

Daily Compliance Activity Report Trade Date: 12/30/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PATTEN & PATTEN	067	AA	В	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	В	140	63.11	n/a	29-Dec	7.00	5.0
PATTEN & PATTEN	067	BAC	В	800	15.01	n/a	15-Dec	40.00	5.0
EXIS CAPITAL	044	BBT	В	20,000	25.39	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	BP	В	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	В	12,500	56.81	n/a	22-Dec	625.00	5.0
GREEN ARROW DOUG	040	CBI	В	5,000	20.39	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	COCO	В	10,200	13.69	n/a	n/a	510.00	5.0
PATTEN & PATTEN	067	DOW	В	35	28.24	n/a	18-Nov	1.75	5.0
PATTEN & PATTEN	067	DVY	В	575	44.46	n/a	n/a	28.75	5.0
EIDELMAN, FINGER & CO	045	EFSC	В	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	В	50	26.20	n/a	n/a	2.50	5.0
MTB INV ADV	034	FOSL	В	9,450	33.82	n/a	n/a	472.50	5.0
PATTEN & PATTEN	067	F	В	750	9.93	n/a	2-Dec	37.50	5.0
PATTEN & PATTEN	067	GE	В	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	В	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	В	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	В	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	В	5,300	56.10	n/a	n/a	265.00	5.0
	PATTEN & PATTEN MTB INV ADV PATTEN & PATTEN PATTEN & PATTEN DAVIDSON KEMPNER ADVISOR CHARTER OAK PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN ROSEDALE CAPITAL BUCK CAPITAL MGMT GREEN ARROW DOUG GRISANTI BROWN & PARTNER ROTHSCHILD ASSET MAIRS AND POWER INV	PATTEN & PATTEN 067 MTB INV ADV 034 PATTEN & PATTEN 067 PATTEN & PATTEN 067 DAVIDSON KEMPNER ADVISOR 040 CHARTER OAK 033 PATTEN & PATTEN 067 PATTEN & PATTEN 067 ROSEDALE CAPITAL 046 BUCK CAPITAL MGMT 001 GREEN ARROW DOUG 040 GRISANTI BROWN & PARTNER 048 ROTHSCHILD ASSET 040 MAIRS AND POWER INV 030	PATTEN & PATTEN 067 EWC MTB INV ADV 034 FOSL PATTEN & PATTEN 067 F PATTEN & PATTEN 067 GE DAVIDSON KEMPNER ADVISOR 040 GME CHARTER OAK 033 GPS PATTEN & PATTEN 067 IEF PATTEN & PATTEN 067 INTC ROSEDALE CAPITAL 046 INTC BUCK CAPITAL MGMT 001 JWN GREEN ARROW DOUG 040 KAR GRISANTI BROWN & PARTNER 048 KEY ROTHSCHILD ASSET 040 MCD MAIRS AND POWER INV 030 MMM	PATTEN & PATTEN MTB INV ADV 034 FOSL B PATTEN & PATTEN 067 F B PATTEN & PATTEN 067 GE B DAVIDSON KEMPNER ADVISOR 040 GME S CHARTER OAK 033 GPS SS PATTEN & PATTEN 067 IEF B PATTEN & PATTEN 067 IIF S PATTEN & PATTEN 067 INTC S PATTEN & PATTEN 067 INTC S ROSEDALE CAPITAL 046 INTC S BUCK CAPITAL MGMT 001 JWN B GREEN ARROW DOUG 040 KAR S GRISANTI BROWN & PARTNER 048 KEY B ROTHSCHILD ASSET 040 MCD S MAIRS AND POWER INV 030 MMM S	PATTEN & PATTEN 067 EWC B 50 MTB INV ADV 034 FOSL B 9,450 PATTEN & PATTEN 067 F B 750 PATTEN & PATTEN 067 GE B 150 DAVIDSON KEMPNER ADVISOR 040 GME S 20,000 CHARTER OAK 033 GPS SS 50,000 PATTEN & PATTEN 067 IEF B 175 PATTEN & PATTEN 067 INTC S 700 ROSEDALE CAPITAL 046 INTC S 20,000 BUCK CAPITAL MGMT 001 JWN B 20,000 GRISANTI BROWN & PARTNER 048 KEY B 15,920 ROTHSCHILD ASSET 040 MCD S 11,920 MAIRS AND POWER INV 030 MMM S 10,000	PATTEN & PATTEN 067 EWC B 50 26.20 MTB INV ADV 034 FOSL B 9,450 33.82 PATTEN & PATTEN 067 F B 750 9.93 PATTEN & PATTEN 067 GE B 150 15.27 DAVIDSON KEMPNER ADVISOR 040 GME S 20,000 22.14 CHARTER OAK 033 GPS SS 50,000 21.19 PATTEN & PATTEN 067 IEF B 175 88.93 PATTEN & PATTEN 067 IIF S 130 47.51 PATTEN & PATTEN 067 INTC S 700 20.44 ROSEDALE CAPITAL MGMT 001 JWN B 20,000 38.22 GREEN ARROW DOUG 040 KAR S 10,000 13.77 GRISANTI BROWN & PARTNER 048 KEY B 15,920 5.65 ROTHSCHILD ASSET 040 MCD S 11,920 63.14 MAIRS AND POWER INV 030 MMM S 10,000 84.14	PATTEN & PATTEN 067 EWC B 50 26.20 n/a MTB INV ADV 034 FOSL B 9,450 33.82 n/a PATTEN & PATTEN 067 F B 750 9.93 n/a PATTEN & PATTEN 067 GE B 150 15.27 n/a DAVIDSON KEMPNER ADVISOR 040 GME S 20,000 22.14 n/a CHARTER OAK 033 GPS SS 50,000 21.19 n/a PATTEN & PATTEN 067 IEF B 175 88.93 n/a PATTEN & PATTEN 067 ILF S 130 47.51 n/a PATTEN & PATTEN 067 INTC S 700 20.44 n/a ROSEDALE CAPITAL MGMT 01 JWN B 20,000 20.57 n/a BUCK CAPITAL MGMT 01 JWN B 20,000 13.77 n/a GRISANTI BROWN & PARTNER 048 KEY B 15,920 5.65 n/a ROTHSCHILD ASSET 040 MCD S 11,920 63.14 n/a MAIRS AND POWER INV 030 MMM S 10,000 84.14 n/a	PATTEN & PATTEN 067 EWC B 50 26.20 n/a n/a MTB INV ADV 034 FOSL B 9,450 33.82 n/a n/a PATTEN & PATTEN 067 F B 750 9.93 n/a 2-Dec PATTEN & PATTEN 067 GE B 150 15.27 n/a n/a DAVIDSON KEMPNER ADVISOR 040 GME S 20,000 22.14 n/a n/a CHARTER OAK 033 GPS SS 50,000 21.19 n/a n/a PATTEN & PATTEN 067 IEF B 175 88.93 n/a n/a PATTEN & PATTEN 067 IIF S 130 47.51 n/a n/a PATTEN & PATTEN 067 INTC S 700 20.44 n/a n/a ROSEDALE CAPITAL 046 INTC S 20,000 20.57 n/a n/a BUCK CAPITAL MGMT 001 JWN B 20,000 38.22 n/a 23-Dec GREEN ARROW DOUG 040 KAR S 10,000 13.77 n/a n/a ROTHSCHILD ASSET 040 MCD S 11,920 63.14 n/a 8-Dec MAIRS AND FOWER INV 030 MMM S 10,000 84.14 n/a 1/a 11-Dec	PATTEN & PATTEN 067 EWC B 50 26.20 n/a n/a 2.50 MTB INV ADV 034 FOSL B 9,450 33.82 n/a n/a 472.50 PATTEN & PATTEN 067 F B 750 9.93 n/a 2-Dec 37.50 PATTEN & PATTEN 067 CE B 150 15.27 n/a n/a 1,000.00 CHARTER OAK 033 GPS SS 50,000 21.19 n/a n/a 2,000.00 PATTEN & PATTEN 067 IEF B 175 88.93 n/a n/a 2,000.00 PATTEN & PATTEN 067 ILF S 130 47.51 n/a n/a 8.75 PATTEN & PATTEN 067 INIC S 700 20.44 n/a n/a 35.00 ROSEDALE CAPITAL MOMT 001 JWN B 20,000 38.22 n/a 23-Dec 800.00 GREEN ARROW DOUG 040 KAR S 10,000 13.77 n/a n/a 500.00 GRISANTI BROWN & PARTINER 048 KEY B 15,920 5.65 n/a n/a 6.36.80 ROTHSCHILD ASSET 040 MCD S 11,920 63.14 n/a 8-Dec 536.40 MAIRS AND POWER INV 030 MMM S 10,000 84.14 n/a 11-Dec 500.00

