

## **Daily Compliance Activity Report** Trade Date: 06/03/2011

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	TRELLUS PARTNERS LP	028	AXL	SS	25 <b>,</b> 000	10.66	n/a	25-May	1,250.00	5.0
	PATTEN & PATTEN	025	BAC	S	3 <b>,</b> 750	11.40	n/a	2-Jun	187.50	5.0
	PATTEN & PATTEN	025	BK	S	400	26.98	n/a	2-Jun	20.00	5.0
	MTB INV ADV	034	BODY	S	4,200	22.01	n/a	n/a	210.00	5.0
	PZENA INV ADV	044	ВР	В	400	44.59	n/a	n/a	14.00	3.5
	COLUMBUS CIRCLE	036	CYBX	S	2 <b>,</b> 526	28.44	n/a	n/a	101.04	4.0
	PATTEN & PATTEN	025	DVY	S	1,000	52.45	n/a	n/a	50.00	5.0
	PATTEN & PATTEN	025	D	В	150	47.17	n/a	n/a	7.50	5.0
	PATTEN & PATTEN	025	EPP	S	100	47.69	n/a	n/a	5.00	5.0
	PATTEN & PATTEN	025	FCX	В	100	50.21	n/a	n/a	5.00	5.0
	ROYCE TRADING	012	FINL	В	4 <b>,</b> 995	21.66	n/a	10-May	249.75	5.0
	PATTEN & PATTEN	025	F	S	750	14.14	n/a	2-Jun	37.50	5.0
	WALL STREET CAPITAL	084	F	S	10,000	14.12	n/a	2-Jun	450.00	4.5
	OZ MGMT	040	GM	С	75 <b>,</b> 000	29 24	n/a	2-Jun	2,250.00	3.0
	OZ MGMT	040	GM	SS	75 <b>,</b> 000	29.11	n/a	2-Jun	2,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
KLEINHEINZ CAP PART	031	HBI	S	50,000	28.42	n/a	21-Apr	2,500.00	5.0
PATTEN & PATTEN	025	HDV	В	1,000	52.21	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	HON	В	100	57.67	n/a	3-Jun	5.00	5.0
PATTEN & PATTEN	025	IBB	В	50	107.79	n/a	n/a	2.50	5.0
CATAPULT	040	IP	SS	15,000	29.69	n/a	28-Apr	600.00	4.0
MTB INV ADV	034	JCI	S	55 <b>,</b> 835	37.71	n/a	26-Apr	2,791.75	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	25 <b>,</b> 000	32.47	n/a	3-Jun	875.00	3.5
PATTEN & PATTEN	025	JNJ	В	500	65.95	n/a	n/a	25.00	5.0
MTB INV ADV	034	LNCE	S	46 <b>,</b> 875	20.79	n/a	n/a	2,343.75	5.0
RWC PARTNERS LTD	085	LOW	S	19 <b>,</b> 396	23.45	n/a	16-May	581.88	3.0
SCOPUS FUND	041	LOW	S	20,000	23.41	n/a	16-May	800.00	4.0
TUDOR INVESTORS	028	MTW	В	10,000	17.12	n/a	3-May	300.00	3.0
PATTEN & PATTEN	025	NLC	S	225	27.54	n/a	n/a	11.25	5.0
PATTEN & PATTEN	025	NUAN	В	750	20.80	n/a	n/a	37.50	5.0
TUDOR INVESTORS	028	NUE	SS	5,000	40.73	n/a	n/a	150.00	3.0
CASTLE ARK	031	PAY	В	181,600	45.70	n/a	n/a	9,080.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
PATTEN & PATTEN	025	PCAR	В	50	47.68	n/a	20-Apr	2.50	5.0
WEINTRAUB CAPITAL MGT.	040	PCH	В	100,000	34.62	n/a	3-Jun	4,000.00	4.0
PATTEN & PATTEN	025	PEP	В	200	68.90	n/a	n/a	10.00	5.0
COOPER CREEK PART	028	PKG	SS	10,000	27.38	n/a	19-Apr	400.00	4.0
MERRILL ASSET/BLACKROCK	297	PRE	S	24,600	73.72	n/a	n/a	984.00	4.0
PATTEN & PATTEN	025	PRU	В	150	61.21	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	PWR	S	200	19.25	n/a	n/a	10.00	5.0
BNP PARIBAS SEC	040	ROST	В	10,000	79.22	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	SWN	В	100	42.45	n/a	29-Apr	5.00	5.0
PROSPECTOR PARTNERS LLC	036	TDS	В	10,000	31.98	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	TEVA	S	510	50.65	n/a	3-Jun	25.50	5.0
TUDOR INVESTORS	028	TEX	SS	5,000	27.24	n/a	25-Apr	150.00	3.0
MERRILL ASSET/BLACKROCK	297	TIBX	S	27,300	26.72	n/a	n/a	1,092.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	В	20,000	21.77	n/a	19-May	1,000.00	5.0
TUDOR INVESTORS	028	TKR	В	5,000	50.02	n/a	n/a	150.00	3.0
