



Daily Compliance Activity Report

Trade Date: 12/22/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	AEO	B	25,000	15.04	n/a	2-Dec	1,000.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	2,500	9.56	n/a	31-Oct	75.00	3.0
HARVEST MGMT	029	BBY	SS	15,000	22.93	n/a	n/a	600.00	4.0
PATTEN & PATTEN	025	BBY	S	500	22.90	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	BTU	B	325	34.37	n/a	n/a	16.25	5.0
CATAPULT	040	CAT	S	5,000	91.48	n/a	21-Dec	200.00	4.0
SOROS LONDON	085	CMCSA	S	163,431	23.59	n/a	n/a	6,537.24	4.0
PENNANT CAP MGMT	029	COL	S	129,900	55.52	n/a	5-Dec	3,897.00	3.0
GALT INVESTMENT	041	CROX	S	50,000	15.01	n/a	n/a	2,000.00	4.0
PORTER-ORLIN	044	CS	B	50,000	23.41	n/a	n/a	2,000.00	4.0
MTB INV ADV	034	CVGI	S	20,575	9.30	n/a	n/a	1,028.75	5.0
PORTER-ORLIN	044	DB	B	50,000	38.22	n/a	n/a	2,000.00	4.0
VISIUM/BALY BOBBY	044	DHR	S	10,000	46.95	n/a	n/a	500.00	5.0
CATAPULT	040	ECL	SS	5,000	55.96	n/a	12-Dec	200.00	4.0
PATTEN & PATTEN	025	EEM	S	725	38.12	n/a	n/a	36.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	EMR	SS	5,000	45.96	n/a	n/a	200.00	4.0
CATAPULT	040	FUL	SS	5,000	22.77	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	F	B	200	10.93	n/a	2-Dec	10.00	5.0
PILOT ADV	041	F	B	170,650	10.90	n/a	2-Dec	3,413.00	2.0
LATEFF MGMT	035	HD	S	175	41.84	n/a	8-Dec	35.00	20.0
PATTEN & PATTEN	025	JPM	B	500	33.03	n/a	22-Dec	25.00	5.0
PATTEN & PATTEN	025	KRE	B	100	24.53	n/a	n/a	5.00	5.0
HARVEST MGMT	029	MFRM	S	7,000	22.64	n/a	n/a	280.00	4.0
HALCYON LLC	041	MMI	S	50,000	38.69	n/a	n/a	1,500.00	3.0
CATAPULT	040	MOS	SS	5,000	50.89	n/a	n/a	200.00	4.0
BRONSON POINT	036	NCR	B	100,000	16.48	n/a	n/a	3,000.00	3.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	22.12	n/a	9-Nov	400.00	4.0
LATEFF MGMT	035	NYB	S	750	12.11	n/a	7-Dec	90.00	12.0
PATTEN & PATTEN	025	PHO	S	800	16.89	n/a	n/a	40.00	5.0
BNP PARIBAS SEC	040	PH	SS	20,000	75.66	n/a	19-Oct	1,000.00	5.0
CATAPULT	040	POL	SS	15,000	11.45	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	POT	S	5,000	41.73	n/a	n/a	200.00	4.0
EGS ASSOCIATES LP	091	PVH	B	7,000	68.83	n/a	2-Dec	350.00	5.0
HARVEST MGMT	029	SHW	B	5,000	88.02	n/a	14-Dec	200.00	4.0
ROARING BLUE LION MGMT	031	SSI	S	10,000	14.60	n/a	n/a	400.00	4.0
LISTED ERR	099	SSI	B	200	14.41	n/a	n/a	0.00	0.0
LISTED ERR	099	SSI	S	200	14.66	n/a	n/a	0.00	0.0
CHESAPEAKE PARTNERS	028	SUG	S	2,231	42.25	n/a	n/a	66.93	3.0
PATTEN & PATTEN	025	SWN	B	100	33.59	n/a	22-Dec	5.00	5.0
LATEFF MGMT	035	SYF	S	800	29.11	n/a	n/a	96.00	12.0
LATEFF MGMT	035	TCB	S	750	10.25	n/a	n/a	75.00	10.0
SOROS	085	TRIP	B	19,100	26.15	n/a	n/a	764.00	4.0
EPOCH INV MGMT	030	VC	S	30,000	48.62	n/a	n/a	900.00	3.0
GALT INVESTMENT	041	VTV	S	50,000	1.92	n/a	n/a	1,250.00	2.5
PATTEN & PATTEN	025	VWO	B	700	38.38	n/a	n/a	35.00	5.0
PATTEN & PATTEN	025	XL	S	500	12.97	n/a	n/a	25.00	5.0

TOTAL (Trade Date):

35,480.42

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/21	COLUMBUS CAP MGMT LLC (CBUSGSPB)	084	IFF	SS	13,000	52.14	n/a	12-Dec	650.00 5.0
AO,CRT	12/21	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	IFF	SS	13,000	52.14	n/a	12-Dec	650.00 5.0
AO,CXL	12/21	COLUMBUS CAP MGMT LLC (CBUSGSPB)	084	PPG	SS	9,000	81.41	n/a	14-Dec	450.00 5.0
AO,CRT	12/21	COLUMBUS CAP MGMT LLC (CBUSUBSPB)	084	PPG	SS	9,000	81.41	n/a	14-Dec	450.00 5.0
CRT	12/22	EGS ASSOCIATES LP (EGASBANC O)	091	PVH	B	7,000	68.83	n/a	2-Dec	350.00 5.0

TOTAL (AO, CXL, CRT) :	350.00
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TOTAL (Trade Date) :	35,480.42
TOTAL (AO, CXL, CRT) :	350.00

TOTAL (RUN DATE) / NFS :	35,830.42
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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