



Daily Compliance Activity Report

Trade Date: 09/21/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AB	S	600	15.15	n/a	n/a	30.00	5.0
SUN AMERICA ASSET MGMT	030	ADBE	S	1,200	25.24	n/a	n/a	48.00	4.0
SUN AMERICA ASSET MGMT	030	AET	S	65,329	39.93	n/a	n/a	2,613.16	4.0
PATTEN & PATTEN	025	AFL	B	500	34.12	n/a	n/a	25.00	5.0
GEOSPHERE CAPITAL MGMT	299	AUY	B	94,600	16.73	n/a	n/a	2,838.00	3.0
ROYCE TRADING	031	AVX	B	5,000	12.00	n/a	n/a	250.00	5.0
NEWLAND CAPITAL MGT	025	CFX	S	32,500	23.74	n/a	n/a	1,300.00	4.0
BALLAST CAP	040	CHS	SS	15,000	12.95	n/a	5-Feb	450.00	3.0
BUCK CAPITAL MGMT	001	CHS	SS	20,000	12.65	n/a	5-Feb	600.00	3.0
CATAPULT CAP/DEFRANCO	099	CSX	B	15,090	19.07	n/a	n/a	603.60	4.0
LISTED ERR	099	CSX	B	910	19.07	n/a	n/a	0.00	0.0
LISTED ERR	099	CSX	S	910	18.89	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	28.12	n/a	n/a	400.00	4.0
MACQUARIE INVESTMENT MGMT.	040	DD	B	18,500	45.63	n/a	16-Sep	0.00	0.0
BARROW HANLEY MEWHINNEY	031	EMR	B	21,700	45.23	n/a	n/a	759.50	3.5
MACQUARIE INVESTMENT MGMT.	040	ETN	B	5,000	36.33	n/a	31-Aug	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TALPION LLC	040	EXPR	S	10,000	20.29	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	FCX	B	1,300	36.78	n/a	n/a	65.00	5.0
CATAPULT	040	FDX	B	4,520	73.93	n/a	n/a	180.80	4.0
BALYASNY ASSET MGMT	044	FL	B	50,000	21.17	n/a	19-Aug	2,500.00	5.0
RAIL-SPLITTER	031	HBI	SS	29,200	26.94	n/a	21-Jul	1,460.00	5.0
BARROW HANLEY MEWHINNEY	031	HPQ	S	73,400	22.28	n/a	n/a	2,569.00	3.5
NORTHWESTERN MUTUAL LIFE	047	HYG	B	72,900	86.82	n/a	n/a	1,458.00	2.0
ADAGE CAPITAL MGMT	030	JWN	SS	42,500	47.09	n/a	2-Sep	1,275.00	3.0
BARROW HANLEY MEWHINNEY	098	LLL	S	15,800	63.18	n/a	n/a	553.00	3.5
PIIONEER PATH	028	LUV	B	60,000	8.32	n/a	n/a	1,800.00	3.0
PATTEN & PATTEN	025	MRK	S	1,150	32.52	n/a	n/a	57.50	5.0
BARROW HANLEY MEWHINNEY	031	MSFT	B	60,500	26.50	n/a	n/a	2,117.50	3.5
SIMMONS VENTURES	041	M	B	5,000	26.52	n/a	2-Sep	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	NDN	B	5,000	19.93	n/a	16-Sep	0.00	0.0
SMITH MGMT LLC	029	NDN	S	16,548	19.98	n/a	16-Sep	496.44	3.0
WHITE PINE CAPITAL	030	NDN	S	5,000	19.98	n/a	16-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	15.03	n/a	20-Sep	400.00	4.0
ASCEND PARTNERS	033	PVH	B	25,000	63.82	n/a	1-Sep	1,250.00	5.0
PATTEN & PATTEN	025	SCJ	B	500	45.12	n/a	n/a	25.00	5.0
TALPION LLC	040	SIX	S	8,100	31.06	n/a	n/a	324.00	4.0
MACQUARIE INVESTMENT MGMT.	040	SPN	S	3,000	33.26	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	S	B	10,000	3.25	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	TEVA	B	200	37.04	n/a	19-Sep	10.00	5.0
PATTEN & PATTEN	025	TEVA	S	500	37.21	n/a	19-Sep	25.00	5.0
PATTEN & PATTEN	025	TXN	S	500	27.45	n/a	n/a	25.00	5.0
MTB INV ADV	034	TZOO	S	28,538	28.35	n/a	n/a	1,426.90	5.0
MACQUARIE INVESTMENT MGMT.	040	UPL	B	5,000	33.97	n/a	14-Sep	0.00	0.0
BMO NESBITT BURNS	041	USG	B	65,000	8.07	n/a	22-Jul	3,250.00	5.0
STANDARD PACIFIC CAPITAL	040	VIV	S	80,000	28.52	n/a	n/a	4,000.00	5.0
DAVIDSON INV ADV	035	WAG	S	90,416	37.13	n/a	n/a	3,616.64	4.0
CHARTER OAK	033	XHB	B	100,000	14.35	n/a	n/a	3,000.00	3.0
GEORGE WEISS	034	YUM	S	14,000	53.53	n/a	10-Aug	560.00	4.0

