



Daily Compliance Activity Report

Trade Date: 12/09/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ADBE	S	500	28.90	n/a	n/a	25.00	5.0
SAC COHEN	044	AEO	S	50,000	15.39	n/a	3-Dec	1,750.00	3.5
BALYASNY ASSET MGMT	044	ALV	SS	10,000	78.07	n/a	27-Oct	500.00	5.0
TPG-AXON	040	BAC	B	500,000	12.37	n/a	8-Dec	25,000.00	5.0
RAINIER INV MGMT	035	BEN	S	29,710	117.85	n/a	2-Mar	1,188.40	4.0
M&I FUNDS	047	BIG	S	41,677	28.52	n/a	7-Dec	1,667.08	4.0
JP MORGAN VENTURES	046	BKS	S	20,000	14.95	n/a	n/a	1,000.00	5.0
CAMBIAR CAP	046	CBE	S	64,970	56.53	n/a	22-Jul	2,598.80	4.0
MADISON ST PARTNERS LLC	046	CFFN	B	30,000	24.34	n/a	n/a	1,500.00	5.0
SURVEYOR CAPITAL	041	CSCO	B	255,363	19.60	n/a	n/a	7,660.89	3.0
BALYASNY ASSET MGMT	044	CTB	SS	15,000	24.80	n/a	n/a	750.00	5.0
JMP ASSET MGMT	210	CYS	SS	20,000	13.08	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	DBC	S	1,400	26.29	n/a	n/a	70.00	5.0
COOPER CREEK PART	028	DPZ	SS	13,440	15.53	n/a	29-Nov	537.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EFG	S	1,200	59.67	n/a	n/a	60.00	5.0
RAINIER INV MGMT	035	GEF	S	23,020	60.34	n/a	n/a	920.80	4.0
MILLENIUM PARTNERS	028	GE	SS	40,000	17.07	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	29.35	n/a	3-Dec	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	GIL	C	25,000	29.18	n/a	3-Dec	750.00	3.0
WEISS PECK	040	GIL	SS	5,500	29.17	n/a	3-Dec	275.00	5.0
LISTED ERR	099	GIL	SS	500	29.17	n/a	3-Dec	0.00	0.0
BALYASNY ASSET MGMT	044	GM	B	25,000	33.96	n/a	6-Dec	1,250.00	5.0
MORTAR ROCK	033	GNTX	SS	10,000	28.94	n/a	25-Oct	400.00	4.0
SURSUM CAPITAL	215	HBI	B	20,000	27.08	n/a	28-Oct	600.00	3.0
PATTEN & PATTEN	067	HCF	B	8,000	7.60	n/a	n/a	400.00	5.0
SURSUM CAPITAL	215	HGG	S	40,000	24.78	n/a	n/a	1,200.00	3.0
LEVIN CAPITAL STRATEGIES	012	HPQ	S	25,000	42.59	n/a	n/a	750.00	3.0
LEVIN CAPITAL STRATEGIES	012	IBM	S	10,000	143.94	n/a	n/a	300.00	3.0
PATTEN & PATTEN	067	IEF	S	545	93.99	n/a	n/a	27.25	5.0
PATTEN & PATTEN	067	IGM	S	1,000	60.40	n/a	n/a	50.00	5.0
ADALY INV MGMT	031	JNY	B	5,000	15.34	n/a	28-Oct	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	JWN	S	500	42.15	n/a	30-Nov	25.00	5.0
PATTEN & PATTEN	067	KMB	B	500	62.03	n/a	27-Oct	25.00	5.0
ASCEND PARTNERS	033	LOW	C	42,729	25.04	n/a	1-Dec	2,136.45	5.0
TRUSTCO/SUNTRUST	040	LOW	S	100,000	25.42	n/a	1-Dec	3,500.01	3.5
KLEINHEINZ CAP PART	031	LULU	B	10,000	63.95	n/a	n/a	500.00	5.0
MUTUAL OF AMERICA CAPITAL	029	MET	B	37,217	43.48	n/a	n/a	1,488.68	4.0
PATTEN & PATTEN	067	MS	S	1,500	26.29	n/a	8-Dec	75.00	5.0
BALYASNY ASSET MGMT	044	NAV	S	5,400	58.30	n/a	n/a	270.00	5.0
ASCEND PARTNERS	033	PG	S	50,198	62.86	n/a	1-Dec	2,509.90	5.0
LEVIN CAPITAL STRATEGIES	012	PKI	S	18,000	24.73	n/a	n/a	540.00	3.0
SENVEST PART	085	PNRA	B	200	104.72	n/a	2-Dec	10.00	5.0
FIRST NEW YORK NICK	029	Q	S	30,000	7.23	n/a	n/a	1,500.00	5.0
RAINIER INV MGMT	035	SF	B	1,900	58.21	n/a	n/a	76.00	4.0
PATTEN & PATTEN	067	SRZ	B	1,000	5.19	n/a	n/a	50.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.15	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	TEVA	B	300	52.40	n/a	9-Dec	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GLOBAL 56 LLC	060	TLB	B	2,500	8.39	n/a	n/a	125.00	5.0
