



Daily Compliance Activity Report

Trade Date: 11/08/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO / M&I FUNDS	047	ACAS	S	200,000	13.92	n/a	n/a	8,000.00	0.0
BESSEMER INVESTMENT	085	AVGO	S	560,000	43.92	n/a	n/a	22,400.00	0.0
EGS ASSOCIATES LP	091	BONT	B	10,000	11.58	n/a	18-Jun	500.00	0.0
MAPLE ROW	006	CAR	S	7,589	31.66	n/a	n/a	227.67	0.0
LATEEF MGMT	033	CBL	B	1,800	18.17	n/a	n/a	180.00	0.0
JSRG CAPITAL PARTNERS LP	084	DAL	S	40,000	27.24	n/a	18-Jun	1,200.00	0.0
PATTEN & PATTEN	025	DBA	S	300	24.88	n/a	n/a	15.00	0.0
WOODWAY FINANCIAL	031	EEP	S	75,000	29.25	n/a	n/a	2,250.00	0.0
MAPLE ROW	006	ETFC	B	10,000	17.48	n/a	n/a	300.00	0.0
CAMBIAR CAP	046	FDP	S	30,262	26.69	n/a	n/a	1,210.48	0.0
CAMBIAR CAP	046	FINL	S	91,300	24.63	n/a	19-Jun	3,652.00	0.0
MERRILL ASSET/BLACKROCK	085	FNF	B	5,600	27.08	n/a	n/a	224.00	0.0
BLUE MOUNTAIN CAPITAL	087	GPS	S	45,000	40.10	n/a	n/a	1,350.00	0.0
TRUST CO/COWEN/CALF.	040	GPS	S	71,324	41.05	n/a	n/a	3,566.20	0.0
1798 CAP/LOMBARD ASSET	040	GT	S	30,000	20.95	n/a	n/a	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	HEDJ	B	150	54.75	n/a	n/a	7.50	0.0
PATTEN & PATTEN	025	IP	S	275	43.93	n/a	17-Jun	13.75	0.0
BADGE CAPITAL	030	IRET	B	2,000	8.35	n/a	n/a	70.00	0.0
PATTEN & PATTEN	025	IXN	B	100	78.50	n/a	n/a	5.00	0.0
TIEDEMANN/TIG ADVISORS LLC	006	IYK	SS	5,000	93.27	n/a	n/a	250.00	0.0
BLUE MOUNTAIN CAPITAL	087	JNK	S	350,000	40.45	n/a	n/a	10,500.00	0.0
PATTEN & PATTEN	025	KMB	S	40	107.91	n/a	17-Jun	2.00	0.0
JSRG CAPITAL PARTNERS LP	084	LCC	S	50,000	22.46	n/a	18-Jun	1,500.00	0.0
KEYGROUP/KGLT	040	LNG	B	25,000	38.35	n/a	n/a	1,000.00	0.0
ROSEDALE CAPITAL	046	LPX	B	35,000	15.75	n/a	19-Jun	1,400.00	0.0
Õ Ryan Mueller		LPX	B	300	15.6400	n/a	19-Jun	0.00	0.0
SCOPUS FUND	041	LPX	S	10,000	15.58	n/a	19-Jun	400.00	0.0
MACELLUM CAPITAL	086	M	S	88,000	45.98	n/a	18-Jun	2,640.00	0.0
HALCYON LLC	041	NRG	SS	34,000	28.07	n/a	n/a	1,020.00	0.0
PATTEN & PATTEN	025	NSC	S	45	85.19	n/a	n/a	2.25	0.0
NEW VERNON/SF INVESTMENTS	031	PCP	B	19,500	251.20	n/a	11-Jun	975.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	POOL	B	29,177	53.54	n/a	n/a	1,167.08	0.0
FOUNDRY PARTNERS LLC	030	PRU	B	500	87.26	n/a	n/a	20.00	0.0
NEW VERNON/SF INVESTMENTS	031	ROK	B	43,680	111.51	n/a	n/a	2,184.00	0.0
CADIAN CAPITAL	041	SONC	S	25,000	18.99	n/a	n/a	750.00	0.0
MAPLE ROW	006	TER	B	5,000	17.12	n/a	n/a	150.00	0.0
NEUBERGER BERMAN	036	TSCO	S	18,650	71.14	n/a	n/a	746.00	0.0
TROUBH PART	070	TWX	S	7,500	67.20	n/a	n/a	375.00	0.0
NEW VERNON/SF INVESTMENTS	031	UAL	B	63,000	35.40	n/a	18-Jun	3,150.00	0.0
STATE OF WISCONSIN	047	VZ	B	10,200	49.60	n/a	n/a	408.00	0.0
KEY ASSET MGMT/VICTORY	220	WMT	B	139,510	77.17	n/a	16-May	5,580.40	0.0
PATTEN & PATTEN	025	WY	B	300	29.12	n/a	19-Jun	15.00	0.0
WOOSTER CAPITAL	044	WY	B	50,000	29.04	n/a	19-Jun	2,500.00	0.0
INTERVAL PARTNERS	033	XLP	SS	25,000	42.20	n/a	n/a	750.00	0.0
TOTAL (Trade Date) :								84,156.33	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/06	COLUMBUS CIRCLE (COLC3050)	036	SREV	S	9,011	9.37	n/a	n/a	360.44 0.0
AO,CRT	11/07	CAERUS GLOBAL (CAERUNION)	041	TPX	S	744	46.87	n/a	n/a	29.76 4.0
AO,CXL	11/07	CAERUS GLOBAL (CAERUBSPB)	041	TPX	S	744	46.87	n/a	n/a	29.76 0.0

TOTAL (AO, CXL, CRT) :	360.44
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TOTAL (Trade Date) :	84,156.33
TOTAL (AO, CXL, CRT) :	360.44

TOTAL (RUN DATE) / NFS:	84,516.77
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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