



## Daily Compliance Activity Report

Trade Date: 09/03/2013

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	APC	S	25	92.45	n/a	13-Jun	1.25	0.0
SEVEN LOCKS CAPITAL	025	ARCP	S	70,000	13.23	n/a	n/a	2,100.00	0.0
LATEEF MGMT	033	ATI	S	150	26.99	n/a	11-Jun	30.00	0.0
PATTEN & PATTEN	025	BK	B	125	30.09	n/a	6-Jun	6.25	0.0
CAPITAL GROWTH MGMT.	241	CLR	B	30,000	94.49	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	CL	B	100	57.46	n/a	17-Jun	5.00	0.0
GALT INVESTMENT	041	CROX	S	20,000	13.65	n/a	n/a	800.00	0.0
WAGONHOUND/NICOLAS	033	DAL	B	16,495	20.23	n/a	18-Jun	659.80	0.0
LATEEF MGMT	033	DE	B	125	83.83	n/a	11-Jul	35.00	0.0
PATTEN & PATTEN	025	DLR	S	50	54.01	n/a	n/a	2.50	0.0
PROSPECTOR PARTNERS LLC	036	DOLE	S	10,000	13.71	n/a	n/a	400.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	20,168	61.47	n/a	10-May	605.04	0.0
PATTEN & PATTEN	025	DUK	B	25	64.93	n/a	n/a	1.25	0.0
CAPITAL GROWTH MGMT.	241	DVN	B	30,000	57.33	n/a	13-Jun	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DVN	B	125	57.42	n/a	13-Jun	31.25	0.0
BALYASNY ASSET MGMT	044	EAT	SS	40,000	39.81	n/a	13-May	2,000.00	0.0
CAPITAL GROWTH MGMT.	241	EOG	B	10,000	157.46	n/a	n/a	500.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	ETN	B	14,600	63.36	n/a	12-Jun	438.00	0.0
PATTEN & PATTEN	025	EWA	S	200	24.18	n/a	n/a	10.00	0.0
TYVOR CAPITAL LLC	031	FDO	B	10,000	71.25	n/a	4-Jun	300.00	0.0
METROPOLITAN CAPITAL	044	FL	B	8,355	32.17	n/a	19-Jun	417.75	0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	20.31	n/a	9-May	400.00	0.0
OZ MGMT	040	F	C	57,420	16.34	n/a	19-Jun	1,722.60	0.0
PATTEN & PATTEN	025	GD	B	65	84.35	n/a	5-Apr	3.25	0.0
LATEEF MGMT	033	GIS	B	125	49.22	n/a	n/a	31.25	0.0
DAVIDSON KEMPNER ADVISOR	281	GMCR	C	15,000	85.25	n/a	n/a	750.00	0.0
ARDSLEY PARTNERS	280	GM	B	50,000	34.57	n/a	19-Jun	2,500.00	0.0
ARDSLEY PARTNERS	280	GM	S	50,000	34.17	n/a	19-Jun	2,500.00	0.0
ROSEDALE CAPITAL	046	GM	S	5,000	34.50	n/a	19-Jun	200.00	0.0
LATEEF MGMT	033	INTC	B	300	22.14	n/a	n/a	30.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	5,900	82.47	n/a	n/a	236.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	JNY	B	50,000	14.79	n/a	2-May	2,500.00	0.0
LATEEF MGMT	033	KR	B	225	36.93	n/a	n/a	33.75	0.0
CR INTRINIC INVESTMENT	044	LPX	S	50,200	15.46	n/a	19-Jun	1,506.00	0.0
BALYASNY ASSET MGMT	044	LULU	SS	25,000	70.41	n/a	19-Jun	1,250.00	0.0
CAPITAL GROWTH MGMT.	241	MGA	S	20,000	78.18	n/a	n/a	1,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MNST	S	25,000	55.92	n/a	n/a	750.00	0.0
LATEEF MGMT	033	MRK	B	150	47.12	n/a	n/a	30.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MSFT	B	15,000	31.95		n/a	n/a	450.00 0.0
BALYASNY ASSET MGMT	044	M	B	50,000	44.91	n/a	18-Jun	2,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	M	B	11,685	44.71	n/a	18-Jun	350.55	0.0
TYVOR CAPITAL LLC	031	NKE	SS	18,000	64.35	n/a	19-Jun	540.00	0.0
LATEEF MGMT	033	OLN	B	150	23.15	n/a	n/a	30.00	0.0
CAPITAL GROWTH MGMT.	241	PKG	S	30,000	52.19	n/a	17-Jun	1,500.00	0.0
JET CAPITAL/CHRIS	041	PRKR	B	50,000	3.46	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	QCOM	S	25	66.88	n/a	n/a	1.25	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	33,000	112.58	n/a	17-Jun	1,320.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LISTED ERR</b>	<b>099</b>	<b>RYL</b>	<b>B</b>	<b>2,534</b>	<b>35.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALON ASSET MGMT.	006	SAP	B	5,000	72.69	n/a	n/a	250.00	0.0
STATE TEACHERS RET SYS	047	SBRA	B	10,000	22.05	n/a	n/a	500.00	0.0
LEVIN CAPITAL STRATEGIES	041	SKS	B	66,186	15.93	n/a	n/a	1,985.58	0.0
CAPITAL GROWTH MGMT.	241	SLG	S	20,000	85.43	n/a	n/a	1,000.00	0.0
LATEEF MGMT	033	SPLS	B	300	13.98	n/a	n/a	30.00	0.0
LATEEF MGMT	033	TGT	B	100	63.69	n/a	23-May	30.00	0.0
CAPITAL GROWTH MGMT.	241	TSLA	S	20,000	167.57	n/a	n/a	1,000.00	0.0
AMBER CAPITAL	046	T	B	462,130	34.01	n/a	n/a	18,485.20	0.0
LATEEF MGMT	033	T	B	150	33.67	n/a	n/a	30.00	0.0
LATEEF MGMT	033	UAL	B	150	28.76	n/a	18-Jun	30.00	0.0
LATEEF MGMT	033	UN	B	150	37.67	n/a	n/a	30.00	0.0
ADAGE CAPITAL MGMT	030	URBN	S	65,716	41.95	n/a	n/a	1,971.48	0.0
BALYASNY ASSET MGMT	044	URBN	B	30,000	41.88	n/a	n/a	1,500.00	0.0
NEWLAND CAPITAL MGT	025	WLL	S	5,000	51.18	n/a	n/a	200.00	0.0
FRED ALGER MGMT	070	WTS	B	275	51.76	n/a	n/a	9.90	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	XOM	B	100	87.47	n/a	n/a	30.00	0.0
<b>TOTAL (Trade Date):</b>								<b>62,059.90</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/30	FIFTH THIRD BANK/FREEMAN (FTCL)	047	PMF	S	25,096	12.03	n/a	n/a	1254.80	0.0
AO,	08/30	FIFTH THIRD BANK/FREEMAN (FTCL)	047	PMF	S	25,096	12.03	n/a	n/a	752.88	0.0
AO,CXL	08/29	CALA (CALA100054)	041	PX	B	35,000	116.52	n/a	n/a	1050.00	0.0
AO,	08/29	CALA (CALA953131)	041	PX	B	35,000	116.52	n/a	n/a	1050.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-501.92</b>	

TOTAL (Trade Date) :	62,059.90
TOTAL (AO, CXL, CRT) :	-501.92

<b>TOTAL (RUN DATE) / NFS :</b>	<b>61,557.98</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