



## Daily Compliance Activity Report

Trade Date: 06/16/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AGG	B	350	107.48	n/a	n/a	17.50	5.0
SUN AMERICA ASSET MGMT	030	AKAM	S	2,400	29.09	n/a	n/a	96.00	4.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	S	5,000	20.81	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	ARUN	B	1,000	24.09	n/a	n/a	40.00	4.0
CATAPULT	040	ASH	S	5,000	60.01	n/a	1-Jun	200.00	4.0
PATTEN & PATTEN	025	BAB	B	225	26.68	n/a	n/a	11.25	5.0
PAW PARTNERS	025	BCSI	S	6,102	22.00	n/a	n/a	305.10	5.0
SUN AMERICA ASSET MGMT	030	BIDU	B	300	121.12	n/a	n/a	12.00	4.0
MERRILL ASSET/BLACKROCK	297	BMR	S	3,500	19.08	n/a	n/a	140.00	4.0
ROSEDALE CAPITAL	046	CHK	B	10,000	28.77	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	CNX	B	20,000	46.60	n/a	n/a	800.00	4.0
SANDLER O'NEILL ASSET	031	COF	SS	20,000	49.09	n/a	16-Jun	1,000.00	5.0
LAGRANGE CAP ADV	085	CROX	SS	20,000	23.65	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	CWB	S	350	40.27	n/a	n/a	17.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	C	S	30	37.47	n/a	16-Jun	1.50	5.0
TALPION LLC	040	C	S	24,500	37.70	n/a	16-Jun	980.00	4.0
PATTEN & PATTEN	025	DBA	S	475	32.16	n/a	n/a	23.75	5.0
AVESTA CAP	229	DIS	S	100,000	37.87	n/a	n/a	3,000.00	3.0
RBC CAPITAL MARKETS	040	DOW	S	25,000	34.91	n/a	6-May	1,000.00	4.0
PATTEN & PATTEN	025	DVY	S	350	51.74	n/a	n/a	17.50	5.0
PATTEN & PATTEN	025	EEM	S	1,500	45.76	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	EFA	S	750	58.05	n/a	n/a	37.50	5.0
PATTEN & PATTEN	025	EFG	B	250	60.59	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	EWC	B	2,000	30.27	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	EWG	S	3,175	25.84	n/a	n/a	158.75	5.0
PATTEN & PATTEN	025	EWL	B	2,000	26.49	n/a	n/a	100.00	5.0
BASCOM HILL PARTNERS LLC	033	FAST	SS	2,500	32.55	n/a	n/a	75.00	3.0
PATTEN & PATTEN	025	FEU	S	200	34.94	n/a	n/a	10.00	5.0
ROYCE TRADING	012	FINL	B	7,000	22.33	n/a	10-May	350.00	5.0
TALPION LLC	040	FL	C	14,900	22.70	n/a	2-Jun	596.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	FN	S	66,879	19.22	n/a	n/a	2,675.16	4.0
PATTEN & PATTEN	025	F	S	200	12.80	n/a	2-Jun	10.00	5.0
BALLAST CAP	040	GG	S	11,000	45.88	n/a	n/a	550.00	5.0
BALYASNY ASSET MGMT	044	GPS	C	20,000	17.68	n/a	n/a	1,000.00	5.0
CR INTRINIC INVESTMENT	044	GPS	B	40,000	17.60	n/a	n/a	1,400.00	3.5
SIGMA CAPITAL ASSOCIATES	041	GPS	SS	25,000	17.57	n/a	n/a	875.00	3.5
CHESAPEAKE PARTNERS	028	GRM	S	1,600	26.00	n/a	n/a	48.00	3.0
PATTEN & PATTEN	025	HDV	B	500	51.64	n/a	n/a	25.00	5.0
SYSTEMATIC FINANCIAL MGT	035	HOG	B	100,950	36.28	n/a	n/a	3,028.50	3.0
KLEINHEINZ CAP PART	031	HRB	S	100,000	15.43	n/a	n/a	5,000.00	5.0
CASTLE ARK	031	INTC	B	336,000	21.40	n/a	n/a	16,800.00	5.0
