



Daily Compliance Activity Report

Trade Date: 06/29/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	B	500	10.42	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	ACL	B	200	117.32	n/a	23-Jun	10.00	5.0
NEUBERGER BERMAN	036	ACN	B	30,000	33.40	n/a	n/a	1,350.00	4.5
PATTEN & PATTEN	067	ADBE	B	200	28.71	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	ADRU	S	600	17.61	n/a	n/a	30.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	15,000	58.19	5-Jun	29-Jun	750.00	5.0
HOOVER INV. MGMT	033	ANF	S	99,400	26.09	3-Jun	18-Jun	3,976.00	4.0
SAC TRADING HOWARD	038	ANF	B	19,200	26.00	3-Jun	18-Jun	960.00	5.0
STRAUSS ASSET MGMT	040	AN	B	25,000	17.47	10-Jun	10-Jun	1,000.00	4.0
MILLRACE FUND LP	028	ARGN	B	100	5.79	n/a	30-Apr	3.00	3.0
PATTEN & PATTEN	067	AVY	S	200	25.70	28-Apr	28-Apr	10.00	5.0
COOPER CREEK PART	028	AXL	B	25,000	3.46	n/a	10-Jun	750.00	3.0
PATTEN & PATTEN	067	BAC	S	2,500	12.91	11-May	25-Jun	125.00	5.0
PATTEN & PATTEN	067	BBY	B	900	34.46	n/a	27-Jul	45.00	5.0
PATTEN & PATTEN	067	BDX	B	850	71.20	n/a	22-Apr	42.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	BIIB	S	100,000	46.80	n/a	n/a	5,000.00	5.0
STANDARD PACIFIC CAPITAL	040	CCK	B	50,000	23.91	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	CL	S	300	72.03	8-Jun	8-Jun	15.00	5.0
BUCK CAPITAL MGMT	001	COH	B	70,000	26.96	n/a	22-Apr	2,800.00	4.0
PATTEN & PATTEN	067	CVS	B	200	32.25	n/a	n/a	10.00	5.0
KLEINHEINZ CAP PART	031	DELL	B	75,000	13.88	n/a	n/a	3,750.00	5.0
GREEN ARROW CAPITAL	040	DKS	S	25,000	17.48	27-Apr	20-May	1,250.00	5.0
PATTEN & PATTEN	067	DOV	S	700	33.60	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	EPP	B	200	31.95	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	EWC	B	300	21.80	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	EWZ	B	200	53.68	n/a	n/a	10.00	5.0
IRONBOUND CAPITAL	012	EXH	B	110,000	16.53	27-May	22-Jun	5,500.00	5.0
PATTEN & PATTEN	067	FHN	B	800	12.30	n/a	n/a	40.00	5.0
BUCK CAPITAL MGMT	001	FL	SS	50,000	10.63	27-Apr	26-Jun	2,000.00	4.0
ROXBURY CAPITAL MGMT	035	FL	S	215,655	10.68	27-Apr	26-Jun	8,626.20	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	30,000	11.49	29-Jun	29-Jun	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	FPL	S	500	57.46	n/a	n/a	25.00	5.0
PNC/MERCANTILE	028	FPL	B	12,058	57.39	n/a	n/a	482.32	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	26.01	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	033	GME	B	100,000	21.98	n/a	n/a	4,000.00	4.0
JP MORGAN VENTURES	046	GPS	B	69,800	16.58	n/a	30-Jan	3,490.00	5.0
PATTEN & PATTEN	067	IEF	B	250	90.93	n/a	n/a	12.50	5.0
CAXTON PART	040	IP	B	75,000	14.45	23-Jun	23-Jun	2,625.00	3.5
WAGONHOUND/NIC	048	IWP	S	951	36.63	n/a	n/a	38.04	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	26.46	n/a	30-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	60,000	29.20	13-Apr	19-Jun	2,400.00	4.0
