



Daily Compliance Activity Report

Trade Date: 04/09/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	S	150,000	16.89	n/a	2-Dec	4,500.00	3.0
PZENA INV ADV	044	APOL	S	30,125	36.04	n/a	n/a	1,054.38	3.5
PATTEN & PATTEN	025	BAC	B	15,000	9.00	n/a	4-Apr	750.00	5.0
MERRILL ASSET/BLACKROCK	297	BAM	S	21,200	31.00	n/a	n/a	848.00	4.0
ROYCE TRADING	031	BBBY	S	15,720	71.68	n/a	n/a	786.00	5.0
IRIDIAN ASSET MGMT.	036	BHI	S	9,570	40.50	n/a	n/a	478.50	5.0
NWQ INVESTMENT MGMT CO	084	BHI	B	3,800	40.67	n/a	n/a	146.00	3.5
PATTEN & PATTEN	025	BP	S	450	42.78	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	BTO	S	5,750	16.80	n/a	n/a	287.50	5.0
NWQ INVESTMENT MGMT CO	084	CA	S	10,600	26.80	n/a	n/a	318.00	3.0
CAPITAL RESEARCH GROUP	296	CCL	B	200,000	31.05		n/a	n/a	7,000.00 3.5
SCOUT/UMB	047	CRR	S	13,821	99.48	n/a	1-Mar	414.63	3.0
PATTEN & PATTEN	025	CVX	S	20	103.45	n/a	n/a	1.00	5.0
PATTEN & PATTEN	025	DD	S	100	51.88	n/a	23-Mar	5.00	5.0
NWQ INVESTMENT MGMT CO	084	DEL	B	18,055	59.99	n/a	n/a	722.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	DKS	B	5,600	48.65	n/a	9-Apr	280.00	5.0
PATTEN & PATTEN	025	DOW	B	250	32.76	n/a	21-Mar	12.50	5.0
CATAPULT	040	EAT	B	13,300	27.17	n/a	9-Apr	532.00	4.0
JP MORGAN VENTURES	046	EAT	B	8,000	27.05	n/a	9-Apr	320.00	4.0
PATTEN & PATTEN	025	ESRX	B	1,450	56.10	n/a	n/a	72.50	5.0
PATTEN & PATTEN	025	EWG	S	56,950	21.86	n/a	n/a	2,847.50	5.0
PATTEN & PATTEN	025	EWZ	S	1,000	62.51	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	FDX	S	200	88.78	n/a	n/a	10.00	5.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	12,316	14.97	n/a	23-Feb	615.80	5.0
NWQ INVESTMENT MGMT CO	084	GM	S	5,000	24.14	n/a	4-Apr	150.00	3.0
RAINIER INV MGMT	035	GPI	B	26,000	56.98	n/a	3-Apr	1,040.00	4.0
BRONSON POINT	036	GPN	B	25,000	44.87	n/a	n/a	750.00	3.0
HARVEST MGMT (JMP)	029	HD	B	30,000	50.65	n/a	21-Feb	1,200.00	4.0
NWQ INVESTMENT MGMT CO	084	HIG	S	6,500	20.39	n/a	n/a	195.00	3.0
CRAMER ROSENTHAL	070	HOT	S	208,300	54.22	n/a	13-Jun	8,332.00	4.0
PATTEN & PATTEN	025	HYG	B	2,000	89.40	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	INTC	B	6,350	27.75	n/a	n/a	317.50	5.0
COLUMBUS CIRCLE	036	IPGP	S	1,100	48.94	n/a	n/a	44.00	4.0
PATTEN & PATTEN	025	ISRG	S	50	538.78	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	IYR	B	400	60.88	n/a	n/a	20.00	5.0
MFP INVESTORS	085	JNS	B	44,118	8.26	n/a	n/a	1,764.72	4.0
SIMMONS VENTURES	041	JNY	B	5,000	12.00	n/a	9-Feb	200.00	4.0
NWQ INVESTMENT MGMT CO	084	JPM	S	10,500	44.12	n/a	4-Apr	315.00	3.0
PARKWEST	084	KTOS	S	14,580	5.50	n/a	n/a	437.40	3.0
SANDLER O'NEILL ASSET	031	LAZ	SS	13,492	27.01	n/a	4-Apr	674.60	5.0
PATTEN & PATTEN	025	LQD	B	1,500	115.64	n/a	n/a	75.00	5.0
MOORE CAPITAL	041	MCD	C	10,500	99.05	n/a	8-Mar	315.00	3.0
AMBER CAPITAL	046	MET	B	100,000	35.75	n/a	n/a	4,000.00	4.0
NWQ INVESTMENT MGMT CO	084	MET	B	25,000	35.81	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	025	MRK	S	50	38.67	n/a	n/a	2.50	5.0
BALYASNY ASSET MGMT	044	MW	S	10,000	38.30	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	M	S	20,000	39.86	n/a	9-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	M	B	10,000	40.03	n/a	9-Apr	400.00	4.0
SIMMONS VENTURES	041	M	B	5,000	39.80	n/a	9-Apr	200.00	4.0
PATTEN & PATTEN	025	NIO	B	14,500	14.70	n/a	n/a	725.00	5.0
PATTEN & PATTEN	025	PAY	B	1,975	52.68	n/a	n/a	98.75	5.0
NWQ INVESTMENT MGMT CO	084	PFE	S	32,900	22.14	n/a	n/a	987.00	3.0
PATTEN & PATTEN	025	PFF	B	4,000	38.70	n/a	n/a	200.00	5.0
DONALD SMITH	088	RSH	B	267,000	6.00	n/a	n/a	5,340.00	2.0
KACELA CAPITAL	034	RYL	B	50,000	18.28	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	025	SLB	B	1,000	67.68	n/a	n/a	50.00	5.0
SOROS	036	SLE	B	20,000	21.17	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	084	SNY	S	19,900	37.09	n/a	n/a	597.00	3.0
Õ Nilsa Vazquez		TBT	B	500	19.1680	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	TRN	B	7,250	32.25	n/a	n/a	362.50	5.0
PATTEN & PATTEN	025	TSCO	S	25	92.30	n/a	n/a	1.25	5.0
IRIDIAN ASSET MGMT.	036	TYC	B	65,160	54.06	n/a	28-Mar	3,258.00	5.0
RAINIER INV MGMT	035	VRSK	B	23,670	46.75	n/a	n/a	946.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	V	S	30	119.43	n/a	2-Apr	1.50	5.0
NWQ INVESTMENT MGMT CO	084	WFC	S	7,400	33.62	n/a	4-Apr	222.00	3.0
PATTEN & PATTEN	025	WFC	B	250	33.30	n/a	4-Apr	12.50	5.0
HARVEST MGMT (JMP)	029	WMT	SS	20,000	60.21	n/a	22-Feb	800.00	4.0
DONALD SMITH	088	WPX	B	30,000	16.71	n/a	n/a	900.00	3.0
THOMAS WEISEL ASSET MGMT	035	WRC	B	5,304	56.53	n/a	23-Mar	159.12	3.0
PATTEN & PATTEN	025	XOP	S	350	54.24	n/a	n/a	17.50	5.0
MOORE CAPITAL	041	YUM	S	14,250	70.07	n/a	8-Feb	427.50	3.0
ROTHSCHILD ASSET	040	ZOLL	S	22,750	92.87	n/a	n/a	910.00	4.0
THOMAS WEISEL ASSET MGMT	035	ZUMZ	B	8,391	35.33	n/a	n/a	251.73	3.0
TOTAL (Trade Date):							64,177.38		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									64,177.38
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									64,177.38
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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