



Daily Compliance Activity Report

Trade Date: 12/30/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	B	300	16.10	n/a	n/a	15.00	5.0
SCOPUS FUND	041	ALV	SS	5,000	44.28	n/a	14-Dec	250.00	5.0
CADIAN CAPITAL	067	ANF	S	50,000	35.29	n/a	4-Dec	2,000.00	4.0
PATTEN & PATTEN	067	APC	B	140	63.11	n/a	29-Dec	7.00	5.0
PATTEN & PATTEN	067	BAC	B	800	15.01	n/a	15-Dec	40.00	5.0
EXIS CAPITAL	044	BBT	B	20,000	25.39	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	BP	B	100	58.02	n/a	n/a	5.00	5.0
PORTER-ORLIN-FELDMAN	044	BSX	S	200,000	8.76	n/a	n/a	10,000.00	5.0
SCOPUS FUND	041	BUCY	B	12,500	56.81	n/a	22-Dec	625.00	5.0
GREEN ARROW DOUG	040	CBI	B	5,000	20.39	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	COCO	B	10,200	13.69	n/a	n/a	510.00	5.0
PATTEN & PATTEN	067	DOW	B	35	28.24	n/a	18-Nov	1.75	5.0
PATTEN & PATTEN	067	DVY	B	575	44.46	n/a	n/a	28.75	5.0
EIDELMAN, FINGER & CO	045	EFSC	B	1,000	7.40	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWC	B	50	26.20	n/a	n/a	2.50	5.0
MTB INV ADV	034	FOSL	B	9,450	33.82	n/a	n/a	472.50	5.0
PATTEN & PATTEN	067	F	B	750	9.93	n/a	2-Dec	37.50	5.0
PATTEN & PATTEN	067	GE	B	150	15.27	n/a	n/a	7.50	5.0
DAVIDSON KEMPNER ADVISOR	040	GME	S	20,000	22.14	n/a	n/a	1,000.00	5.0
CHARTER OAK	033	GPS	SS	50,000	21.19	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	IEF	B	175	88.93	n/a	n/a	8.75	5.0
PATTEN & PATTEN	067	ILF	S	130	47.51	n/a	n/a	6.50	5.0
PATTEN & PATTEN	067	INTC	S	700	20.44	n/a	n/a	35.00	5.0
ROSEDALE CAPITAL	046	INTC	S	20,000	20.57	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	38.22	n/a	23-Dec	800.00	4.0
GREEN ARROW DOUG	040	KAR	S	10,000	13.77	n/a	n/a	500.00	5.0
GRISANTI BROWN & PARTNER	048	KEY	B	15,920	5.65	n/a	n/a	636.80	4.0
ROTHSCHILD ASSET	040	MCD	S	11,920	63.14	n/a	8-Dec	536.40	4.5
MAIRS AND POWER INV	030	MMM	S	10,000	84.14	n/a	11-Dec	500.00	5.0
MTB INV ADV	034	NFLX	B	5,300	56.10	n/a	n/a	265.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	ORLY	S	65	38.51	n/a	n/a	3.25	5.0
SONTERRA CAP	041	OSIS	B	50,000	27.77	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	OSK	B	150	37.82	n/a	n/a	7.50	5.0
AMBER CAPITAL	046	PAM	S	20,000	11.69	n/a	n/a	800.00	4.0
CHARTER OAK	033	PETM	SS	40,000	27.10	n/a	n/a	1,600.00	4.0
PATTEN & PATTEN	067	PIO	B	500	18.32	n/a	n/a	25.00	5.0
EGS ASSOCIATES LP	091	PLCE	SS	4,000	32.83	n/a	11-Dec	240.00	6.0
AMBER CAPITAL	046	PNC	B	15,000	53.21	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	PSS	S	20,000	23.19	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	RIMM	B	175	67.18	n/a	n/a	8.75	5.0
MILLRACE FUND LP	028	SBUX	SS	2,000	23.41	n/a	6-Nov	80.00	4.0
PATTEN & PATTEN	067	TEVA	B	165	55.36	n/a	28-Dec	8.25	5.0
OHIO PERS	047	THO	B	32,749	31.42	n/a	n/a	982.47	3.0
MTB INV ADV	034	TUP	B	16,900	47.56	n/a	n/a	845.00	5.0
PATTEN & PATTEN	067	VXX	S	1,500	32.93	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	V	B	35	87.99	n/a	11-Dec	1.75	5.0
MILLRACE FUND LP	028	WFMI	SS	5,000	28.21	n/a	n/a	200.00	4.0
SCOPUS FUND	041	WY	B	4,400	43.64	n/a	15-Dec	220.00	5.0
TOTAL (Trade Date):							31,087.92		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/22	NEWLAND CAPITAL MGT (NEWLGS)	067	HW	S	15,000	6.09	n/a	n/a	600.00	4.0
AO,CRT	12/22	NEWLAND CAPITAL MGT (NEWLGS)	067	HW	S	15,000	6.09	n/a	n/a	450.00	3.0
AO,	12/29	STRONG/MARK GRONET (SCMG234463)	030	ITPOF	B	210	2.55	n/a	n/a	4.20	2.0
AO,	12/29	STRONG/MARK GRONET (SCMG829101)	030	ITPOF	B	455	2.55	n/a	n/a	9.10	2.0
AO,	12/29	STRONG/MARK GRONET (SCMG9969)	030	ITPOF	B	4,000	2.55	n/a	n/a	80.00	2.0
AO,	12/29	STRONG/MARK GRONET (SCMGST1758)	030	ITPOF	B	20	2.55	n/a	n/a	0.40	2.0
AO,	12/29	STRONG/MARK GRONET (SCMGST9919)	030	ITPOF	B	660	2.55	n/a	n/a	13.20	2.0
AO,	12/29	STRONG/MARK GRONET (SCMGST9966)	030	ITPOF	B	55	2.55	n/a	n/a	1.10	2.0
AO,	12/29	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	SPY	SS	3,330	112.78	n/a	n/a	166.50	5.0
AO,	12/29	BUCK CAPITAL MGMT (BUCKJPMBS)	001	TLB	B	17,600	8.33	n/a	n/a	528.00	3.0
AO,CXL	12/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	B	20,000	8.33	n/a	n/a	600.00	3.0
AO,	12/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	B	2,400	8.33	n/a	n/a	72.00	3.0
AO,	12/29	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	UNH	B	16,200	30.89	n/a	n/a	810.00	5.0
TOTAL (AO, CXL, CRT) :										934.50	
TOTAL (Trade Date) :										31,087.92	
TOTAL (AO, CXL, CRT) :										934.50	
TOTAL (RUN DATE) / NFS :										32,022.42	



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