



Daily Compliance Activity Report

Trade Date: 11/21/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ May Tang		AAPL	B	65367.1200		n/a	n/a	0.00	0.0
MOORE CAPITAL	041	AATI	S	45,900	4.24	n/a	n/a	1,377.00	3.0
OHIO PERS	047	ABX	S	28,780	47.73	n/a	n/a	863.40	3.0
PATTEN & PATTEN	025	AGG	B	500	109.70	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	AMLX	S	2,000	15.84	n/a	n/a	100.00	5.0
Õ May Tang		AMZN	B	115187.2100		n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	APC	S	400	75.12	n/a	16-Nov	20.00	5.0
SIMMONS VENTURES	041	ARO	B	5,000	15.76	n/a	4-Nov	200.00	4.0
PIONEER PATH	028	A	S	100,000	35.58	n/a	n/a	3,000.00	3.0
LATEFF MGMT	035	BBT	B	200	22.16	n/a	n/a	40.00	20.0
MERRILL ASSET/BLACKROCK	297	BOKF	B	4,718	52.29	n/a	n/a	188.72	4.0
BRONSON POINT	036	CCE	B	10,000	25.33	n/a	n/a	300.00	3.0
BALLAST CAP	040	CDE	B	10,400	26.53	n/a	n/a	520.00	5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	59.64	n/a	26-Oct	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	CONN	B	10,000	10.35	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	CWB	S	500	36.61	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	DE	B	50,000	72.59	n/a	14-Sep	1,500.00	3.0
SOROS	036	DFS	B	4,000	22.50	n/a	15-Nov	160.00	4.0
PATTEN & PATTEN	025	DOW	S	700	25.38	n/a	1-Nov	35.00	5.0
PATTEN & PATTEN	025	EWC	S	800	26.02	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	EWG	S	1,000	19.13	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	FCX	S	500	35.70	n/a	n/a	25.00	5.0
SANDLER CAPITAL	028	FCX	SS	140,000	35.58	n/a	n/a	7,000.00	5.0
BASIX	033	FL	S	22,000	22.14	n/a	18-Nov	660.00	3.0
SIMMONS VENTURES	041	FL	B	5,000	21.94	n/a	18-Nov	200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	155,000	22.18	n/a	18-Nov	4,650.00	3.0
LATEFF MGMT	035	FMER	S	1,000	13.71	n/a	n/a	100.00	10.0
MACQUARIE INVESTMENT MGMT.	040	FTI	B	2,500	48.12	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	F	S	1,500	9.97	n/a	2-Nov	75.00	5.0
BESSEMER INVESTMENT	085	GE	S	3,850,000	15.29	n/a	n/a	38,500.00	1.0
PATTEN & PATTEN	025	GE	S	1,500	15.48	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	GLW	S	650	14.39	n/a	14-Nov	71.50	11.0
SENATOR INVESTMENT GROUP	036	GRA	B	90,000	38.61	n/a	n/a	2,700.00	3.0
KACELA CAPITAL	034	HIBB	B	45,000	43.92	n/a	n/a	1,800.00	4.0
PATTEN & PATTEN	025	HON	S	500	51.29	n/a	7-Nov	25.00	5.0
SURVEYOR CAPITAL	041	HTLD	SS	5,000	13.35	n/a	n/a	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	HUN	B	15,000	10.33	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IJH	S	300	84.66	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	ILF	S	500	42.09	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	IYT	S	200	84.97	n/a	n/a	10.00	5.0
CHESAPEAKE PARTNERS	028	JAKK	B	5,000	19.00	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	JCI	S	1,000	29.00	n/a	21-Nov	50.00	5.0
MFP INVESTORS	085	JNS	B	10,000	5.87	n/a	n/a	400.00	4.0
LATEFF MGMT	035	JPM	B	825	29.76	n/a	16-Nov	82.50	10.0