STRONG/MARK GRONET	030	TLB	B	112,800	8.38	n/a	n/a	3,384.00	3.0
PATTEN & PATTEN	067	TXN	S	1,000	33.76	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	UNM	B	500	23.36	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	WPS	B	2,000	33.83	n/a	n/a	100.00	5.0
TOTAL (Trade Date):								72,035.86	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/08	SCOPUS FUND (SCOPGS)	041	CCE	S	9,464	25.35	n/a	n/a	378.56 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPGS)	041	CCE	S	14,196	25.35	n/a	n/a	567.84 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPUBS)	041	CCE	S	63,336	25.35	n/a	n/a	2533.44 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPUBS)	041	CCE	S	58,604	25.35	n/a	n/a	2344.16 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPGS)	041	GM	S	13,000	34.52	n/a	6-Dec	520.00 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPGS)	041	GM	S	14,975	34.52	n/a	6-Dec	599.00 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPUBS)	041	GM	S	87,000	34.52	n/a	6-Dec	3480.00 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPUBS)	041	GM	S	85,025	34.52	n/a	6-Dec	3401.00 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPGS)	041	KSU	S	3,250	48.77	n/a	n/a	130.00 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPGS)	041	KSU	S	4,875	48.77	n/a	n/a	195.00 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPUBS)	041	KSU	S	21,750	48.77	n/a	n/a	870.00 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPUBS)	041	KSU	S	20,125	48.77	n/a	n/a	805.00 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPGS)	041	MW	B	3,250	24.44	n/a	n/a	130.00 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPGS)	041	MW	B	1,625	24.44	n/a	n/a	65.00 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPUBS)	041	MW	B	21,750	24.44	n/a	n/a	870.00 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPUBS)	041	MW	B	23,375	24.44	n/a	n/a	935.00 4.0
AO,	12/08	HAHN CAPITAL MANAGEMENT (HAHNNORSR)	084	PRE	B	205	78.50	n/a	n/a	10.25 5.0
AO,	12/08	HAHN CAPITAL MANAGEMENT (HAHNCHASSW)	084	PRE	B	2,769	78.50	n/a	n/a	138.45 5.0
AO,	12/08	HAHN CAPITAL MANAGEMENT (HAHNCALSTE)	084	PRE	B	1,560	78.50	n/a	n/a	78.00 5.0
AO,	12/08	HAHN CAPITAL MANAGEMENT (HAHNGREENL)	084	PRE	B	922	78.50	n/a	n/a	46.10 5.0
AO,	12/08	HAHN CAPITAL MANAGEMENT (HAHNLAKSHO)	084	PRE	B	885	78.50	n/a	n/a	44.25 5.0
AO,	12/08	HAHN CAPITAL MANAGEMENT (HAHNIBM)	084	PRE	B	900	78.50	n/a	n/a	45.00 5.0
AO,	12/08	HAHN CAPITAL MANAGEMENT (HAHNLACERA)	084	PRE	B	782	78.50	n/a	n/a	39.10 5.0
AO,CXL	12/08	SCOPUS FUND (SCOPGS)	041	UFS	B	1,937	82.33	n/a	n/a	77.48 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/08	SCOPUS FUND (SCOPGS)	041	UFS	B	2,905	82.33	n/a	n/a	116.20 4.0
AO,CXL	12/08	SCOPUS FUND (SCOPUBS)	041	UFS	B	12,963	82.33	n/a	n/a	518.52 4.0
AO,CRT	12/08	SCOPUS FUND (SCOPUBS)	041	UFS	B	11,995	82.33	n/a	n/a	479.80 4.0
TOTAL (AO, CXL, CRT) :										401.15

TOTAL (Trade Date) :	72,035.86
TOTAL (AO, CXL, CRT) :	401.15

TOTAL (RUN DATE) / NFS :	72,437.01
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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