	PATTEN & PATTEN  WEINTRAUB CAPITAL MGT.  PATTEN & PATTEN  COOPER CREEK PART  MERRILL ASSET/BLACKROCK  PATTEN & PATTEN  BNP PARIBAS SEC  PATTEN & PATTEN  PROSPECTOR PARTNERS LLC  PATTEN & PATTEN  TUDOR INVESTORS  MERRILL ASSET/BLACKROCK  CSFB GLOBAL PROPRIETARY	PATTEN & PATTEN 025  WEINTRAUB CAPITAL MGT. 040  PATTEN & PATTEN 025  COOPER CREEK PART 028  MERRILL ASSET/BLACKROCK 297  PATTEN & PATTEN 025  BNP PARIBAS SEC 040  PATTEN & PATTEN 025  PROSPECTOR PARTNERS LLC 036  PATTEN & PATTEN 025  TUDOR INVESTORS 028  MERRILL ASSET/BLACKROCK 297  CSFB GLOBAL PROPRIETARY 041	PATTEN & PATTEN  WEINTRAUB CAPITAL MGT.  040  PCH  PATTEN & PATTEN  025  PEP  COOPER CREEK PART  028  MERRILL ASSET/BLACKROCK  PATTEN & PATTEN  025  PRU  PATTEN & PATTEN  025  PWR  BNP PARIBAS SEC  040  ROST  PATTEN & PATTEN  025  SWN  PROSPECTOR PARTNERS LLC  036  TDS  PATTEN & PATTEN  025  TEVA  TUDOR INVESTORS  028  TEX  MERRILL ASSET/BLACKROCK  297  TIBX  CSFB GLOBAL PROPRIETARY  041  TIN	PATTEN & PATTEN  WEINTRAUB CAPITAL MGT.  PATTEN & PATTEN  025  PEP  B  COOPER CREEK PART  028  PKG  SS  MERRILL ASSET/BLACKROCK  297  PRE  S  PATTEN & PATTEN  025  PWR  S  BNP PARIBAS SEC  040  ROST  B  PATTEN & PATTEN  025  SWN  B  PATTEN & PATTEN  025  SWN  B  PATTEN & PATTEN  025  SWN  B  PATTEN & PATTEN  025  TUDOR INVESTORS  028  TEX  S  CSFB GLOBAL PROPRIETARY  041  TIN  B	PATTEN & PATTEN 025 PCAR B 50  WEINTRAUB CAPITAL MGT. 040 PCH B 100,000  PATTEN & PATTEN 025 PEP B 200  COOPER CREEK PART 028 PKG SS 10,000  MERRILL ASSET/BLACKROCK 297 PRE S 24,600  PATTEN & PATTEN 025 PRU B 150  PATTEN & PATTEN 025 PWR S 200  BNP PARIBAS SEC 040 ROST B 10,000  PATTEN & PATTEN 025 SWN B 100  PATTEN & PATTEN 025 SWN B 100  PROSPECTOR PARTNERS LLC 036 TDS B 10,000  PATTEN & PATTEN 025 TEVA S 510  TUDOR INVESTORS 028 TEX SS 5,000  MERRILL ASSET/BLACKROCK 297 TIBX S 27,300  CSFB GLOBAL PROPRIETARY 041 TIN B 20,000	PATTEN & PATTEN 025 PCAR B 50 47.68  WEINTRAUB CAPITAL MGT. 040 PCH B 100,000 34.62  PATTEN & PATTEN 025 PEP B 200 68.90  COOPER CREEK PART 028 PKG SS 10,000 27.38  MERRILL ASSET/BLACKROCK 297 PRE S 24,600 73.72  PATTEN & PATTEN 025 PRU B 150 61.21  PATTEN & PATTEN 025 PWR S 200 19.25  BNP PARIBAS SEC 040 ROST B 10,000 79.22  PATTEN & PATTEN 025 SWN B 100 42.45  PROSPECTOR PARTNERS LLC 036 TDS B 10,000 31.98  PATTEN & PATTEN 025 TEVA S 510 50.65  TUDOR INVESTORS 028 TEX SS 5,000 27.24  MERRILL ASSET/BLACKROCK 297 TIBX S 27,300 26.72  CSFB GLOBAL PROPRIETARY 041 TIN B 20,000 21.77	PATTEN & PATTEN 025 PCAR B 50 47.68 n/a WEINTRAUB CAPITAL MGT. 040 PCH B 100,000 34.62 n/a PATTEN & PATTEN 025 PEP B 200 68.90 n/a COOPER CREEK PART 028 PKG SS 10,000 27.38 n/a MERRILL ASSET/BLACKROCK 297 PRE S 24,600 73.72 n/a PATTEN & PATTEN 025 PRU B 150 61.21 n/a PATTEN & PATTEN 025 PWR S 200 19.25 n/a BNP PARIBAS SEC 040 ROST B 10,000 79.22 n/a PATTEN & PATTEN 025 SWN B 10,000 79.22 n/a PATTEN & PATTEN 025 SWN B 10,000 31.98 n/a PATTEN & PATTEN 025 TEVA S 510 50.65 n/a TUDOR INVESTORS 028 TEX SS 5,000 27.24 n/a MERRILL ASSET/BLACKROCK 297 TIBX S 27,300 26.72 n/a CSFB GLOBAL PROPRIETARY 041 TIN B 20,000 21.77 n/a	PATTEN & PATTEN 025 PCAR B 50 47.68	PATTEN & PATTEN 025 PCAR B 100,000 34.62

