	WILLIAMS TRADING/BLUE MTN	087	EA	S	100,000	26.47	n/a	n/a	3,000.00	0.0
	EDGEWOOD	085	ECL	S	3 , 272	94.06	n/a	18-Jan	163.60	0.0
	PATTEN & PATTEN	025	EELV	В	4,800	27.55	n/a	n/a	240.00	0.0
	PATTEN & PATTEN	025	EPP	S	2,100	45.01	n/a	n/a	105.00	0.0
	EDGEWOOD	085	EQIX	S	1,403	177.08	n/a	n/a	70.15	0.0
	NOMURA/ANGEL LANE PRINCIPA	AL040	ETN	В	10,000	69.98	n/a	12-Jun	300.00	0.0
	PATTEN & PATTEN	025	EWA	В	1,000	23.32	n/a	n/a	50.00	0.0
	PATTEN & PATTEN	025	EWG	S	2,600	26.74	n/a	n/a	130.00	0.0
	CHARTER OAK	033	FCX	В	50,000	28.86	n/a	n/a	2,000.00	0.0
	PATTEN & PATTEN	025	FCX	В	600	29.15	n/a	n/a	30.00	0.0
	PATTEN & PATTEN	025	FCX	S	2,300	29.14	n/a	n/a	115.00	0.0
	KENNEDY CAPITAL	046	FINL	В	7,880	22.74	n/a	19-Jun	315.20	0.0
	ACK ASSET	028	FLOW	В	10,000	3.88	n/a	n/a	300.00	0.0
	ACK ASSET	028	FLOW	S	10,000	3.88	n/a	n/a	300.00	0.0
	EDGEWOOD	085	FTI	S	4,547	54.89	n/a	n/a	227.35	0.0
õ	Jack Chernus		FWM	S	20	0.7000	n/a	n/a	0.00	0.0
	EDGEWOOD	085	GILD	S	8,217	61.99	n/a	n/a	410.85	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
LEVIN CAPITAL STRATEGIES	041	GM	С	15,000	36.43	n/a	19-Jun	450.00	0.0
PECONIC PARTNERS	036	GM	В	10,000	36.50	n/a	19-Jun	500.00	0.0
EDGEWOOD	085	GOOG	S	556	903.60	n/a	n/a	27.80	0.0
PATTEN & PATTEN	025	GOV	S	500	25.06	n/a	n/a	25.00	0.0
CLEARLINE CAPITAL LLC	040	GRA	В	20,000	78.51	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	HON	S	200	84.41	n/a	19-Apr	10.00	0.0
CAPITAL GROWTH MGMT.	241	HTZ	S	100,000	24.67	n/a	n/a	5,000.00	0.0
EDGEWOOD	085	IHS	S	3,332	113.12	n/a	n/a	166.60	0.0
PATTEN & PATTEN	025	IJH	В	700	125.79	n/a	n/a	35.00	0.0
PATTEN & PATTEN	025	ILF	S	500	36.85	n/a	n/a	25.00	0.0
EDGEWOOD	085	ILMN	S	5,103	79.43	n/a	n/a	255.15	0.0
EDGEWOOD	085	ISRG	S	699	392.85	n/a	n/a	34.96	0.0
MARCATO CAPITAL MGMT.	029	IWM	S	80,000	105.16	n/a	n/a	3,200.00	0.0
HARVEST MGMT (JMP)	029	JCP	SS	20,000	14.87	n/a	18-Jun	1,000.00	0.0
MACELLUM CAPITAL	086	JCP	В	95,000	15.35	n/a	18-Jun	2,850.00	0.0
PATTEN & PATTEN	025	JNJ	S	150	93.85	n/a	n/a	7.50	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
CR INTRINIC INVESTMENT	044	JNPR	SS	20,000	21.80	n/a	26-Feb	600.00	0.0
KENNEDY CAPITAL	046	JNY	S	50,000	17.00	n/a	2-May	2,000.00	0.0
PATTEN & PATTEN	025	JWN	S	350	62.11	n/a	18-Jun	17.50	0.0
PATTEN & PATTEN	025	KMB	S	300	98.86	n/a	17-Jun	15.00	0.0
MAPLE ROW	006	LYB	В	12,500	68.48	n/a	n/a	625.00	0.0
MAPLE ROW	006	MAS	S	9,500	21.06	n/a	n/a	475.00	0.0
EDGEWOOD	085	MJN	S	2,143	72.79	n/a	n/a	107.15	0.0
PATTEN & PATTEN	025	MOS	В	500	41.95	n/a	n/a	25.00	0.0
PATTEN & PATTEN	025	MRK	S	180	48.51	n/a	n/a	9.00	0.0
PATTEN & PATTEN	025	MSFT	S	2,300	31.69	n/a	n/a	115.00	0.0
PATTEN & PATTEN	025	MWV	В	2,900	37.69	n/a	18-Jun	145.00	0.0
M&I FUNDS	047	М	В	5,228	49.50	n/a	18-Jun	209.12	0.0
PATTEN & PATTEN	025	NEE	S	650	88.13	n/a	n/a	32.50	0.0
PATTEN & PATTEN	025	NKE	В	400	66.11	n/a	19-Jun	20.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT) 25	1 NUAN	S	5,	000 19.05		n/a n/a	a 150	0.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
PRIMECAP MGMT	084	NUVA	В	5,000	22.61	n/a	n/a	200.00	0.0
J. GOLDMAN	028	OEH	В	20,000	12.72	n/a	n/a	800.00	0.0
PATTEN & PATTEN	025	PEP	S	160	84.08	n/a	n/a	8.00	0.0
PATTEN & PATTEN	025	PG	S	400	81.61	n/a	17-Jun	20.00	0.0
PATTEN & PATTEN	025	PM	S	125	89.64	n/a	n/a	6.25	0.0
EDGEWOOD	085	QCOM	S	4,256	65.25	n/a	n/a	212.80	0.0
ROARING BLUE LION MGMT	031	QCOM	В	51,000	64.97	n/a	n/a	2,180.00	0.0
PATTEN & PATTEN	025	RHHBY	S	200	61.41	n/a	n/a	10.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	S	65,600	117.61	n/a	17-Jun	2,624.00	0.0
RAINIER INV MGMT	033	ROK	В	52 , 680	99.33	n/a	n/a	2,107.20	0.0
BALYASNY ASSET MGMT	044	ROST	В	25,000	68.78	n/a	18-Jun	1,250.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	43,600	75.61	n/a	17-Jun	1,308.00	0.0
ENTRUST CAPITAL	040	SNY	В	26,441	51.00	n/a	n/a	1,322.05	0.0
LATEEF MGMT	033	SPLS	S	300	17.19	n/a	n/a	30.00	0.0
WADDELL AND REED	047	SSI	В	145,000	25.25	n/a	18-Jun	5,800.00	0.0
CAPITAL GROWTH MGMT.	241	SSS	В	20,000	71.29	n/a	n/a	1,000.00	0.0