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	В	50,000	27.77	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	OSK	В	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	В	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	В	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	В	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	В	165	55.36	n/a	28-Dec	8.25	5.0
OHIO PERS	047	THO	В	32,749	31.42	n/a	n/a	982.47	3.0
MTB INV ADV	034	TUP	В	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	В	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	В	4,400	43.64	n/a	15-Dec	220.00 5.0

TOTAL (Trade Date): 31,087.92

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	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	В	210	2.55	n/a	n/a	4.20	2.0
AO,	12/29	STRONG/MARK GRONET (SCMG829101)	030	ITPOF	В	455	2.55	n/a	n/a	9.10	2.0
AO,	12/29	STRONG/MARK GRONET (SCMG9969)	030	ITPOF	В	4,000	2.55	n/a	n/a	80.00	2.0
AO,	12/29	STRONG/MARK GRONET (SCMGST1758)	030	ITPOF	В	20	2.55	n/a	n/a	0.40	2.0
AO,	12/29	STRONG/MARK GRONET (SCMGST9919)	030	ITPOF	В	660	2.55	n/a	n/a	13.20	2.0
AO,	12/29	STRONG/MARK GRONET (SCMGST9966)	030	ITPOF	В	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	В	17,600	8.33	n/a	n/a	528.00	3.0
AO, CXL	12/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	В	20,000	8.33	n/a	n/a	600.00	3.0
AO,	12/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	В	2,400	8.33	n/a	n/a	72.00	3.0
AO,	12/29	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	UNH	В	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