



## Daily Compliance Activity Report

Trade Date: 12/30/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AAPL	S	300	403.51	n/a	n/a	15.00	5.0
LATEFF MGMT	035	AA	B	400	8.61	n/a	n/a	40.00	10.0
PATTEN & PATTEN	025	AA	B	1,000	8.60	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	AGG	B	500	110.36	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	AML	B	2,350	16.61	n/a	n/a	117.50	5.0
PATTEN & PATTEN	025	APA	B	200	90.74	n/a	22-Dec	10.00	5.0
PATTEN & PATTEN	025	APD	S	800	85.12	n/a	21-Oct	40.00	5.0
OHIO PERS	047	BA	S	31,700	73.59	n/a	29-Nov	951.00	3.0
PATTEN & PATTEN	025	BBY	S	800	23.10	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	BDX	S	385	74.87	n/a	n/a	19.25	5.0
PATTEN & PATTEN	025	BHK	B	1,000	13.65	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	BTO	B	500	13.72	n/a	n/a	25.00	5.0
WEINTRAUB CAPITAL MGT.	040	BWLD	SS	7,500	68.04	n/a	n/a	300.00	4.0
PATTEN & PATTEN	025	CAT	S	800	90.72	n/a	21-Dec	40.00	5.0
PATTEN & PATTEN	025	CBT	B	200	32.24	n/a	12-Dec	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CNQ	S	800	36.62	n/a	n/a	40.00	5.0
Õ James Mitchell		COF	B	200	42.5142	n/a	29-Dec	0.00	0.0
PATTEN & PATTEN	025	DBA	B	500	28.84	n/a	n/a	25.00	5.0
LATEFF MGMT	035	DD	B	100	45.88	n/a	27-Dec	30.00	30.0
PATTEN & PATTEN	025	DKS	B	300	36.96	n/a	16-Nov	15.00	5.0
PATTEN & PATTEN	025	DOW	S	600	28.75	n/a	14-Dec	30.00	5.0
PATTEN & PATTEN	025	EWY	B	100	52.40	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	EXC	B	100	43.47	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	FCX	B	100	36.88	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	FHN	B	4,450	7.93	n/a	n/a	222.50	5.0
PATTEN & PATTEN	025	GE	B	400	17.93	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	GE	S	400	17.97	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	GLD	S	50	152.32	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	GOV	B	100	22.70	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	INTC	B	800	24.33	n/a	n/a	40.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	30,000	29.55	n/a	27-Oct	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	JCI	B	1,900	31.05	n/a	21-Nov	95.00	5.0
WEINTRAUB CAPITAL MGT.	040	KIRK	S	40,000	13.34	n/a	n/a	1,600.00	4.0
PATTEN & PATTEN	025	KMB	S	1,000	73.50	n/a	25-Oct	50.00	5.0
PATTEN & PATTEN	025	LLY	B	500	41.68	n/a	n/a	25.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	65,000	8.21	n/a	7-Nov	3,250.00	5.0
BROOKSIDE CAPITAL PART	029	LYB	S	60,000	32.57	n/a	n/a	2,400.00	4.0
PATTEN & PATTEN	025	MCD	S	1,200	100.35	n/a	8-Dec	60.00	5.0
MERRILL ASSET/BLACKROCK	297	MFRM	S	24,703	22.95	n/a	n/a	988.12	4.0
PATTEN & PATTEN	025	NSC	S	1,200	72.85	n/a	n/a	60.00	5.0
LATEFF MGMT	035	NYB	B	125	12.39	n/a	7-Dec	31.25	25.0
MERRILL ASSET/BLACKROCK	297	OFC	B	28,000	21.52	n/a	n/a	1,120.00	4.0
ARMATURE CAPITAL	041	OI	B	80,000	19.27	n/a	n/a	3,200.00	4.0
LATEFF MGMT	035	OI	S	150	19.26	n/a	n/a	30.00	20.0
PATTEN & PATTEN	025	OXY	S	600	93.32	n/a	n/a	30.00	5.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	10,000	31.21	n/a	6-Dec	500.00	5.0
PATTEN & PATTEN	025	PHO	S	600	16.76	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	S	15,000	25.22	n/a	18-Oct	750.00	5.0
LATEFF MGMT	035	PKG	B	150	25.24	n/a	18-Oct	30.00	20.0
WEINTRAUB CAPITAL MGT.	040	PFC	S	50,000	5.81	n/a	n/a	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	PXD	S	25,000	89.30	n/a	22-Dec	1,000.00	4.0
PATTEN & PATTEN	025	QCOM	B	250	54.83	n/a	n/a	12.50	5.0
Õ James Mitchell		RF	S	2000	4.3234	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	25,000	57.73	n/a	10-Nov	1,250.00	5.0
MERRILL ASSET/BLACKROCK	297	RLI	S	1,798	73.92	n/a	n/a	71.92	4.0
SONTERRA CAP	041	RTI	SS	15,000	23.25	n/a	n/a	600.00	4.0
PATTEN & PATTEN	025	SNE	S	50	18.00	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	STI	B	200	17.71	n/a	n/a	10.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	20,000	31.75	n/a	19-Oct	1,000.00	5.0
PATTEN & PATTEN	025	TSCO	B	400	70.46	n/a	n/a	20.00	5.0
OHIO PERS	047	TXT	B	126,690	18.48	n/a	n/a	3,800.70	3.0
PATTEN & PATTEN	025	UTX	S	1,000	73.86	n/a	n/a	50.00	5.0
WEINTRAUB CAPITAL MGT.	040	VC	B	10,000	49.85	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	V	S	700	103.20	n/a	20-Dec	35.00	5.0
LATEFF MGMT	035	WRIPRF	B	150	25.23	n/a	n/a	30.00	20.0
<b>TOTAL (Trade Date):</b>							<b>28,229.74</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/29	PATTEN & PATTEN (PATTPERSHI)	025	AGU	B	100	66.70	n/a	n/a	5.00	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	AGU	B	245	66.70	n/a	n/a	12.25	5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	AGU	B	145	66.70	n/a	n/a	7.25	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	AGU	S	100	66.65	n/a	n/a	5.00	5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	AGU	S	100	66.65	n/a	n/a	5.00	5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTPERSHI)	025	BTO	B	250	13.60	n/a	n/a	12.50	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	BTO	B	250	13.60	n/a	n/a	12.50	5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTPERSHI)	025	FCX	S	100	36.25	n/a	n/a	5.00	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	FCX	S	100	36.25	n/a	n/a	5.00	5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTPERSHI)	025	JCI	S	200	30.78	n/a	21-Nov	10.00	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	JCI	S	200	30.78	n/a	21-Nov	10.00	5.0
AO,CXL	12/29	SCOPUS FUND (SCOPGS)	041	LYV	S	43,500	8.37	n/a	n/a	1740.00	4.0
AO,CRT	12/29	SCOPUS FUND (SCOPUBS)	041	LYV	S	43,500	8.37	n/a	n/a	1740.00	4.0
AO,CRT	12/29	PATTEN & PATTEN (PATTMERR)	025	QCOM	B	300	54.58	n/a	n/a	15.00	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	QCOM	B	300	54.58	n/a	n/a	15.00	5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTMERR)	025	XLY	B	250	39.10	n/a	n/a	12.50	5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	XLY	B	250	39.10	n/a	n/a	12.50	5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :

28,229.74

TOTAL (AO, CXL, CRT):

0.00

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**TOTAL (RUN DATE) / NFS:**

**28,229.74**

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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