



Daily Compliance Activity Report

Trade Date: 11/17/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
PATTEN & PATTEN	025	ACM	S	150	20.94	n/a	n/a	7.50 5.0
PATTEN & PATTEN	025	AML	B	1,700	15.86	n/a	n/a	85.00 5.0
CADIAN CAPITAL	041	ANF	B	30,000	48.99	n/a	17-Nov	900.00 3.0
PATTEN & PATTEN	025	APA	S	200	99.10	n/a	10-Nov	10.00 5.0
CASTLEROCK	040	ARO	B	17,713	16.50	n/a	4-Nov	708.52 4.0
SENATOR INVESTMENT GROUP	036	ASH	S	45,000	54.84	n/a	16-Nov	1,350.00 3.0
PATTEN & PATTEN	025	AWK	S	400	30.33	n/a	n/a	20.00 5.0
BALYASNY ASSET MGMT	044	AXL	C	100,000	8.61	n/a	31-Oct	4,000.00 4.0
PATTEN & PATTEN	025	A	S	228	37.10	n/a	n/a	11.40 5.0
PERSHING SQUARE	029	BACWSB	S	51,700	0.56	n/a	n/a	517.00 1.0
PATTEN & PATTEN	025	BDX	S	100	73.66	n/a	n/a	5.00 5.0
SANDLER O'NEILL ASSET	031	BNS	B	15,300	49.48	n/a	n/a	765.00 5.0
PATTEN & PATTEN	025	BTU	S	200	37.00	n/a	n/a	10.00 5.0
SURVEYOR CAPITAL	041	CAR	SS	2,000	13.22	n/a	n/a	60.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	CAVM	S	42,000	32.79	n/a	n/a	1,680.00	4.0
MELLON/BANK OF NEW YORK	046	CNO	S	101,200	6.13	n/a	n/a	4,048.00	4.0
MERRILL ASSET/BLACKROCK	297	CPT	S	11,900	58.81	n/a	n/a	476.00	4.0
PATTEN & PATTEN	025	CSCO	S	800	18.29	n/a	n/a	40.00	5.0
TROUBH PART	070	C	S	25,000	26.46	n/a	16-Nov	1,250.00	5.0
SUN AMERICA ASSET MGMT	030	DEST	S	2,830	15.23	n/a	n/a	113.20	4.0
STANDARD PACIFIC CAPITAL	084	DE	B	173,674	76.79	n/a	14-Sep	8,683.70	5.0
SOROS	036	DFS	B	19,500	22.63	n/a	15-Nov	780.00	4.0
PATTEN & PATTEN	025	DOW	S	135	26.24	n/a	1-Nov	6.75	5.0
SURVEYOR CAPITAL	041	DTG	B	5,000	66.00	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	DUK	B	1,300	20.14	n/a	n/a	65.00	5.0
PATTEN & PATTEN	025	EEM	S	300	38.68	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	EFA	S	100	49.26	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	EP	S	1,000	24.75	n/a	n/a	50.00	5.0
BNP PARIBAS SEC	040	FL	B	25,000	21.72	n/a	17-Nov	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	FMC	B	5,000	80.60	n/a	8-Dec	200.00	4.0
OZ MGMT	040	F	C	116,568	10.15	n/a	2-Nov	3,497.04	3.0
SANDLER O'NEILL ASSET	031	GHL	B	23,400	37.50	n/a	n/a	1,170.00	5.0
PATTEN & PATTEN	025	GLW	S	800	15.28	n/a	14-Nov	40.00	5.0
KINGDON ASSET MGMT	041	GM	S	150,000	21.92	n/a	10-Nov	6,000.00	4.0
OZ MGMT	040	GM	C	50,000	22.58	n/a	10-Nov	1,500.00	3.0
PATTEN & PATTEN	025	GOV	B	1,225	21.50	n/a	n/a	61.25	5.0
