

## **Daily Compliance Activity Report** Trade Date: 10/18/2010

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BALYASNY ASSET MGMT	044	AEO	В	10,000	16.71	n/a	11-0ct	500.00	5.0
PATTEN & PATTEN	067	APC	В	150	57.44	n/a	30-Sep	7.50	5.0
PATTEN & PATTEN	067	APD	S	100	82.52	n/a	8-0ct	5.00	5.0
WAGONHOUND/NIC	289	AXL	S	62,056	9.13	n/a	11-0ct	1,861.68	3.0
DELTEC ASSET MGMT.	040	BEAV	S	10,000	32.21	n/a	12-Oct	500.00	5.0
BMO NESBITT BURNS	041	СЕРН	В	4,000	64.52	n/a	18-Oct	200.00	5.0
THIRD COAST CAPITAL	035	CVGI	В	10,000	11.90	n/a	n/a	500.00	5.0
PLATTE RIVER CAPITAL	240	DELL	S	10,000	14.47	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	DOW	В	250	29.90	n/a	13-0ct	12.50	5.0
PATTEN & PATTEN	067	DVN	S	120	68.23	n/a	30-Sep	6.00	5.0
GREEN ARROW DOUG	040	EAT	SS	50,000	20.08	n/a	n/a	2,500.00	5.0
HOPLITE MGMT	025	EMC	S	851 <b>,</b> 720	20.67	n/a	n/a	34,068.80	4.0
M&I FUNDS PATTEN & PATTEN	047 067	ETN ETN	S B	14 <b>,</b> 144 75	84.19 83.97	n/a n/a	4-Oct 4-Oct	565.76 3.75	4.0
PATTEN & PATTEN	067	EWL	В	550	24.08	n/a	n/a	27.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	:	MRI	Research	Comm.	:/Shr.
SONTERRA CAP	041	EXC	SS	20,000	43.71		n/a	n/a	800.00	4.0
WADDELL AND REED	047	GE	S	1,000,000	16.12		n/a	n/a	30,000.00	3.0
NOMURA CAPITAL	029	GGC	S	12,154	19.89		n/a	n/a	364.62	3.0
GREEN ARROW DOUG	040	GPS	S	10,000	19.84		n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	HYG	S	200	89.93		n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	IJH	В	200	81.95		n/a	n/a	10.00	5.0
LATEFF MGMT	035	IP	В	17,500	23.66		n/a	18-Oct	1,050.00	6.0
PATTEN & PATTEN	067	KBE	S	400	22.86		n/a	n/a	20.00	5.0
BENNETT LAWRENCE	028	KFRC	В	24,450	14.97		n/a	n/a	978.00	4.0
SYSTEMATIC FINANCIAL MGT	035	KSS	S	92 <b>,</b> 275	52.86		n/a	11-0ct	2,768.25	3.0
DC CAPITAL	044	LNC	S	50,000	25.56		n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	LOW	В	10,000	21.05		n/a	16-Aug	500.00	5.0
MESIROW	031	LPS	S	5,612	26.68		n/a	n/a	224.48	4.0
PATTEN & PATTEN	067	LQD	S	125	112.04		n/a	n/a	6.25	5.0
MERRILL ASSET/BLACKROCK	266	MCY	В	10,700	42.75		n/a	n/a	428.00	4.0
	SONTERRA CAP  WADDELL AND REED  NOMURA CAPITAL  GREEN ARROW DOUG  PATTEN & PATTEN  LATEFF MGMT  PATTEN & PATTEN  BENNETT LAWRENCE  SYSTEMATIC FINANCIAL MGT  DC CAPITAL  JP MORGAN VENTURES  MESIROW  PATTEN & PATTEN	SONTERRA CAP 041  WADDELL AND REED 047  NOMURA CAPITAL 029  GREEN ARROW DOUG 040  PATTEN & PATTEN 067  LATEFF MGMT 035  PATTEN & PATTEN 067  BENNETT LAWRENCE 028  SYSTEMATIC FINANCIAL MGT 035  DC CAPITAL 044  JP MORGAN VENTURES 046  MESIROW 031  PATTEN & PATTEN 067	SONTERRA CAP  SONTERRA CAP  WADDELL AND REED  NOMURA CAPITAL  O29  GGC  GREEN ARROW DOUG  PATTEN & PATTEN  O67  HYG  PATTEN & PATTEN  O67  IJH  LATEFF MGMT  O67  KBE  BENNETT LAWRENCE  SYSTEMATIC FINANCIAL MGT  JP MORGAN VENTURES  O46  LOW  MESIROW  O67  LQD	SONTERRA CAP  WADDELL AND REED  NOMURA CAPITAL  O29  GGC  S  GREEN ARROW DOUG  O40  GPS  S  PATTEN & PATTEN  O67  HYG  S  PATTEN & PATTEN  O67  IJH  B  LATEFF MGMT  O35  IP  B  HATTEN & PATTEN  O67  KBE  S  S  S  BENNETT LAWRENCE  O28  KFRC  B  SYSTEMATIC FINANCIAL MGT  O44  LNC  S  JP MORGAN VENTURES  O46  LOW  B  MESIROW  O31  LPS  S  S	SONTERRA CAP  041  EXC  SS  20,000  WADDELL AND REED  047  GE  S  1,000,000  NOMURA CAPITAL  