



Daily Compliance Activity Report

Trade Date: 12/29/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/WELLS CAP ANN F	047	ALTR	S	100,000	22.61	n/a	n/a	4,000.00	4.0
MORGAN BANK /JPM	070	BBY	SS	28,522	40.53	n/a	n/a	855.66	3.0
PATTEN & PATTEN	067	DUK	S	700	17.37	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	DVY	B	500	44.57	n/a	n/a	25.00	5.0
BAIRD INVESTMENT	047	EL	B	5,575	49.46	n/a	21-Dec	278.75	5.0
DENVER INST. ADV	046	FINL	B	86,645	12.11	n/a	n/a	3,465.80	4.0
PATTEN & PATTEN	067	F	B	150	10.11	n/a	2-Dec	7.50	5.0
PATTEN & PATTEN	067	HPQ	B	600	52.72	n/a	n/a	30.00	5.0
JANA CAPITAL	044	HPT	B	14,200	23.90	n/a	n/a	568.00	4.0
PATTEN & PATTEN	067	IEF	B	160	88.73	n/a	n/a	8.00	5.0
PATTEN & PATTEN	067	INTC	S	440	20.27	n/a	n/a	22.00	5.0
STG INVESTORS	041	INTC	S	20,000	20.33	n/a	n/a	800.00	4.0
GREEN ARROW DOUG	040	KAR	S	4,100	13.50	n/a	n/a	205.00	5.0
MORGAN BANK /JPM	070	KO	B	49,987	57.94	n/a	n/a	1,499.61	3.0
SAC TRADIN/BINDER	044	LVS	B	30,000	15.42	n/a	11-Nov	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	LXK	B	8,700	25.94	n/a	n/a	261.00	3.0
MAIRS AND POWER INV	030	MMM	S	10,000	84.26	n/a	11-Dec	500.00	5.0
MORGAN BANK /JPM	070	MOT	S	314,400	7.73	n/a	n/a	9,432.00	3.0
WELLS/STRONG LEDDY	035	MPW	S	3,300	10.20	n/a	n/a	132.00	4.0
JP MORGAN VENTURES	046	MT	SS	15,000	46.63	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	NSC	B	150	53.35	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	OSK	B	150	37.55	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	PGN	B	450	41.48	n/a	n/a	22.50	5.0
PATTEN & PATTEN	067	PHO	S	975	17.11	n/a	n/a	48.75	5.0
PATTEN & PATTEN	067	PIO	B	975	18.37	n/a	n/a	48.75	5.0
STRONG/WELLS CAP ANN F	047	PMCS	B	75,000	8.37	n/a	n/a	2,250.00	3.0
KACELA CAPITAL	034	SBUX	B	20,000	23.57	n/a	6-Nov	800.00	4.0
PATTEN & PATTEN	067	SPY	S	160	112.68	n/a	n/a	8.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	20,000	8.33	n/a	n/a	600.00	3.0
DIAMONDBACK CAP MGMT	232	TROW	B	10,000	53.87	n/a	18-Dec	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	070	UNH	B	88,262	31.00	n/a	n/a	2,647.86	3.0
MORGAN BANK /JPM	070	VIAB	C	39,374	29.83	n/a	n/a	1,181.22	3.0
PRINCIPLE CAPITAL	040	VIV	B	100,000	31.36	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	067	VMC	B	210	53.39	n/a	n/a	10.50	5.0
PATTEN & PATTEN	067	VXX	S	1,140	32.48	n/a	n/a	57.00	5.0
PATTEN & PATTEN	067	VZ	B	125	33.50	n/a	n/a	6.25	5.0
ISLE RIDGE PARTNERS	041	XHB	SS	17,500	15.27	n/a	n/a	700.00	4.0
TOTAL (Trade Date) :								35,971.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/28	ROYCE TRADING (ROYC269)	216	GME	B	1,000	22.31	n/a	n/a	50.00 5.0
AO,	12/28	ROYCE TRADING (ROYC269)	216	GME	B	400	22.31	n/a	n/a	20.00 5.0
AO,	12/28	ROYCE TRADING (ROYC190)	216	GME	B	100	22.31	n/a	n/a	5.00 5.0
AO,	12/28	ROYCE TRADING (ROYC52)	216	GME	B	800	22.31	n/a	n/a	40.00 5.0
AO,CXL	12/28	ROYCE TRADING (ROYC23)	216	GME	B	5,500	22.31	n/a	n/a	275.00 5.0
AO,	12/28	ROYCE TRADING (ROYC23)	216	GME	B	2,300	22.31	n/a	n/a	115.00 5.0
AO,	12/28	ROYCE TRADING (ROYC6)	216	GME	B	2,900	22.31	n/a	n/a	145.00 5.0

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

TOTAL (Trade Date) :

35,971.15

TOTAL (AO, CXL, CRT) :

0.00

TOTAL (RUN DATE) / NFS :**35,971.15**

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