



## Daily Compliance Activity Report

Trade Date: 12/20/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
LATEFF MGMT	035	AA	B	1,050	8.84	n/a	n/a	105.00 10.0
DEVENNY CAP LLC	044	ABX	S	10,000	46.11	n/a	n/a	300.00 3.0
PATTEN & PATTEN	025	AB	S	300	13.44	n/a	n/a	15.00 5.0
PLATTE RIVER CAPITAL	240	ARCO	B	37,000	19.90	n/a	31-Oct	1,480.00 4.0
PLATTE RIVER CAPITAL	240	ARMH	S	27,500	26.98	n/a	n/a	1,100.00 4.0
PATTEN & PATTEN	025	BA	B	150	72.46	n/a	29-Nov	7.50 5.0
LATEFF MGMT	035	BDN	S	1,000	9.15	n/a	n/a	100.00 10.0
PATTEN & PATTEN	025	BDX	S	120	72.73	n/a	n/a	6.00 5.0
KLEINHEINZ CAP PART	031	BIG	B	68,000	38.05	n/a	2-Dec	3,400.00 5.0
LATEFF MGMT	035	BMS	S	400	29.70	n/a	n/a	40.00 10.0
PATTEN & PATTEN	025	BTO	B	500	13.40	n/a	n/a	25.00 5.0
HALCYON LLC	041	CKH	B	1,900	89.01	n/a	n/a	57.00 3.0
FARALLON CAP MGMT	040	CMCSA	S	155,892	23.44	n/a	n/a	4,676.76 3.0
PENNANT CAP MGMT	029	COL	S	200,000	54.90	n/a	5-Dec	6,000.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	CPB	S	30,584	32.86	n/a	n/a	917.52	3.0
ROARING BLUE LION MGMT	031	CROX	B	10,900	14.99	n/a	n/a	436.00	4.0
PATTEN & PATTEN	025	CSCO	S	200	18.45	n/a	n/a	10.00	5.0
SENATOR INVESTMENT GROUP	036	CVI	B	50,000	18.06	n/a	n/a	1,500.00	3.0
LATEFF MGMT	035	DD	B	850	44.99	n/a	20-Dec	110.50	13.0
TRELLUS PARTNERS LP	028	DE	SS	25,000	76.14	n/a	23-Nov	1,250.00	5.0
SURVEYOR CAPITAL	251	DPZ	S	45,521	33.43	n/a	20-Oct	1,365.63	3.0
LATEFF MGMT	035	DRE	B	1,500	11.94	n/a	n/a	150.00	10.0
SYSTEMATIC FINANCIAL MGT	035	EA	B	120,000	20.36	n/a	n/a	3,600.00	3.0
HARVEST MGMT	029	FL	S	12,000	23.00	n/a	18-Nov	480.00	4.0
MA CAPITAL MGMT/MELLON ADV041		FL	B	6,000	23.14	n/a	18-Nov	300.00	5.0
MACQUARIE INVESTMENT MGMT. 040		FL	S	6,300	23.04	n/a	18-Nov	0.00	0.0
PATTEN & PATTEN	025	FRC	B	100	29.93	n/a	n/a	5.00	5.0
LATEFF MGMT	035	GLW	S	300	12.80	n/a	12-Dec	33.00	11.0
BALYASNY ASSET MGMT	044	GM	B	25,000	19.50	n/a	2-Dec	1,250.00	5.0
PATTEN & PATTEN	025	GVI	B	200	111.11	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	HD	S	300	41.54	n/a	8-Dec	39.00	13.0
WHITE PINE CAPITAL	030	HEK	S	14,000	6.89	n/a	n/a	420.00	3.0
LATEFF MGMT	035	HPQ	B	125	26.00	n/a	n/a	27.50	22.0
SIMMONS VENTURES	041	HWD	B	1,500	9.90	n/a	n/a	60.00	4.0
PATTEN & PATTEN	025	IAI	S	200	20.68	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	INTC	B	400	23.91	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	ITT	S	50	19.74	n/a	n/a	2.50	5.0
CAERUS GLOBAL	041	JNY	S	17,600	9.65	n/a	27-Oct	704.00	4.0
PATTEN & PATTEN	025	JPM	S	1,040	31.96	n/a	15-Dec	52.00	5.0
LATEFF MGMT	035	KFT	S	175	36.85	n/a	n/a	22.75	13.0
SURVEYOR CAPITAL	251	KFT	B	81,500	36.91	n/a	n/a	2,445.00	3.0
LATEFF MGMT	035	KMB	S	100	72.24	n/a	25-Oct	30.00	30.0
HARVEST MGMT	029	LAVA	SS	10,000	7.16	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	LLY	B	275	40.99	n/a	n/a	13.75	5.0
HARVEST MGMT	029	LOW	B	15,000	25.39	n/a	7-Dec	600.00	4.0