029  GGC  S  12,154  GREEN ARROW DOUG  040  GPS  S  10,000  PATTEN & PATTEN  067  HYG  S  200  PATTEN & PATTEN  067  IJH  B  200  LATEFF MGMT  035  IP  B  17,500  PATTEN & PATTEN  067  KBE  S  400  BENNETT LAWRENCE  028  KFRC  B  24,450  SYSTEMATIC FINANCIAL MGT  035  KSS  S  92,275  DC CAPITAL  044  LNC  S  50,000  MESIROW  031  LPS  S  5,612  PATTEN & PATTEN  067  LQD  S  125	SONTERRA CAP  041  EXC  SS  20,000  43.71  WADDELL AND REED  047  GE  S  1,000,000  16.12  NOMURA CAPITAL  029  GGC  S  12,154  19.89  GREEN ARROW DOUG  040  GPS  S  10,000  19.84  PATTEN & PATTEN  067  HYG  S  200  89.93  PATTEN & PATTEN  067  IJH  B  200  81.95  LATEFF MGMT  035  IP  B  17,500  23.66  PATTEN & PATTEN  067  KBE  S  400  22.86  BENNETT LAWRENCE  028  KFRC  B  24,450  14.97  SYSTEMATIC FINANCIAL MGT  035  KSS  S  92,275  52.86  DC CAPITAL  044  LNC  S  50,000  25.56  MESIROW  031  LPS  S  125  112.04	SONTERRA CAP 041 EXC SS 20,000 43.71  WADDELL AND REED 047 GE S 1,000,000 16.12  NOMURA CAPITAL 029 GGC S 12,154 19.89  GREEN ARROW DOUG 040 GPS S 10,000 19.84  PATTEN & PATTEN 067 HYG S 200 89.93  PATTEN & PATTEN 067 IJH B 200 81.95  LATEFF MGMT 035 IP B 17,500 23.66  PATTEN & PATTEN 067 KBE S 400 22.86  BENNETT LAWRENCE 028 KFRC B 24,450 14.97  SYSTEMATIC FINANCIAL MGT 035 KSS S 92,275 52.86  DC CAPITAL 044 LNC S 50,000 25.56  JP MORGAN VENTURES 046 LOW B 10,000 21.05  MESIROW 031 LPS S 5,612 26.68  PATTEN & PATTEN 067 LQD S 125 112.04	SONTERRA CAP 041 EXC SS 20,000 43.71 n/a  WADDELL AND REED 047 GE S 1,000,000 16.12 n/a  NOMURA CAPITAL 029 GGC S 12,154 19.89 n/a  GREEN ARROW DOUG 040 GPS S 10,000 19.84 n/a  PATTEN & PATTEN 067 HYG S 200 89.93 n/a  PATTEN & PATTEN 067 IJH B 200 81.95 n/a  LATEFF MGMT 035 IP B 17,500 23.66 n/a  BENNETT LAWRENCE 028 KFRC B 24,450 14.97 n/a  SYSTEMATIC FINANCIAL MGT 035 KSS S 92,275 52.86 n/a  DC CAPITAL 044 LNC S 50,000 25.56 n/a  JP MORGAN VENTURES 046 LOW B 10,000 21.05 n/a  MESIROW 031 LPS S 5,612 26.68 n/a  PATTEN & PATTEN 067 LQD S 125 112.04 n/a	SONTERRA CAP 041 EXC SS 20,000 43.71 n/a n/a WADDELL AND REED 047 GE S 1,000,000 16.12 n/a n/a NOMURA CAPITAL 029 GGC S 12,154 19.89 n/a n/a GREEN ARROW DOUG 040 GPS S 10,000 19.84 n/a n/a PATTEN & PATTEN 067 HYG S 200 89.93 n/a n/a LATEFF MGMT 035 IP B 17,500 23.66 n/a 18-Oct PATTEN & PATTEN 067 KBE S 400 22.86 n/a n/a BENNETT LAWRENCE 028 KFRC B 24,450 14.97 n/a n/a SYSTEMATIC FINANCIAL MGT 035 KSS S 92,275 52.86 n/a 11-Oct DC CAPITAL 044 LNC S 50,000 25.56 n/a 16-Aug MESIROW 031 LPS S 5,612 26.68 n/a n/a PATTEN & PATTEN 067 LQD S 125 112.04 n/a n/a	SONTERRA CAP 041 EXC SS 20,000 43.71 n/a n/a 800.00  WADDELL AND REED 047 GE S 1,000,000 16.12 n/a n/a 30,000.00  NOMURA CAPITAL 029 GGC S 12,154 19.89 n/a n/a 364.62  GREEN ARROW DOUG 040 GPS S 10,000 19.84 n/a n/a 500.00  PATTEN & PATTEN 067 HYG S 200 89.93 n/a n/a 10.00  PATTEN & PATTEN 035 IP B 17,500 23.66 n/a 18-Oct 1,050.00  PATTEN & PATTEN 067 KBE S 400 22.86 n/a n/a 20.00  BENNETT LAWRENCE 028 KFRC B 24,450 14.97 n/a n/a 978.00  SYSTEMATIC FINANCIAL MGT 035 KSS S 92,275 52.86 n/a 11-Oct 2,768.25  DC CAPITAL 044 LNC S 50,000 25.56 n/a n/a 16-Aug 500.00  MESIROW 031 LPS S 5,612 26.68 n/a n/a 16-Aug 500.00  MESIROW 031 LPS S 5,612 26.68 n/a n/a 6.25