PATTEN & PATTEN	025	IEF	B	250	104.86	n/a	n/a	12.50	5.0
HOPLITE MGMT	025	ITUB	SS	209,468	17.29	n/a	n/a	8,378.72	4.0
PATTEN & PATTEN	025	IVV	S	500	122.16	n/a	n/a	25.00	5.0
CHESAPEAKE PARTNERS	028	JAKK	B	4,892	19.00	n/a	n/a	146.76	3.0
MFP INVESTORS	085	JNS	B	10,000	6.00	n/a	n/a	400.00	4.0
BRANDWINE	028	JNY	B	90,500	11.12	n/a	27-Oct	3,620.00	4.0
PATTEN & PATTEN	025	JPM	S	250	30.51	n/a	16-Nov	12.50	5.0
TROUBH PART	070	JPM	S	25,000	31.04	n/a	16-Nov	1,250.00	5.0
PATTEN & PATTEN	025	KMX	S	188	27.67	n/a	n/a	9.40	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	KRE	B	15,000	23.10	n/a	n/a	750.00	5.0
KINGDON ASSET MGMT	041	LEA	S	200,000	40.62	n/a	31-Oct	8,000.00	4.0
OZ MGMT	040	LEA	C	50,000	40.73	n/a	31-Oct	1,500.00	3.0
SEVEN LOCKS CAPITAL	025	LEA	S	15,500	40.77	n/a	31-Oct	465.00	3.0
NEUBERGER BERMAN	036	LPS	B	36,600	18.00	n/a	n/a	1,464.00	4.0
PATTEN & PATTEN	025	LSI	S	400	5.56	n/a	n/a	20.00	5.0
PILOT ADV	041	LTD	B	10,000	42.93	n/a	n/a	300.00	3.0
LATEFF MGMT	035	LUK	B	1,500	21.67	n/a	n/a	120.00	8.0
PATTEN & PATTEN	025	MCD	S	200	91.91	n/a	11-Nov	10.00	5.0
BRONSON POINT	036	MMM	B	5,000	80.20	n/a	8-Nov	150.00	3.0
PATTEN & PATTEN	025	MRK	S	325	34.74	n/a	n/a	16.25	5.0
SUN AMERICA ASSET MGMT	030	MRVL	S	7,600	14.12	n/a	n/a	304.00	4.0
PATTEN & PATTEN	025	MSFT	S	400	25.67	n/a	n/a	20.00	5.0
BNP PARIBAS SEC	040	MWV	S	10,000	28.93	n/a	26-Oct	500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	MWV	SS	6,000	29.34	n/a	26-Oct	300.00	5.0
SANDLER O'NEILL ASSET	031	NYB	B	8,700	12.07	n/a	19-Oct	435.00	5.0
PATTEN & PATTEN	025	ORCL	S	500	30.74	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	OZM	S	10,000	8.04	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	PCAR	S	100	39.42	n/a	26-Oct	5.00	5.0
PATTEN & PATTEN	025	PCL	B	725	36.17	n/a	25-Oct	36.25	5.0
PATTEN & PATTEN	025	PEP	S	225	63.78	n/a	n/a	11.25	5.0
PATTEN & PATTEN	025	PG	S	150	62.78	n/a	16-Nov	7.50	5.0
SURVEYOR CAPITAL	041	PH	SS	5,000	81.13	n/a	19-Oct	150.00	3.0
PATTEN & PATTEN	025	PIO	S	325	15.73	n/a	n/a	16.25	5.0
MA CAPITAL MGMT/MELLON ADV	041	PKG	B	6,800	25.55	n/a	18-Oct	340.00	5.0
BALYASNY ASSET MGMT	044	RKT	SS	10,000	57.09	n/a	10-Nov	500.00	5.0
GALT INVESTMENT	041	RUTH	B	15,935	4.90	n/a	n/a	398.38	2.5
COHE & STEERS	041	RYN	S	85,000	40.77	n/a	26-Oct	3,400.00	4.0
SANDLER O'NEILL ASSET	031	RY	B	4,200	43.98	n/a	n/a	210.00	5.0
SUN AMERICA ASSET MGMT	030	SFLY	B	1,800	37.70	n/a	n/a	72.00	4.0
