



## Daily Compliance Activity Report

Trade Date: 03/19/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ACL	S	245	162.66	n/a	17-Mar	12.25	5.0
OMEGA ADVISORS	041	ADCT	B	814,000	7.33	n/a	n/a	24,420.00	3.0
MERRILL ASSET/BLACKROCK	214	ADI	S	298,700	29.81	n/a	n/a	11,948.00	4.0
TRUSTCO/SUNTRUST	040	AOS	B	9,700	49.61	n/a	8-Feb	378.30	3.9
ROSEDALE CAPITAL	046	AXL	S	17,300	10.69	n/a	8-Feb	865.00	5.0
PORTER-ORLIN-FELDMAN	044	BAC	SS	150,000	16.85	n/a	15-Mar	7,500.00	5.0
LATEFF MGMT	035	BA	S	500	71.48	n/a	5-Mar	200.00	40.0
EXIS CAPITAL	044	BONT	B	20,200	12.20	n/a	n/a	1,010.00	5.0
COUGAR TRADING	044	CAT	B	15,000	59.19	n/a	28-Jan	750.00	5.0
COUGAR TRADING	044	CAT	SS	15,000	59.27	n/a	28-Jan	750.00	5.0
GALT INVESTMENT	041	CHS	S	50,000	14.18	n/a	5-Feb	2,000.00	4.0
PATTEN & PATTEN	067	CVX	S	300	74.51	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	CWB	B	1,000	39.29	n/a	n/a	50.00	5.0
IRIDIAN ASSET MGMT.	036	DF	S	91,000	15.63	n/a	n/a	4,550.00	5.0
BAIRD INVESTMENT	047	ECL	S	11,750	43.27	n/a	18-Feb	587.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EPP	B	1,150	42.78	n/a	n/a	57.50	5.0
IRIDIAN ASSET MGMT.	036	ERTS	SS	130,010	18.33	n/a	n/a	6,500.50	5.0
MISSION POINT	048	FLS	B	500	105.05	n/a	n/a	25.00	5.0
EXIS CAPITAL	044	FL	SS	10,000	14.65	n/a	10-Mar	500.00	5.0
PATTEN & PATTEN	067	FSYS	B	200	31.14	n/a	n/a	10.00	5.0
BROADARCH CAP/OLD NEWC	070	F	SS	10,100	13.69	n/a	3-Mar	404.00	4.0
M&I FUNDS	047	GES	B	24,757	46.94	n/a	18-Mar	990.28	4.0
PATTEN & PATTEN	067	GLW	B	250	19.64	n/a	19-Mar	12.50	5.0
BMO NESBITT BURNS	041	IP	SS	50,000	25.96	n/a	3-Feb	2,500.00	5.0
GCORE MANAGEMENT	041	IP	B	25,000	26.02	n/a	3-Feb	1,250.00	5.0
RBC CAPITAL MARKETS	040	IP	B	25,000	26.06	n/a	3-Feb	1,000.00	4.0
SCOPUS FUND	041	IP	S	14,700	26.18	n/a	3-Feb	735.00	5.0
EXIS CAPITAL	044	JNY	B	35,000	18.50	n/a	10-Feb	1,750.00	5.0
GRUBER MACBAINE	033	LOW	S	25,000	24.83	n/a	22-Feb	1,000.00	4.0
HIGHBRIDGE CAP	041	LOW	B	4,469	24.93	n/a	22-Feb	178.76	4.0
CATAPULT	040	LYV	B	50,000	13.38	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	NWY	S	34,943	4.60	n/a	n/a	1,747.15	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADALY INV MGMT	031	OZM	B	5,000	14.02	n/a	2-Mar	200.00	4.0
LAGRANGE CAP ADV	048	PAG	S	10,000	15.80	n/a	22-Feb	500.00	5.0
KLEINHEINZ CAP PART	031	PFE	S	100,000	17.15	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	PFF	B	650	39.21	n/a	n/a	32.50	5.0
PATTEN & PATTEN	067	PGX	S	500	14.02	n/a	n/a	25.00	5.0
LATEFF MGMT	035	PKG	S	1,250	24.85	n/a	26-Jan	225.00	18.0
GREEN ARROW DOUG	040	PLCE	B	25,000	43.81	n/a	10-Mar	750.00	3.0
HARVEST MGMT	039	PLCE	B	10,000	43.20	n/a	10-Mar	500.00	5.0
PATTEN & PATTEN	067	QQQQ	B	825	47.54	n/a	n/a	41.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SIG</b>	<b>B</b>	<b>40,000</b>	<b>28.67</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	SRZ	B	1,750	5.68	n/a	n/a	87.50	5.0
LATEFF MGMT	035	TEVA	S	500	62.94	n/a	18-Mar	200.00	40.0
PATTEN & PATTEN	067	TEVA	B	210	62.53	n/a	18-Mar	10.50	5.0
RAINIER INV MGMT	035	THO	B	7,700	31.20	n/a	n/a	308.00	4.0
BMO NESBITT BURNS	041	TIN	SS	50,000	20.84	n/a	9-Feb	2,500.00	5.0
COUGAR TRADING	044	TM	S	5,000	78.53	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	UTX	S	425	73.24	n/a	n/a	21.25	5.0
PLATTE RIVER CAPITAL	240	WFT	S	42,770	16.29	n/a	n/a	1,710.80	4.0
HARVEST MGMT	039	WSM	S	20,000	24.18	n/a	n/a	1,000.00	5.0
<b>TOTAL (Trade Date):</b>								<b>90,658.54</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/18	FINDLAY PARK PART (FINDAMERSC)	259	BK	B	53,241	30.40	n/a	9-Mar	2662.05 5.0
AO,	03/18	FINDLAY PARK PART (FINDAMERSC)	259	BK	B	53,437	30.40	n/a	9-Mar	2671.85 5.0
AO,CXL	03/18	FINDLAY PARK PART (FINDRITAC)	259	BK	B	1,087	30.40	n/a	9-Mar	54.35 5.0
AO,	03/18	FINDLAY PARK PART (FINDRITAC)	259	BK	B	891	30.40	n/a	9-Mar	44.55 5.0
AO,	03/18	CASTLEROCK (CASTMERRIL)	040	CCI	S	42,948	38.48	n/a	n/a	1717.92 4.0
AO,	03/18	CASTLEROCK (CASTUBS)	040	CCI	S	100,031	38.48	n/a	n/a	4001.24 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>5,719.16</b>
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TOTAL (Trade Date) :	90,658.54
TOTAL (AO, CXL, CRT) :	5,719.16

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>96,377.70</b>
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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