BMO NESBITT BURNS	041	IP	B	25,000	26.80	n/a	28-Apr	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	23,400	26.59	n/a	28-Apr	1,170.00	5.0
WOOSTER CAPITAL	035	IP	B	50,000	26.88	n/a	28-Apr	2,500.00	5.0
BASCOM HILL PARTNERS LLC	033	JBHT	SS	2,500	44.95	n/a	n/a	75.00	3.0
SANDLER O'NEILL ASSET	031	JPM	S	100,000	40.13	n/a	16-Jun	5,000.00	5.0
SAC CHICAGO ANDREW	031	KR	B	200,000	24.00	n/a	n/a	7,000.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	KSS	B	50,000	50.01	n/a	3-Jun	1,750.00	3.5
ROYCE TRADING	012	MLI	B	24,915	35.51	n/a	27-Apr	1,245.75	5.0
SUN AMERICA ASSET MGMT	030	MU	B	1,600	8.08	n/a	n/a	64.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	20,000	31.41	n/a	27-Apr	1,000.00	5.0
PATTEN & PATTEN	025	PFF	B	500	38.87	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	PGX	B	250	14.12	n/a	n/a	12.50	5.0
RBC CAPITAL MARKETS	040	PKG	B	25,000	27.22	n/a	19-Apr	1,000.00	4.0
CATAPULT	040	PPG	SS	15,000	84.35	n/a	19-May	600.00	4.0
TALPION LLC	040	RCII	S	5,000	28.11	n/a	n/a	200.00	4.0
SHEFFIELD ASSET MGMT	031	RKT	B	128,500	63.56	n/a	n/a	5,140.00	4.0
SAC CRIB	044	SPY	SS	25,000	126.87	n/a	n/a	875.00	3.5
ROTHSCHILD ASSET	040	SVVS	S	14,645	39.40	n/a	n/a	585.80	4.0
PATTEN & PATTEN	025	TLT	B	150	97.34	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	TM	B	25	79.46	n/a	n/a	1.25	5.0
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	28.20	n/a	n/a	875.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	WRC	B	36,600	47.50	n/a	6-May	1,464.00	4.0
SYSTEMATIC FINANCIAL MGT	035	WSM	S	120,000	35.12	n/a	n/a	3,600.00	3.0
<b>TOTAL (Trade Date):</b>								<b>77,529.31</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/15	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	10,000	8.48	n/a	n/a	500.00 5.0
AO,CRT	06/15	DELTEC ASSET MGMT. (DELTPEPSPB)	040	BONT	B	10,000	8.48	n/a	n/a	400.00 4.0
AO,	06/15	ASCEND PARTNERS (ASCEMSIL)	033	ETN	B	1,900	46.53	n/a	16-Jun	95.00 5.0
AO,CXL	06/15	ASCEND PARTNERS (ASCEMSPB)	033	ETN	B	1,900	46.53	n/a	16-Jun	95.00 5.0
AO,CXL	06/15	TUDOR INVESTORS (TUDRMAIN)	028	GM	B	10,000	28.95	n/a	2-Jun	300.00 3.0
AO,CRT	06/15	TUDOR INVESTORS (TUDRMAIN)	028	GM	B	10,000	28.95	n/a	2-Jun	200.00 2.0
AO,	06/15	NOMURA CAPITAL (NOMUSTRAT)	029	HYG	SS	2,885	89.43	n/a	n/a	86.55 3.0
AO,	06/15	NOMURA CAPITAL (NOMUBATT2)	029	HYG	SS	241	89.43	n/a	n/a	7.23 3.0
AO,	06/15	NOMURA CAPITAL (NOMUBSMAIN)	029	HYG	SS	1,874	89.43	n/a	n/a	56.22 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-50.00</b>
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TOTAL (Trade Date):	77,529.31
TOTAL (AO, CXL, CRT):	-50.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>77,479.31</b>
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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