



Daily Compliance Activity Report

Trade Date: 12/29/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	20	404.89	n/a	n/a	1.00	5.0
PATTEN & PATTEN	025	AA	S	2,330	8.63	n/a	n/a	116.50	5.0
PATTEN & PATTEN	025	ABT	S	80	56.13	n/a	n/a	4.00	5.0
THE JAY GOLDMAN	028	AEO	S	15,000	15.35	n/a	2-Dec	600.00	4.0
PATTEN & PATTEN	025	AGU	B	245	66.70	n/a	n/a	12.25	5.0
PATTEN & PATTEN	025	AGU	S	200	66.65	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	AML	B	6,960	16.58	n/a	n/a	348.00	5.0
PATTEN & PATTEN	025	APA	B	200	88.87	n/a	22-Dec	10.00	5.0
PATTEN & PATTEN	025	APA	S	100	88.82	n/a	22-Dec	5.00	5.0
PATTEN & PATTEN	025	APC	B	160	75.73	n/a	22-Dec	8.00	5.0
SCOPUS FUND	041	ASCA	S	18,318	17.51	n/a	13-Jan	732.72	4.0
PATTEN & PATTEN	025	A	S	3	34.55	n/a	n/a	0.15	5.0
PATTEN & PATTEN	025	BAC	S	660	5.38	n/a	22-Dec	33.00	5.0
PATTEN & PATTEN	025	BA	B	905	74.08	n/a	29-Nov	45.25	5.0
PATTEN & PATTEN	025	BBY	S	1,325	22.98	n/a	n/a	66.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	BDX	S	100	74.23	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	BRCM	B	75	29.44	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	BTO	B	2,750	13.60	n/a	n/a	137.50	5.0
PATTEN & PATTEN	025	CHD	B	250	46.34	n/a	14-Dec	12.50	5.0
SANDLER O'NEILL ASSET	031	COF	B	500	42.00	n/a	29-Dec	25.00	5.0
PATTEN & PATTEN	025	COST	B	65	83.99	n/a	n/a	3.25	5.0
PATTEN & PATTEN	025	CSCO	S	300	18.17	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	CVE	S	200	32.34	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	DBA	B	1,800	28.64	n/a	n/a	90.00	5.0
TALPION LLC	040	DCIX	S	300	5.34	n/a	n/a	6.00	2.0
LATEFF MGMT	035	DD	B	400	45.75	n/a	27-Dec	88.00	22.0
PATTEN & PATTEN	025	DD	B	275	45.81	n/a	27-Dec	13.75	5.0
PATTEN & PATTEN	025	DKS	B	2,125	37.08	n/a	16-Nov	106.25	5.0
PATTEN & PATTEN	025	DMND	B	50	31.52	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	DOW	S	100	28.63	n/a	14-Dec	5.00	5.0
PATTEN & PATTEN	025	DVN	S	150	61.78	n/a	22-Dec	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	ECA	S	200	18.35	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	ECL	B	100	57.33	n/a	12-Dec	5.00	5.0
PATTEN & PATTEN	025	EPP	S	150	38.86	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	EQT	B	300	54.79	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	ETN	B	50	43.75	n/a	24-Oct	2.50	5.0
PATTEN & PATTEN	025	EWA	S	500	21.29	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	EWG	B	560	26.18	n/a	n/a	28.00	5.0
PATTEN & PATTEN	025	EWL	S	150	22.38	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	EWZ	B	150	56.73	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	FCX	B	100	36.26	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	FCX	S	400	36.25	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	FHN	B	4,283	7.96	n/a	n/a	214.15	5.0
PATTEN & PATTEN	025	FSYS	S	450	16.21	n/a	n/a	22.50	5.0
PEAK INV LLC	084	F	S	200,000	10.64	n/a	2-Dec	8,000.00	4.0
PATTEN & PATTEN	025	GE	B	3,575	18.09	n/a	n/a	178.75	5.0
PATTEN & PATTEN	025	GLW	B	2,000	13.03	n/a	27-Dec	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	GLW	S	2,800	13.02	n/a	27-Dec	140.00	5.0
PATTEN & PATTEN	025	GOV	B	500	22.71	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	GOV	S	1,000	22.70	n/a	n/a	50.00	5.0
SCOPUS FUND	041	HBI	S	10,000	22.00	n/a	30-Nov	400.00	4.0
PATTEN & PATTEN	025	HDV	B	640	55.55	n/a	n/a	32.00	5.0
PATTEN & PATTEN	025	HPQ	B	875	25.52	n/a	n/a	43.75	5.0
PATTEN & PATTEN	025	IFN	S	400	18.81	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	ILF	S	175	42.03	n/a	n/a	8.75	5.0
PATTEN & PATTEN	025	INTC	B	2,725	24.55	n/a	n/a	136.25	5.0
PATTEN & PATTEN	025	IP	B	135	29.65	n/a	27-Oct	6.75	5.0
PATTEN & PATTEN	025	ITT	S	107	19.55	n/a	n/a	5.35	5.0
PATTEN & PATTEN	025	JCI	B	1,235	30.92	n/a	21-Nov	61.75	5.0
PATTEN & PATTEN	025	JCI	S	350	30.78	n/a	21-Nov	17.50	5.0
PATTEN & PATTEN	025	JNJ	B	100	65.79	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	JPM	S	1,180	33.39	n/a	22-Dec	59.00	5.0
PATTEN & PATTEN	025	KRE	B	550	24.55	n/a	n/a	27.50	5.0
PATTEN & PATTEN	025	LLY	B	1,800	41.45	n/a	n/a	90.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	LOW	S	400	25.59	n/a	7-Dec	20.00	5.0
T. ROWE PRICE	033	LOW	S	140,000	25.22	n/a	7-Dec	5,600.00	4.0
SCOPUS FUND	041	LYV	S	50,000	8.37	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	025	MCK	B	20	77.58	n/a	n/a	1.00	5.0