	Account	RR #	Symbol	B/S	Shares Price	MRI	Research	Comm.¢/Shr.
	PATTEN & PATTEN	025	SWN	S	800 40.01	n/a	13-Jun	40.00 0.0
õ	Nilsa Vazquez		TBT	В	1050 77.6960	n/a	n/a	0.00 0.0
	PATTEN & PATTEN	025	TRN	В	2,400 40.81	n/a	n/a	120.00 0.0
	EDGEWOOD	085	TROW	S	4,717 76.79	n/a	n/a	235.85 0.0
	APEX CAPITAL MGMT.	033	TYC	S	75,000 35.25	n/a	26-Apr	3,000.00 0.0
	PATTEN & PATTEN	025	UNM	S	253 32.91	n/a	n/a	12.65 0.0
	PATTEN & PATTEN	025	UPS	S	100 88.40	n/a	n/a	5.00 0.0
	PATTEN & PATTEN	025	VEU	В	400 46.97	n/a	n/a	20.00 0.0
	EDGEWOOD	085	VIAB	S	5,290 74.42	n/a	n/a	264.50 0.0
	KEYGROUP/KGLT	040	VLO	S	25,000 36.17	n/a	n/a	1,000.00 0.0
	PATTEN & PATTEN	025	VNQ	В	150 69.26	n/a	n/a	7.50 0.0
	EDGEWOOD	085	V	S	2,476 178.87	n/a	11-Jun	123.80 0.0
	HERRING CREEK CAPITAL MG	MT LLC04	0 WGO	В	16,700 24.02	1	n/a n/a	a 501.00 0.0
	LOMAS CAPITAL NOMURA/ANGEL LANE PRINCI	040 PAL040	WY WY	В	105,000 28.61 20,000 28.70	n/a n/a	19-Jun 19-Jun	3,150.00 0.0 600.00 0.0
	SONICA CAPITAL LLC	025	YHOO	S	40,000 27.97	n/a	n/a	1,200.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
EDGEWOOD	085	YUM	S	4,604	73.89	n/a	17-Jun	230.20 0.0
PARKWEST	084	ZBRA	SS	10,000	48.03	n/a	n/a	400.00 0.0

TOTAL (Trade Date): 83,789.17

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	07/31	BESSEMER INVESTMENT (BESS8G2653)	085	AMGN	В	1,000	108.03	n/a	n/a	40.00	0.0
ΔΟ,	07/31	BESSEMER INVESTMENT (BESSMAIN)	085	AMGN	В	1,000	108.03	n/a	n/a	40.00	0.0
AO,CXL	07/31	TIDE POINT CAPITAL (TIDEGS)	028	GM	S	75,000	36.07	n/a	19-Jun	2250.00	0.0
AO,	07/31	TIDE POINT CAPITAL (TIDEGS)	028	GM	S	75 , 000	36.07	n/a	19-Jun	2250.00	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	IWM	В	2,649	103.98	n/a	n/a	79.47	0.0
0,	07/31	MAGNETAR FINANCIAL (MAGNMLCO)	031	IWM	В	5,744	103.98	n/a	n/a	79.47	0.0
O,CXL	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	IWM	В	6,157	103.98	n/a	n/a	184.71	0.0
٥٠,	07/31	MAGNETAR FINANCIAL (MAGNCSSE)	031	IWM	В	12,344	103.98	n/a	n/a	184.71	0.0
AO,CXL	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	IWM	В	9,982	103.98	n/a	n/a	299.46	0.0
10,	07/31	MAGNETAR FINANCIAL (MAGNDB)	031	IWM	В	15,138	103.98	n/a	n/a	299.46	0.0
O,CXL	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	IWM	В	24,167	103.98	n/a	n/a	725.01	0.0
۷0,	07/31	MAGNETAR FINANCIAL (MAGNCITI)	031	IWM	В	9,729	103.98	n/a	n/a	725.01	0.0

OTAL (RUN DATE) / NFS:	83,789.17
OTAL (AO, CXL, CRT):	0.00
OTAL (Trade Date):	83,789.17

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