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
WAGONHOUND/NIC	289	MON	В	10,450	56.76	n/a	11-0ct	418.00	4.0
TRUSTCO/SUNTRUST	040	MSFT	S	150,950	25.92	n/a	n/a	5,283.25	3.5
DIAMONDBACK CAP MGMT	232	MS	S	10,000	25.39	n/a	15-Oct	500.00	5.0
PATTEN & PATTEN	067	NVS	В	25	59.64	n/a	n/a	1.25	5.0
NEWLAND CAPITAL MGT	067	PAG	S	10,000	13.86	n/a	11-0ct	400.00	4.0
WEISS PECK	040	PAG	В	29 <b>,</b> 530	13.71	n/a	11-0ct	1,476.50	5.0
PATTEN & PATTEN	067	PEP	В	45	66.56	n/a	n/a	2.25	5.0
MELLON/BANK OF NEW YORK	046	PFE	В	4,715	17.66	n/a	n/a	235.75	5.0
PATTEN & PATTEN	067	PID	В	600	15.30	n/a	n/a	30.00	5.0
MERRILL ASSET/BLACKROCK	266	PRE	В	6,100	81.00	n/a	n/a	244.00	4.0
PATTEN & PATTEN	067	PX	В	100	90.66	n/a	23-Aug	5.00	5.0
PATTEN & PATTEN	067	QCOM	В	25	44.24	n/a	n/a	1.25	5.0
FIRST NEW YORK NICK	029	Q	S	10,000	6.35	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	266	RGA	В	9,400	48.66	n/a	n/a	376.00	4.0
SENATOR INVESTMENT GROUP	036	RKT	В	40,000	53.77	n/a	n/a	1,200.00	3.0
ARCHON CAPITAL	035	RNOW	S	9,000	25.05	n/a	n/a	270.00	3.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	PERRY PARTNERS	085	RVBD	В	75 <b>,</b> 000	46.48	n/a	n/a	3,750.00	5.0
õ	Nilsa Vazquez		SBUX	S	200 2	7.3401	n/a	15-0ct	0.00	0.0
	PATTEN & PATTEN	067	SHY	S	100	84.44	n/a	n/a	5.00	5.0
	GRUSS CAPITAL	025	SPR	S	5,000	21.36	n/a	12-0ct	150.00	3.0
	TALKOT CAPITAL LLC	084	SSCC	S	5,000	22.27	n/a	18-Oct	200.00	4.0
	PATTEN & PATTEN	067	TEVA	В	100	54.42	n/a	18-Oct	5.00	5.0
	PATTEN & PATTEN	067	TSCO	В	275	39.03	n/a	n/a	13.75	5.0
	MELLON/BANK OF NEW YORK	046	TSM	В	78 <b>,</b> 595	10.28	n/a	n/a	3,143.80	4.0
	MELLON/BANK OF NEW YORK	046	TXN	S	36,800	28.21	n/a	n/a	1,840.00	5.0
	PATTEN & PATTEN	067	Т	В	35	28.51	n/a	n/a	1.75	5.0
	BROADARCH CAP/OLD NEWC	070	WERN	С	10,700	21.05	n/a	n/a	428.00	4.0
	SAC ENERGY GS-BOB	044	WFT	S	100,000	18.47	n/a	n/a	3,500.00	3.5
	BMO NESBITT BURNS	041	WPI	S	4,000	47.32	n/a	18-Oct	200.00	5.0
	EGS ASSOCIATES LP	091	WRC	В	4,000	57.10	n/a	18-Oct	240.00	6.0
	EGS ASSOCIATES LP	091	WRC	SS	100	57.21	n/a	18-Oct	6.00	6.0
	PATTEN & PATTEN	067	XLK	В	350	24.08	n/a	n/a	17.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
PATTEN & PATTEN	067	XLU	В	300	32.07	n/a	n/a	15.00 5.0
TOTAL (Trade Date):					1	05,777.14		