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
TUDOR INVESTORS	028	TRN	В	5,000	32.18	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	TSCO	В	50	60.91	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	UTX	В	50	83.29	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	V	В	25	79.68	n/a	11-May	1.25	5.0
PATTEN & PATTEN	025	WFR	S	500	9.68	n/a	n/a	25.00	5.0
SAC TRADING TOM LEDDY	035	WMT	SS	25,000	53.57	n/a	18-May	875.00	3.5
TUDOR INVESTORS	028	WY	В	10,000	20.88	n/a	3-Jun	300.00	3.0
WEINTRAUB CAPITAL MGT.	040	WY	В	150,000	20.83	n/a	3-Jun	6,000.00	4.0
PATTEN & PATTEN	025	XBI	В	100	73.63	n/a	n/a	5.00	5.0
TUDOR INVESTORS	028	X	В	5,000	43.66	n/a	n/a	150.00	3.0

TOTAL (Trade Date): 43,488.67

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CXL	06/02	IRIDIAN ASSET MGMT. (IRAM265)	036	DRC	S	5,810	51.83	n/a	n/a	290.50	5.0
AO,	06/02	IRIDIAN ASSET MGMT. (IRAM26)	036	DRC	S	5,810	51.83	n/a	n/a	290.50	5.0
AO,CXL	06/02	MTB INV ADV (MTBIMIDCAP)	034	HLF	S	4,800	55.71	n/a	n/a	0.00	0.0
AO,CRT	06/02	MTB INV ADV (MTBIMIDCAP)	034	HLF	S	4,800	55.71	n/a	n/a	240.00	5.0
CRT	06/03	MTB INV ADV (MTBIMAIN O)	034	JCI	S	15,835	37.71	n/a	26-Apr	791.75	5.0
AO,	06/02	NOMURA CAPITAL (NOMUSTRAT)	029	TXI	SS	1,698	40.94	n/a	n/a	50.94	3.0
AO,	06/02	NOMURA CAPITAL (NOMUBATT2)	029	TXI	SS	658	40.94	n/a	n/a	19.74	3.0
AO,	06/02	NOMURA CAPITAL (NOMUBSMAIN)	029	TXI	SS	1,538	40.94	n/a	n/a	46.14	3.0
AO,CXL	06/02	HARVEST MGMT (HARVGSCO)	029	XRT	В	10,000	52.13	n/a	n/a	400.00	4.0
AO, CRT	06/02	HARVEST MGMT (HARVGSCO)	029	XRT	В	10,000	52.13	n/a	n/a	300.00	3.0

TOTAL (RUN DATE) / NFS:	44,537.24
TOTAL (AO, CXL, CRT):	1,048.57
TOTAL (Trade Date):	43,488.67

## 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