



## Daily Compliance Activity Report

Trade Date: 11/07/2012

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	3,700	20.49	n/a	2-Dec	185.00	0.0
SYMPHONY ASSET	033	AES	C	49,270	10.23	n/a	n/a	1,478.10	0.0
PATTEN & PATTEN	025	AGG	B	290	112.04	n/a	n/a	14.50	5.0
PATTEN & PATTEN	025	AML	B	200	16.34	n/a	n/a	10.00	5.0
CASTLEROCK	040	ARCO	B	25,000	11.89	n/a	5-Nov	1,000.00	4.0
PATTEN & PATTEN	025	BA	B	75	70.19	n/a	7-Nov	3.75	5.0
KAYNE ANDERSON ADV	084	CHSP	S	8,400	18.65	n/a	n/a	336.00	0.0
PATTEN & PATTEN	025	CL	B	50	105.40	n/a	26-Oct	2.50	5.0
SAC TRADING TOM LEDDY	035	COST	B	30,000	97.20	n/a	n/a	1,050.00	3.5
KAYNE ANDERSON ADV	084	COT	S	40,150	8.00	n/a	n/a	1,606.00	0.0
KAYNE ANDERSON ADV	084	CSH	S	4,600	37.28	n/a	n/a	184.00	0.0
KAYNE ANDERSON ADV	084	CVGW	S	2,159	23.32	n/a	n/a	86.36	0.0
SCOPUS FUND	041	DG	S	23,753	47.77	n/a	5-Sep	950.12	4.0
PATTEN & PATTEN	025	DLR	B	100	61.46	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	DLTR	S	9,037	38.51	n/a	12-Oct	361.48	4.0
SAC CHICAGO ANDREW	031	DLTR	B	50,000	38.68	n/a	12-Oct	1,750.00	0.0
TUDOR INVESTORS	028	DLTR	SS	125,000	38.58	n/a	12-Oct	3,750.00	3.0
PATTEN & PATTEN	025	DUK	B	84	63.22	n/a	n/a	4.20	5.0
PATTEN & PATTEN	025	EEM	B	250	41.52	n/a	n/a	12.50	5.0
KAYNE ANDERSON ADV	084	EE	S	4,300	32.52	n/a	n/a	172.00	0.0
KAYNE ANDERSON ADV	084	EME	S	5,858	32.39	n/a	n/a	234.32	0.0
LEVIN CAPITAL STRATEGIES	041	ENDP	B	22,428	26.39	n/a	5-Nov	672.84	0.0
PATTEN & PATTEN	025	EOG	B	50	120.44	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	ETN	B	100	49.70	n/a	31-Oct	5.00	5.0
PATTEN & PATTEN	025	EXC	S	25	31.52	n/a	n/a	1.25	5.0
KAYNE ANDERSON ADV	084	FCS	S	14,200	12.31	n/a	n/a	568.00	0.0
OZ MGMT	040	FDO	B	50,000	67.03	n/a	4-Oct	1,500.00	0.0
ROYCE TRADING	031	FINL	B	3,500	20.84	n/a	28-Sep	175.00	0.0
MACELLUM CAPITAL	086	FNP	SS	50,000	11.79	n/a	n/a	1,500.00	3.0
DSG CAPITAL	030	GLDD	B	12,200	8.06	n/a	n/a	366.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	GRZG	B	2,000	1.58	n/a	n/a	120.00	6.0
HIGHBRIDGE CAP	041	HFC	B	6,500	40.46	n/a	n/a	195.00	3.0
KAYNE ANDERSON ADV	084	HMN	S	7,200	18.50	n/a	n/a	288.00	0.0
OHIO PERS	047	HUM	S	50,425	69.58	n/a	n/a	1,512.75	0.0
PATTEN & PATTEN	025	IJH	B	25	98.40	n/a	n/a	1.25	5.0
M&I FUNDS	047	INTU	S	3,813	60.47	n/a	n/a	152.52	4.0
NOKOMIS PARTNERS	031	IOC	B	12,000	63.48	n/a	n/a	360.00	0.0
PATTEN & PATTEN	025	IP	B	150	35.14	n/a	25-Oct	7.50	5.0
SIMMONS VENTURES	041	JCP	SS	5,000	22.94	n/a	7-Nov	200.00	4.0
PATTEN & PATTEN	025	JWN	B	50	57.42	n/a	5-Nov	2.50	5.0
KAYNE ANDERSON ADV	084	KEYN	S	13,700	14.10	n/a	n/a	548.00	0.0
OHIO PERS	047	KO	S	52,000	36.68	n/a	22-Oct	1,560.00	0.0
KAYNE ANDERSON ADV	084	KS	S	7,189	20.75	n/a	n/a	287.56	0.0
STELLIAM INV ADV	034	LCC	B	100,000	12.22	n/a	31-Oct	4,000.00	0.0
PALESTRA	040	LNG	B	87,000	15.31	n/a	n/a	4,350.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAYNE ANDERSON ADV	084	LPNT	S	7,160	37.03	n/a	n/a	286.40	0.0
PATTEN & PATTEN	025	LQD	B	25	121.99	n/a	n/a	1.25	5.0
SAC CHICAGO ANDREW	031	MCD	SS	5,030	87.69	n/a	6-Nov	176.05	3.5
PALESTRA	040	MDLZ	S	42,900	26.30	n/a	n/a	2,145.00	0.0
OHIO PERS	047	MMC	B	100,000	34.52	n/a	n/a	3,000.00	0.0
KAYNE ANDERSON ADV	084	MRTN	S	9,594	17.59	n/a	n/a	383.76	0.0
KAYNE ANDERSON ADV	084	MRX	S	9,895	43.39	n/a	n/a	395.80	0.0
KAYNE ANDERSON ADV	084	MYGN	S	13,800	29.98	n/a	n/a	552.00	0.0
KAYNE ANDERSON ADV	084	NBTB	S	4,200	20.20	n/a	n/a	168.00	0.0
PATTEN & PATTEN	025	NEE	B	75	68.30	n/a	n/a	3.75	5.0