COLUMBUS CIRCLE	036	SIMO	B	414	20.12	n/a	n/a	16.56	4.0
SOROS	036	SLM	B	38,600	12.51	n/a	11-Nov	1,544.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RESERVOIR CAPITAL GROUP LLC060		SPY	B	69,300	122.94	n/a	n/a	2,079.00	3.0
IRIDIAN ASSET MGMT.	036	TEN	S	6,220	28.35	n/a	n/a	311.00	5.0
LISTED ERR	099	TEN	B	1,220	28.30	n/a	n/a	0.00	0.0
LISTED ERR	099	TEN	S	1,220	27.76	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	USB	C	167,772	25.90	n/a	n/a	6,710.88	4.0
PATTEN & PATTEN	025	VZ	B	725	36.71	n/a	n/a	36.25	5.0
TRUSTCO/SUNTRUST	040	WEN	S	87,500	5.17	n/a	9-Nov	3,062.54	3.5
SANDLER O'NEILL ASSET	031	WFC	S	39,200	24.95	n/a	16-Nov	1,960.00	5.0
PATTEN & PATTEN	025	XBI	S	300	60.09	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	XLU	B	775	34.34	n/a	n/a	38.75	5.0
SONTERRA CAP	041	X	B	25,000	25.47	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								90,085.10	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/16	STRONG/MARK GRONET (SCMGST3911)	030	JAG	S	1,975	7.94	n/a	n/a	59.25 3.0
AO,	11/16	STRONG/MARK GRONET (SCMG187746)	030	JAG	S	17,800	7.94	n/a	n/a	534.00 3.0
AO,	11/16	STRONG/MARK GRONET (SCMGST821)	030	JAG	S	9,385	7.94	n/a	n/a	281.55 3.0
AO,	11/16	STRONG/MARK GRONET (SCMGST268)	030	JAG	S	20,800	7.94	n/a	n/a	624.00 3.0
AO,	11/16	STRONG/MARK GRONET (SCMGST9966)	030	JAG	S	23,000	7.94	n/a	n/a	690.00 3.0
AO,	11/16	STRONG/MARK GRONET (SCMGST2458)	030	JAG	S	81,000	7.94	n/a	n/a	2430.00 3.0
AO,	11/16	STRONG/MARK GRONET (SCMGST2403)	030	JAG	S	146,000	7.94	n/a	n/a	4380.00 3.0
AO,	11/16	STRONG/MARK GRONET (SCMG234463)	030	JAG	S	40	7.94	n/a	n/a	1.20 3.0
AO,	11/16	SMITH MGMT LLC (SMITBNP)	029	LNKD	SS	23,000	72.76	n/a	n/a	690.00 3.0
AO,CXL	11/16	SMITH MGMT LLC (SMITJPMORG)	029	LNKD	SS	23,000	72.76	n/a	n/a	690.00 3.0
AO,CRT	11/16	CHESAPEAKE PARTNERS (CHSAJPMPB)	028	RAH	S	21,010	82.43	n/a	n/a	630.30 3.0
AO,CXL	11/16	CHESAPEAKE PARTNERS (CHSAMSPB)	028	RAH	S	21,010	82.43	n/a	n/a	630.30 3.0
AO,CXL	11/16	FIRST NY SEC/CHRIS (FNYCHRIS)	041	SKS	B	20,000	10.18	n/a	n/a	1000.00 5.0
AO,CRT	11/16	FIRST NY SEC/CHRIS (FNYCHRIS)	041	SKS	B	20,000	10.18	n/a	n/a	600.00 3.0
TOTAL (AO, CXL, CRT) :										8,600.00

TOTAL (Trade Date) :	90,085.10
TOTAL (AO, CXL, CRT) :	8,600.00

TOTAL (RUN DATE) / NFS:	98,685.10
--------------------------------	------------------

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