BALLAST CAP	040	MET	B	8,600	31.24	n/a	n/a	430.00	5.0
MERRILL ASSET/BLACKROCK	297	MFRM	S	42,514	22.78	n/a	n/a	1,700.56	4.0
PATTEN & PATTEN	025	MIC	B	200	28.25	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	MMC	S	25	31.97	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	MMM	S	50	81.76	n/a	27-Dec	2.50	5.0
LATEFF MGMT	035	MRK	S	150	37.66	n/a	n/a	22.50	15.0
PATTEN & PATTEN	025	MRK	B	450	37.68	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	MSFT	B	200	26.00	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	MS	S	420	15.16	n/a	22-Dec	21.00	5.0
PATTEN & PATTEN	025	MUNI	B	1,800	53.02	n/a	n/a	90.00	5.0
PATTEN & PATTEN	025	MXI	S	135	56.40	n/a	n/a	6.75	5.0
PATTEN & PATTEN	025	NUAN	B	1,450	25.05	n/a	n/a	72.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	NYB	S	300	12.34	n/a	7-Dec	36.00	12.0
PATTEN & PATTEN	025	ORCL	S	2,000	25.74	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	OXY	B	365	92.79	n/a	n/a	18.25	5.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	10,000	31.31	n/a	6-Dec	500.00	5.0
PATTEN & PATTEN	025	PCH	B	30	31.37	n/a	6-Dec	1.50	5.0
PATTEN & PATTEN	025	PCH	S	1,000	31.33	n/a	6-Dec	50.00	5.0
PATTEN & PATTEN	025	PIO	S	1,475	15.50	n/a	n/a	73.75	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	20,000	24.96	n/a	18-Oct	1,000.00	5.0
PATTEN & PATTEN	025	PRU	B	150	50.33	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	PX	B	200	106.50	n/a	26-Oct	10.00	5.0
PATTEN & PATTEN	025	QCOM	B	1,000	54.58	n/a	n/a	50.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	20,000	57.57	n/a	10-Nov	1,000.00	5.0
MERRILL ASSET/BLACKROCK	297	RLI	S	4,890	74.00	n/a	n/a	195.60	4.0
SCOPUS FUND	041	RSG	SS	4,795	27.60	n/a	n/a	191.80	4.0
PATTEN & PATTEN	025	SBUX	B	50	46.24	n/a	11-Nov	2.50	5.0
PATTEN & PATTEN	025	SCJ	B	250	42.65	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	SPY	B	115	125.72	n/a	n/a	5.75	5.0
PATTEN & PATTEN	025	SPY	S	1,000	125.71	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	SRCL	B	150	78.18	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	SRZ	B	120	6.33	n/a	n/a	6.00	5.0
PATTEN & PATTEN	025	SRZ	S	1,500	6.31	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	STI	S	500	17.62	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	SWN	S	1,000	31.96	n/a	22-Dec	50.00	5.0
PATTEN & PATTEN	025	TEVA	S	50	40.68	n/a	27-Dec	2.50	5.0
PATTEN & PATTEN	025	TGT	B	150	51.80	n/a	2-Dec	7.50	5.0
PATTEN & PATTEN	025	TM	S	340	64.84	n/a	n/a	17.00	5.0
PATTEN & PATTEN	025	TSCO	B	87	71.81	n/a	n/a	4.35	5.0
PATTEN & PATTEN	025	TXN	S	300	29.26	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	T	B	690	30.09	n/a	n/a	34.50	5.0
LATEFF MGMT	035	UAL	S	300	18.84	n/a	n/a	36.00	12.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	10,000	80.68	n/a	n/a	500.00	5.0
LATEFF MGMT	035	UN	S	300	34.08	n/a	n/a	45.00	15.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	VAL	S	13,036	38.82	n/a	n/a	391.08	3.0
PATTEN & PATTEN	025	VZ	B	450	39.97	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	WAG	S	150	33.20	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	WMB	B	150	32.47	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	WM	S	300	32.51	n/a	n/a	15.00	5.0
SCOPUS FUND	041	WM	SS	10,000	32.66	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	WY	S	950	18.75	n/a	28-Oct	47.50	5.0
PATTEN & PATTEN	025	XLF	B	500	13.04	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	XLS	S	1,115	9.18	n/a	n/a	55.75	5.0
PATTEN & PATTEN	025	XLV	B	250	34.67	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	XLY	B	250	39.10	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	XYL	S	1,115	26.19	n/a	n/a	55.75	5.0
FARALLON CAP MGMT	040	YHOO	B	150,000	16.10	n/a	n/a	4,500.00	3.0
TOTAL (Trade Date) :								31,993.76	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/28	STANDARD PACIFIC CAPITAL (SPACJPMORG)	084	MHP	SS	70,000	44.69	n/a	n/a	3500.00 5.0
AO,CRT	12/28	STANDARD PACIFIC CAPITAL (SPACMS)	084	MHP	SS	70,000	44.69	n/a	n/a	3500.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
-------------------------------	-------------

TOTAL (Trade Date) :	31,993.76
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	31,993.76
--------------------------------	------------------

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