



Daily Compliance Activity Report

Trade Date: 06/19/2013

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AA	SS	30,600	8.17	n/a	n/a	612.00	0.0
PATTEN & PATTEN	025	AGG	S	300	108.69	n/a	n/a	15.00	0.0
PATTEN & PATTEN	025	APA	B	50	87.43	n/a	13-Jun	2.50	0.0
SCOPUS FUND	041	AXL	S	75,000	18.42	n/a	19-Jun	3,000.00	0.0
CR INTRINIC INVESTMENT	044	BA	S	10,000	102.44	n/a	11-Jun	300.00	0.0
PATTEN & PATTEN	025	BA	B	1,000	103.34	n/a	11-Jun	50.00	0.0
PATTEN & PATTEN	025	BDBD	B	5,000	12.21	n/a	n/a	250.00	0.0
HIGHBRIDGE CAP	041	BEAV	B	3,787	65.75	n/a	11-Jun	113.61	0.0
MILLRACE FUND LP	028	BWA	B	7,013	86.59	n/a	19-Jun	280.52	0.0
SAGE ASSET MGMT	025	BZ	S	25,932	8.57	n/a	n/a	1,296.60	0.0
WADDELL AND REED	047	COV	S	124,360	64.20	n/a	n/a	4,974.40	0.0
KEYGROUP/KGLT	040	CRZO	B	25,000	29.33	n/a	n/a	1,000.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CTRX	B	40,900	52.88	n/a	n/a	1,636.00	0.0
Õ Jack Chernus		DAL	B	300	18.7200	n/a	18-Jun	0.00	0.0
Õ Jack Chernus		DAL	B	500	18.7200	n/a	18-Jun	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Jack Chernus		DAL	B	500	18.7400	n/a	18-Jun	0.00	0.0
Jack Chernus		DAL	B	700	18.7300	n/a	18-Jun	0.00	0.0
CR INTRINIC INVESTMENT	044	DE	B	5,000	85.29	n/a	11-Jul	150.00	0.0
KAM ADVISORS LLC	041	DIS	S	100,000	65.16	n/a	n/a	3,000.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		ECHO	S	15,600	18.37	n/a	n/a	468.00	0.0
HIGHBRIDGE CAP	041	EMN	B	4,129	72.93	n/a	n/a	123.87	0.0
PATTEN & PATTEN	025	EWZ	S	500	46.83	n/a	n/a	25.00	0.0
HIGHBRIDGE CAP	041	EXPD	SS	6,433	38.77	n/a	n/a	192.99	0.0
DELTEC ASSET MGMT.	040	FDX	S	8,500	101.91	n/a	n/a	425.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	15.40	n/a	19-Jun	750.00	0.0
SCOPUS FUND	041	F	SS	100,000	15.39	n/a	19-Jun	4,000.00	0.0
SCOPUS FUND	041	GPS	B	21,340	42.02	n/a	n/a	853.60	0.0
HARVEST MGMT (JMP)	029	HBI	B	10,000	52.73	n/a	3-May	500.00	0.0
NORTHWESTERN MUTUAL LIFE	047	IDXX	B	23,900	89.87	n/a	n/a	956.00	0.0
PATTEN & PATTEN	025	JPM	S	300	53.83	n/a	17-Jun	15.00	0.0
PATTEN & PATTEN	025	KRFT	B	500	56.35	n/a	n/a	25.00	0.0
PRIMECAP MGMT	084	LLY	B	1,500	52.03	n/a	n/a	60.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	16.56	n/a	19-Jun	1,500.00	0.0
HIGHBRIDGE CAP	041	LYB	B	4,341	69.08	n/a	n/a	130.23	0.0
EVERGREEN	047	MSFT	B	249,210	34.95	n/a	n/a	9,968.40	0.0
NORTHWESTERN MUTUAL LIFE	047	MTD	B	7,197	214.72	n/a	n/a	287.88	0.0
PATTEN & PATTEN	025	NKE	B	50	62.20	n/a	19-Jun	2.50	0.0
LEVIN CAPITAL STRATEGIES	041	NWSA	B	57,300	31.97	n/a	n/a	1,719.00	0.0
PRIMECAP MGMT	084	PEG	S	12,000	33.17	n/a	n/a	480.00	0.0
CRAMER ROSENTHAL	070	PVH	B	5,800	126.56	n/a	14-Jun	232.00	0.0
PATTEN & PATTEN	025	QCOM	B	350	62.51	n/a	n/a	17.50	0.0
PAULSON & CO INC	041	RFP	S	32,345	13.94	n/a	n/a	1,293.80	0.0
LEVIN CAPITAL STRATEGIES	041	SPY	SS	10,889	165.39	n/a	n/a	326.67	0.0
PATTEN & PATTEN	025	SWN	S	200	38.12	n/a	13-Jun	10.00	0.0
PATTEN & PATTEN	025	TLT	S	50	113.29	n/a	n/a	2.50	0.0
WILLIAMS TRADING/BLUE MTN	087	TRBAA	SS	50,000	57.75	n/a	n/a	1,500.00	0.0
HIGHBRIDGE CAP	041	TXT	SS	18,376	27.11	n/a	n/a	551.28	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	VCSH	B	125	79.78	n/a	n/a	6.25	0.0
PATTEN & PATTEN	025	VEU	B	295	46.69	n/a	n/a	14.75	0.0
PATTEN & PATTEN	025	VO	B	850	97.31	n/a	n/a	42.50	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	350,000	28.12	n/a	19-Jun	17,500.00	0.0
KOLVEN CAPITAL	025	XLF	B	1,400	19.75	n/a	n/a	42.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		XPO	B	15,000	17.14		n/a	n/a	450.00 0.0
SONICA CAPITAL LLC	025	ZQK	B	100,000	6.51	n/a	10-May	3,000.00	0.0
TOTAL (Trade Date) :								64,152.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/17	COLUMBUS CIRCLE (COLC3040)	036	DLX	S	4,911	34.82	n/a	n/a	196.44 0.0
TOTAL (AO, CXL, CRT) :										196.44

TOTAL (Trade Date):	64,152.35
TOTAL (AO, CXL, CRT):	196.44

TOTAL (RUN DATE) / NFS: 64,348.79

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