ROSEDALE CAPITAL	046	KEG	B	25,000	13.27	n/a	2-Nov	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	LEA	B	50,000	39.75	n/a	31-Oct	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	MIC	S	600	26.07	n/a	n/a	30.00	5.0
BASIX	033	MTW	B	47,000	10.05	n/a	26-Oct	1,410.00	3.0
OHIO PERS	047	NEM	B	21,724	64.54	n/a	n/a	651.72	3.0
PATTEN & PATTEN	025	NRTLQ	S	13	0.02	n/a	n/a	0.00	0.0
OHIO PERS	047	NSC	S	188,132	71.51	n/a	n/a	5,643.96	3.0
PATTEN & PATTEN	025	NUE	S	300	37.40	n/a	n/a	15.00	5.0
STELLIAM INV ADV	034	NWSA	B	40,000	16.06	n/a	n/a	2,000.00	5.0
LATEFF MGMT	035	NYB	B	500	11.72	n/a	19-Oct	50.00	10.0
PATTEN & PATTEN	025	PCAR	S	300	38.30	n/a	26-Oct	15.00	5.0
PATTEN & PATTEN	025	PCH	S	400	31.00	n/a	24-Oct	20.00	5.0
KACELA CAPITAL	034	PH	B	17,000	79.29	n/a	19-Oct	680.00	4.0
SURVEYOR CAPITAL	041	PH	SS	11,000	78.88	n/a	19-Oct	330.00	3.0
COOPER CREEK PART	028	PKG	SS	10,000	25.06	n/a	18-Oct	400.00	4.0
COOPER CREEK PART	028	PKG	S	10,000	25.06	n/a	18-Oct	400.00	4.0
LISTED ERR	099	PKG	B	10,000	25.06	n/a	18-Oct	0.00	0.0
STELLIAM INV ADV	034	PLD	B	25,000	26.24	n/a	n/a	1,250.00	5.0
SURVEYOR CAPITAL	041	PLL	S	17,000	51.81	n/a	n/a	510.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PVH	B	10,000	63.15	n/a	21-Oct	300.00	3.0
PATTEN & PATTEN	025	QCOM	S	300	54.38	n/a	n/a	15.00	5.0
MELLON/BANK OF NEW YORK	046	QCOR	B	83,870	41.14	n/a	n/a	3,354.80	4.0
KACELA CAPITAL	034	RCL	S	53,300	25.44	n/a	n/a	2,132.00	4.0
COOPER CREEK PART	028	RKT	S	10,000	54.72	n/a	10-Nov	400.00	4.0
PATTEN & PATTEN	025	RWX	S	500	32.03	n/a	n/a	25.00	5.0
RBC CAPITAL MARKETS	040	SBUX	B	5,604	41.62	n/a	11-Nov	224.16	4.0
RBC CAPITAL MARKETS	040	SBUX	S	5,604	41.83	n/a	11-Nov	224.16	4.0
CHESAPEAKE PARTNERS	028	SONO	B	10,000	40.50	n/a	n/a	300.00	3.0
ROARING BLUE LION MGMT	031	SSI	B	6,500	12.27	n/a	n/a	260.00	4.0
PATTEN & PATTEN	025	SWN	S	500	37.97	n/a	10-Nov	25.00	5.0
LATEFF MGMT	035	SYI	B	200	27.13	n/a	n/a	40.00	20.0
IRIDIAN ASSET MGMT.	036	TEN	S	9,300	26.09	n/a	n/a	465.00	5.0
LATEFF MGMT	035	TEVA	S	200	38.63	n/a	21-Nov	56.00	28.0
PATTEN & PATTEN	025	TEVA	S	500	39.10	n/a	21-Nov	25.00	5.0
SUFFOLK CAPITAL MGMT	040	TSN	B	218,100	19.39	n/a	n/a	8,724.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OHIO PERS	047	UNP	B	137,000	98.23	n/a	n/a	4,110.00	3.0
SURVEYOR CAPITAL	041	UNP	B	19,400	98.62	n/a	n/a	582.00	3.0
PATTEN & PATTEN	025	WY	S	1,000	16.15	n/a	28-Oct	50.00	5.0
T. ROWE PRICE	033	WY	B	220,400	15.93	n/a	28-Oct	8,816.00	4.0
TOTAL (Trade Date) :								112,691.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	------	--------	-----	--------	-------	--------------	-------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (Trade Date):									112,691.92
---------------------	--	--	--	--	--	--	--	--	------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									112,691.92
-------------------------	--	--	--	--	--	--	--	--	------------

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