



Daily Compliance Activity Report

Trade Date: 08/15/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL	070	ALL	B	7,070	49.32	n/a	n/a	282.80	0.0
SHEFFIELD ASSET MGMT	031	ARO	B	45,000	12.46	n/a	n/a	1,350.00	0.0
HARVEST MGMT (JMP)	029	ATVI	SS	10,000	17.22	n/a	n/a	500.00	0.0
ROSEDALE CAPITAL	046	AXL	B	30,000	19.79	n/a	19-Jun	1,200.00	0.0
SCOPUS FUND	041	AXL	B	50,000	19.71	n/a	19-Jun	2,000.00	0.0
MOORE CAPITAL	257	BAC	S	100,000	14.35	n/a	17-Jun	3,000.00	0.0
PATTEN & PATTEN	025	BP	S	200	41.27	n/a	n/a	10.00	0.0
NEUBERGER BERMAN	036	COG	S	11,015	37.00	n/a	13-Jun	440.60	0.0
LAKEWOOD CAPITAL MGMT	085	COLE	S	20,000	11.28	n/a	n/a	600.00	0.0
TALON ASSET MGMT.	006	CRM	S	2,500	43.75	n/a	n/a	125.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		DDS	SS	30,000	84.67	n/a	n/a	900.00	0.0
TALON ASSET MGMT.	006	DVA	S	3,500	113.55	n/a	n/a	175.00	0.0
DAVIDSON KEMPNER ADVISOR	281	EXPR	B	25,000	21.02	n/a	n/a	1,250.00	0.0
NEUBERGER BERMAN	036	FELE	B	5,857	37.04	n/a	n/a	234.28	0.0
OZ MGMT	040	F	C	59,340	16.48	n/a	19-Jun	1,780.20	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	GE	SS	100,000	24.03	n/a	n/a	3,000.00	0.0
LAKEWOOD CAPITAL MGMT	085	GMCR	SS	3,000	74.45	n/a	n/a	90.00	0.0
OZ MGMT	040	GM	B	50,000	34.69	n/a	19-Jun	2,500.00	0.0
MAPLE LANE CAPITAL	040	GRPN	B	50,000	9.82	n/a	n/a	2,000.00	0.0
MFP INVESTORS	085	JCP	S	20,000	13.41	n/a	18-Jun	1,000.00	0.0
BASSWOOD PARTNERS	267	JWN	C	17,943	59.25	n/a	18-Jun	717.72	0.0
MACELLUM CAPITAL	086	KSS	S	40,000	53.41	n/a	18-Jun	1,200.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	35,000	15.08	n/a	19-Jun	1,750.00	0.0
DELTEC ASSET MGMT.	040	M	B	9,000	45.55	n/a	18-Jun	450.00	0.0
PRIMECAP MGMT	084	NEM	S	5,000	32.28	n/a	n/a	200.00	0.0
TALON ASSET MGMT.	006	N	S	1,000	93.54	n/a	n/a	50.00	0.0
CADIAN CAPITAL	041	ONNN	B	100,000	7.26	n/a	n/a	3,000.00	0.0
DAVIDSON KEMPNER ADVISOR	281	PSMT	SS	2,159	87.78	n/a	n/a	107.95	0.0
HARVEST MGMT (JMP)	029	PVH	S	6,000	126.91	n/a	14-Jun	300.00	0.0
TALON ASSET MGMT.	006	QLIK	S	5,000	32.65	n/a	n/a	250.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	RFMD	B	15,400	4.85	n/a	n/a	462.00	0.0
VISIUM/BALY BOBBY	044	RFMD	S	65,400	4.85	n/a	n/a	1,962.00	0.0
COUGAR TRADING	044	RTH	SS	5,000	53.60	n/a	n/a	250.00	0.0
TALON ASSET MGMT.	006	SBUX	S	5,000	70.96	n/a	17-Jun	250.00	0.0
RIDGECREST INV MGMT LLC	028	TEX	B	7,000	31.16	n/a	n/a	280.00	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	50,000	68.95	n/a	23-May	1,500.00	0.0
PATTEN & PATTEN	025	UTX	S	100	103.39	n/a	n/a	5.00	0.0
CADIAN CAPITAL	041	VMW	SS	55,000	83.65	n/a	n/a	1,650.00	0.0
S.A.C. CAPITAL	044	VMW	B	40,000	83.59	n/a	n/a	1,200.00	0.0
MOORE CAPITAL	257	VZ	C	25,000	48.58	n/a	n/a	750.00	0.0
TALON ASSET MGMT.	006	VZ	S	10,000	48.50	n/a	n/a	500.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		WGO	B	13,411	21.98	n/a	n/a	402.33	0.0
TOTAL (Trade Date) :								39,674.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	AGN	B	150	90.16	n/a	17-Jun	7.50 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	AGN	B	150	90.16	n/a	17-Jun	7.50 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	AIG	B	350	47.95	n/a	n/a	17.50 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	AIG	B	350	47.95	n/a	n/a	17.50 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	BTO	B	2,000	22.99	n/a	n/a	100.00 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	BTO	B	2,000	22.99	n/a	n/a	100.00 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	CAT	S	250	86.87	n/a	11-Jul	12.50 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	CAT	S	250	86.87	n/a	11-Jul	12.50 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	CBI	B	500	59.55	n/a	n/a	25.00 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	CBI	B	500	59.55	n/a	n/a	25.00 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	D	S	500	60.10	n/a	n/a	25.00 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	D	S	500	60.10	n/a	n/a	25.00 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	DLR	S	500	54.28	n/a	n/a	25.00 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	DLR	S	500	54.28	n/a	n/a	25.00 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	ETN	B	400	67.02	n/a	12-Jun	20.00 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	ETN	B	400	67.02	n/a	12-Jun	20.00 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	EWC	S	1,500	27.72	n/a	n/a	75.00 0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	EWC	S	1,500	27.72	n/a	n/a	75.00 0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	EZU	B	1,000	36.30	n/a	n/a	50.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	EZU	B	1,000	36.30	n/a	n/a	50.00	0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	INTC	B	550	22.46	n/a	n/a	27.50	0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	INTC	B	550	22.46	n/a	n/a	27.50	0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	JWN	B	100	59.54	n/a	18-Jun	5.00	0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	JWN	B	100	59.54	n/a	18-Jun	5.00	0.0
AO,CXL	08/13	PATTEN & PATTEN (PATTPERSHI)	025	LLY	S	400	55.49	n/a	n/a	20.00	0.0
AO,CRT	08/13	PATTEN & PATTEN (PATTSCHWAB)	025	LLY	S	400	55.49	n/a	n/a	20.00	0.0
AO,CXL	08/14	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	4.18	n/a	n/a	1000.00	0.0
AO,	08/14	FIRST NEW YORK (FNYS)	086	NOK	B	20,000	4.18	n/a	n/a	800.00	0.0

TOTAL (AO, CXL, CRT) : **-200.00**

TOTAL (Trade Date) : 39,674.88

TOTAL (AO, CXL, CRT) : -200.00

TOTAL (RUN DATE) / NFS : **39,474.88**

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