Õ May Tang		NFLX	S	100	78.2400	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	NSC	B	300	60.23	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	NVS	B	50	60.26	n/a	n/a	2.50	5.0
HIGHBRIDGE CAP	041	OII	B	4,500	53.13	n/a	n/a	135.00	3.0
PATTEN & PATTEN	025	OXY	S	15	77.81	n/a	n/a	0.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.			
GUGGENHEIM GLOBAL TRADING (GGT) 251		PCAR	S	5,000	43.82		n/a	n/a	200.00	4.0	
BRONSON POINT	036	PENN	B	15,000	39.50	n/a	n/a	450.00	0.0		
OHIO PERS	047	PEP	B	27,700	68.85	n/a	n/a	831.00	0.0		
ROYCE TRADING	031	PLCE	B	1,000	59.54	n/a	17-Sep	50.00	0.0		
SENATOR INVESTMENT GROUP	036	PXD	B	50,000	106.32	n/a	11-Oct	1,500.00	0.0		
BALYASNY ASSET MGMT	044	RL	C	12,011	156.44	n/a	5-Nov	600.55	0.0		
COHE & STEERS	041	RYN	S	6,449	49.34	n/a	31-Oct	257.96	0.0		
PATTEN & PATTEN	025	SBUX	B	75	51.95	n/a	2-Nov	3.75	5.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			SCS	B	66,784	10.48		n/a	n/a	2,003.52	0.0
PATTEN & PATTEN	025	SLB	B	75	70.34	n/a	n/a	3.75	5.0		
PATTEN & PATTEN	025	SPY	B	210	140.19	n/a	n/a	10.50	5.0		
FINDLAY PARK PART	085	STT	B	152,000	45.01	n/a	5-Nov	10,262.33	0.0		
CHARTER OAK	033	TBF	B	50,000	28.91	n/a	n/a	1,500.00	3.0		
OZ MGMT	040	TGT	SS	83,557	62.47	n/a	1-Nov	2,506.71	0.0		
TUDOR INVESTORS	028	TGT	B	75,000	63.00	n/a	1-Nov	2,250.00	3.0		
PATTEN & PATTEN	025	TOL	B	100	33.20	n/a	n/a	5.00	5.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	UTX	B	25,000	77.83	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	UTX	B	50	77.88	n/a	n/a	2.50	5.0
SAC CHICAGO ANDREW	031	WFM	SS	12,500	97.41	n/a	n/a	437.50	3.5
LOMAS CAPITAL	040	WGO	B	16,000	13.83	n/a	n/a	480.00	3.0
PATTEN & PATTEN	025	XLE	S	25	71.00	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	XLI	B	60	36.67	n/a	n/a	3.00	5.0
PATTEN & PATTEN	025	XLV	B	300	39.65	n/a	n/a	15.00	5.0
SENATOR INVESTMENT GROUP	036	XLV	SS	100,000	39.50	n/a	n/a	3,000.00	0.0
HIGHBRIDGE CAP	041	XOM	SS	12,000	88.31	n/a	n/a	360.00	3.0
PATTEN & PATTEN	025	XOM	B	75	88.48	n/a	n/a	3.75	5.0
MERRILL ASSET/BLACKROCK	297	Y	S	200	338.67	n/a	n/a	8.00	0.0
<b>TOTAL (Trade Date):</b>								<b>66,332.83</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/05	ADAGE CAPITAL MGMT (ADAGFIDELI)	030	BKE	B	40,000	47.04	n/a	n/a	1200.00 3.0
AO,CXL	11/05	ADAGE CAPITAL MGMT (ADAGCSFB)	030	BKE	B	40,000	47.04	n/a	n/a	1200.00 3.0
AO,CRT	11/06	PATTEN & PATTEN (PATTSCHWAB)	025	CNI	S	40	88.14	n/a	n/a	2.00 5.0
AO,CXL	11/06	PATTEN & PATTEN (PATTSCHWAB)	025	CNR	S	40	88.14	n/a	n/a	2.00 5.0
AO,CXL	11/06	SAC CHICAGO ANDREW (SCASCSSAC)	031	DLTR	B	1,200	38.95	n/a	12-Oct	42.00 3.5
AO,CRT	11/06	SAC CHICAGO ANDREW (SCASCITG)	031	DLTR	B	1,200	38.95	n/a	12-Oct	42.00 3.5
AO,CXL	11/06	SAC CHICAGO ANDREW (SCASCSSAC)	031	MCD	SS	50,000	87.87	n/a	6-Nov	1750.00 3.5
AO,CRT	11/06	SAC CHICAGO ANDREW (SCASCITG)	031	MCD	SS	50,000	87.87	n/a	6-Nov	1750.00 3.5
AO,CXL	11/05	M&I FUNDS (MIFD150)	047	WRC	S	1,180	71.04	n/a	6-Nov	47.20 4.0
AO,CRT	11/05	M&I FUNDS (MIFD150)	047	WRC	S	762	71.04	n/a	6-Nov	30.48 4.0
AO,CXL	11/05	M&I FUNDS (MIFDMAIN)	047	WRC	S	762	71.04	n/a	6-Nov	30.48 4.0
AO,CRT	11/05	M&I FUNDS (MIFDMAIN)	047	WRC	S	1,180	71.04	n/a	6-Nov	47.20 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>
TOTAL (Trade Date):										66,332.83
TOTAL (AO, CXL, CRT):										0.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>66,332.83</b>





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