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	10/15	ACK ASSET (ACKAMSPB)	028	BEAV	S	12,018	32.23	2/2	12-0ct	360.54	3.0
•	-,	,	028	BEAV		25,000	32.23	, -	12-0ct 12-0ct	750.00	3.0
AO, CXL	10/15	ACK ASSET (ACKABEARPB)			SS	•					
AO, CRT	10/15	ACK ASSET (ACKABEARPB)	028	BEAV	SS	12,982	32.23	n/a	12-Oct	389.46	3.0
AO,CXL	10/15	COOPER CREEK PART (COOPJPM)	028	BEAV	SS	569	32.06		12-Oct	28.45	5.0
AO,	10/15	COOPER CREEK PART (COOPJPM)	028	BEAV	SS	569	32.06	n/a	12-0ct	22.76	4.0
AO,CXL	10/15	COOPER CREEK PART (COOPGS)	028	BEAV	SS	9,431	32.06	n/a	12-Oct	471.55	5.0
AO,	10/15	COOPER CREEK PART (COOPGS)	028	BEAV	SS	9,431	32.06	n/a	12-0ct	377.24	4.0
AO,	10/15	COLUMBUS CIRCLE (COLC3060)	036	GOOG	В	2,600	597.46	n/a	n/a	104.00	4.0
AO,	10/15	PILOT ADV (PILOJPM)	242	HD	SS	15,000	30.48	n/a	7-0ct	450.00	3.0
AO,CXL	10/15	PILOT ADV (PILOBOFA)	242	HD	SS	1,000	30.48	n/a	7-0ct	40.00	4.0
AO,	10/15	PILOT ADV (PILOBOFA)	242	HD	SS	1,000	30.48	n/a	7-0ct	30.00	3.0
CRT	10/18	DC CAPITAL (DCCAGOLDMA)	044	LNC	S	50,000	25.56	n/a	n/a	2500.00	5.0
AO,	10/15	PILOT ADV (PILOJPM)	242	LOW	SS	24,400	21.48	n/a	16-Aug	732.00	3.0
AO, CXL	10/15	PILOT ADV (PILOBOFA)	242	LOW	SS	1,600	21.48	n/a	16-Aug	64.00	4.0
AO,	10/15	PILOT ADV (PILOBOFA)	242	LOW	SS	1,600	21.48		16-Aug	48.00	3.0
AO,CXL	10/15	COOPER CREEK PART (COOPJPM)	028	NDN	В	1,138	15.97	n/a	8-0ct	56.90	5.0
AO,	10/15	COOPER CREEK PART (COOPJPM)	028	NDN	В	1,138	15.97	n/a	8-0ct	45.52	4.0
AO, CXL	10/15	COOPER CREEK PART (COOPGS)	028	NDN	В	18,862	15.97	n/a	8-0ct	943.10	5.0
•		, ,				•					
AO,	10/15	COOPER CREEK PART (COOPGS)	028	NDN	В	18 <b>,</b> 862	15.97	n/a	8-0ct	754.48	4.0

TOTAL (AO, CXL, CRT): 3,460.00

TOTAL (RUN DATE) / NFS:	109,237.14
TOTAL (AO, CXL, CRT):	3,460.00
TOTAL (Trade Date):	105,777.14

## Legend:

O: 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