PATTEN & PATTEN	025	LQD	B	250	113.42	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	MHK	B	2,000	55.50	n/a	n/a	60.00	3.0
PATTEN & PATTEN	025	MMM	S	108	80.09	n/a	12-Dec	5.40	5.0
NORTHWESTERN MUTUAL LIFE	047	MMP	S	3,000	65.65	n/a	n/a	120.00	4.0
CRAMER ROSENTHAL/SCOTT	070	MTN	B	9,700	43.66	n/a	n/a	388.00	4.0
PECONIC PARTNERS	036	NBL	B	50,000	91.63	n/a	n/a	2,500.00	5.0
KACELA CAPITAL	034	NCR	B	3,574	16.30	n/a	n/a	142.96	4.0
DEVENNY CAP LLC	044	NEM	B	10,000	62.48	n/a	n/a	300.00	3.0
WEINTRAUB CAPITAL MGT.	040	NEM	B	80,000	62.69	n/a	n/a	3,200.00	4.0
PATTEN & PATTEN	025	NSC	B	25	70.53	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	NUE	S	100	39.84	n/a	n/a	5.00	5.0
LATEFF MGMT	035	NYB	B	400	11.97	n/a	7-Dec	40.00	10.0
LATEFF MGMT	035	OI	B	400	18.33	n/a	n/a	40.00	10.0
LATEFF MGMT	035	PBCT	B	900	12.37	n/a	21-Oct	90.00	10.0
LATEFF MGMT	035	PG	S	125	65.71	n/a	16-Nov	37.50	30.0
KACELA CAPITAL	034	PIR	S	53,719	13.75	n/a	n/a	2,148.76	4.0
SURVEYOR CAPITAL	251	RCL	S	86,300	24.29	n/a	n/a	2,589.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	RF	S	304	4.05	n/a	n/a	15.20	5.0
WEINTRAUB CAPITAL MGT.	040	RTN	B	75,000	46.94	n/a	21-Nov	3,000.00	4.0
PATTEN & PATTEN	025	SDS	S	750	19.93	n/a	n/a	37.50	5.0
HARVEST MGMT	029	SHW	B	5,000	86.02	n/a	14-Dec	200.00	4.0
PATTEN & PATTEN	025	SIAL	S	50	65.03	n/a	12-Dec	2.50	5.0
ROARING BLUE LION MGMT	031	SSI	S	7,777	14.46	n/a	n/a	311.08	4.0
PATTEN & PATTEN	025	STI	S	100	16.65	n/a	n/a	5.00	5.0
FARALLON CAP MGMT	040	STT	S	125,000	40.56	n/a	19-Dec	5,000.00	4.0
PATTEN & PATTEN	025	SWN	S	100	32.56	n/a	20-Dec	5.00	5.0
TRUST CO OF THE WEST/NY	040	S	S	31,200	2.22	n/a	n/a	936.00	3.0
TRUST CO/COWEN/CALF.	040	S	S	828,225	2.22	n/a	n/a	24,846.75	3.0
LATEFF MGMT	035	TCB	S	500	9.87	n/a	n/a	50.00	10.0
BRONSON POINT	036	TGT	S	25,000	51.90	n/a	2-Dec	750.00	3.0
PATTEN & PATTEN	025	T	B	100	29.13	n/a	n/a	5.00	5.0
LEVIN CAPITAL STRATEGIES	041	URBN	C	36,696	26.85	n/a	n/a	1,100.88	3.0
PATTEN & PATTEN	025	UTX	S	135	74.43	n/a	n/a	6.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	VC	B	10,000	47.14	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	XLS	S	100	8.61	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	XYL	S	100	24.16	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	X	S	2,060	24.83	n/a	n/a	103.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>82,041.44</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/19	BROADARCH CAP/OLD NEWC (BROAJPM)	070	QQQ	B	400	55.09	n/a	n/a	16.00 4.0
AO,CXL	12/19	BROADARCH CAP/OLD NEWC (BROAGSPB)	070	QQQ	B	400	55.09	n/a	n/a	16.00 4.0
AO,CXL	12/19	SANDLER O'NEILL ASSET (SANOJPMBS)	031	STT	SS	2,992	40.00	n/a	19-Dec	149.60 5.0
AO,CRT	12/19	SANDLER O'NEILL ASSET (SANO)	031	STT	SS	2,992	40.00	n/a	19-Dec	149.60 5.0

**TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (Trade Date) :

82,041.44

TOTAL (AO, CXL, CRT) :

0.00

**TOTAL (RUN DATE) / NFS:****82,041.44**

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