TOTAL (Trade Date):

43,712.04

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/20	COOPER CREEK PART (COOPJPM)	028	BZ	S	50,000	6.72	n/a	n/a	2000.00 4.0
AO,CRT	09/20	COOPER CREEK PART (COOPJPM)	028	BZ	S	50,000	6.72	n/a	n/a	1500.00 3.0
AO,CXL	09/20	ROSEDALE CAPITAL (ROSEJPM)	046	F	S	50,000	10.53	n/a	2-Sep	2500.00 5.0
AO,CRT	09/20	ROSEDALE CAPITAL (ROSEJPM)	046	F	S	50,000	10.53	n/a	2-Sep	2000.00 4.0
AO,CXL	09/20	MTB INV ADV (MTBIMAIN O)	034	RLOC	S	1,675	12.82	n/a	n/a	83.75 5.0
AO,CRT	09/20	MTB INV ADV (MTBIMAIN O)	034	RLOC	S	1,675	12.82	n/a	n/a	67.00 4.0
AO,CXL	09/20	MTB INV ADV (MTBISMCAP)	034	RLOC	S	61,000	12.82	n/a	n/a	3050.00 5.0
AO,CRT	09/20	MTB INV ADV (MTBISMCAP)	034	RLOC	S	61,000	12.82	n/a	n/a	2440.00 4.0
AO,CXL	09/20	RBC CAPITAL MARKETS (RBCCMAIN)	040	TIN	B	34,396	31.29	n/a	13-Sep	1375.84 4.0
AO,CRT	09/20	RBC CAPITAL MARKETS (RBCCMAIN)	040	TIN	B	34,396	31.29	n/a	13-Sep	1031.88 3.0
AO,CXL	09/20	MTB INV ADV (MTBIMAIN O)	034	TZOO	S	200	29.93	n/a	n/a	10.00 5.0
AO,CRT	09/20	MTB INV ADV (MTBIMAIN O)	034	TZOO	S	200	29.93	n/a	n/a	10.00 5.0
AO,CXL	09/20	MTB INV ADV (MTBISMCAP)	034	TZOO	S	6,800	29.93	n/a	n/a	340.00 5.0
AO,CRT	09/20	MTB INV ADV (MTBISMCAP)	034	TZOO	S	6,800	29.93	n/a	n/a	340.00 5.0
TOTAL (AO, CXL, CRT) :										-1,970.71

TOTAL (Trade Date):	43,712.04
TOTAL (AO, CXL, CRT):	-1,970.71

TOTAL (RUN DATE) / NFS:

41,741.33

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