PATTEN & PATTEN	067	JNJ	S	100	56.79	n/a	22-Apr	5.00	5.0
CATAPULT	040	KBR	S	25,000	18.69	n/a	n/a	1,250.00	5.0
STRAUSS ASSET MGMT	040	KLAC	B	15,000	24.96	n/a	n/a	600.00	4.0
PATTEN & PATTEN	067	KMB	B	1,600	52.96	23-Apr	27-Apr	80.00	5.0
MELLON/BANK OF NEW YORK	046	K	B	33,820	46.54	n/a	n/a	1,691.00	5.0
CAXTON PART	040	MAT	B	19,501	16.13	n/a	n/a	682.55	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ENTRUST CAPITAL	040	MEE	B	116,400	19.91	n/a	n/a	5,820.00	5.0
GREEN ARROW CAPITAL	040	MGM	B	75,000	6.75	n/a	6-May	3,750.00	5.0
PATTEN & PATTEN	067	MIC	B	1,000	3.94	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MMM	B	100	59.93	4-Jun	4-Jun	5.00	5.0
NEUBERGER BERMAN	036	MRK	B	35,000	26.96	n/a	n/a	1,575.00	4.5
CASTLE ARK	031	MTD	S	36,710	76.80	n/a	n/a	2,202.60	6.0
APEX CAPITAL MGMT.	033	NOK	SS	150,000	15.03	n/a	n/a	6,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	OMI	S	27,700	43.67	n/a	n/a	1,108.00	4.0
PATTEN & PATTEN	067	PG	S	200	52.05	5-Jun	5-Jun	10.00	5.0
COLUMBIA PARTNERS	028	PNFP	B	700	13.49	n/a	n/a	28.00	4.0
STANDARD PACIFIC CAPITAL	040	POT	SS	13,000	95.95	n/a	n/a	650.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	28.74	20-Apr	21-May	1,200.00	4.0
PATTEN & PATTEN	067	Q	S	500	4.11	n/a	n/a	25.00	5.0
RAIL-SPLITTER	031	RCL	SS	29,300	13.22	22-Apr	24-Apr	1,465.00	5.0
RAMIUS CAP	040	RKT	SS	19,000	37.34	n/a	n/a	760.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	SGP	S	2,000	24.89	n/a	n/a	100.00	5.0
WAGONHOUND/NIC	048	SLM	S	8,283	10.26	23-Apr	18-Jun	331.32	4.0
PATTEN & PATTEN	067	SNE	S	400	26.69	n/a	n/a	20.00	5.0
DC CAPITAL	044	SOA	S	50,000	6.02	n/a	n/a	1,500.00	3.0
PATTEN & PATTEN	067	SWN	B	1,500	39.20	27-Feb	1-Jun	75.00	5.0
PATTEN & PATTEN	067	T	B	200	25.16	n/a	4-Jan	10.00	5.0
DC CAPITAL	044	UAUA	S	50,000	3.46	n/a	n/a	1,500.00	3.0
CONIFER/ISF	025	URI	S	10,000	6.55	n/a	29-Oct	500.00	5.0
PNC/MERCANTILE	028	URS	B	17,250	50.49	n/a	n/a	690.00	4.0
PATTEN & PATTEN	067	UTX	S	200	52.35	n/a	n/a	10.00	5.0
MILLENIUM PARTNERS	028	WMT	B	30,000	48.76	11-May	19-Jun	1,200.00	4.0
AELTUS/ING INVESTMENT MGT	215	WSO	B	19,900	49.30	n/a	n/a	696.51	3.5
TOTAL (Trade Date):								91,610.54	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/26	CIRCLE T/SES PART (CIRCMAIN)	035	F	B	25,000	5.79	n/a	3-Jun	750.00 3.0
AO,CRT	06/26	CIRCLE T/SES PART (CIRCMAIN)	035	F	B	25,000	5.79	n/a	3-Jun	1000.00 4.0

TOTAL (AO, CXL, CRT) :	250.00
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TOTAL (Trade Date) :	91,610.54
TOTAL (AO, CXL, CRT) :	250.00

TOTAL (RUN DATE) / NFS:	91,860.54
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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