



## Daily Compliance Activity Report

Trade Date: 01/11/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	AAWW	B	14,000	41.47	n/a	n/a	420.00	3.0
PATTEN & PATTEN	025	AA	B	5,000	9.60	n/a	n/a	250.00	5.0
VISIUM/BALY BOBBY	044	AA	B	20,000	9.66	n/a	n/a	800.00	4.0
PATTEN & PATTEN	025	ABT	S	100	55.40	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	AML	B	1,000	16.54	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	APA	B	200	96.87	n/a	6-Jan	10.00	5.0
PATTEN & PATTEN	025	APC	B	200	79.60	n/a	6-Jan	10.00	5.0
PATTEN & PATTEN	025	APD	S	60	87.00	n/a	21-Oct	3.00	5.0
SIMMONS VENTURES	041	ARO	B	5,000	16.26	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	ASNA	S	20,000	33.49	n/a	n/a	1,000.00	5.0
COLUMBUS CIRCLE	036	BBG	S	11,562	32.24	n/a	n/a	462.48	4.0
PATTEN & PATTEN	025	BP	S	100	43.71	n/a	n/a	5.00	5.0
KAYNE ANDERSON ADV	084	CNS	B	9,000	30.43	n/a	n/a	360.00	4.0
MTB INV ADV	034	CPHD	B	5,175	35.85	n/a	n/a	258.75	5.0
GLOBAL 56 LLC	060	CROX	S	2,000	17.37	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CSX	B	1,000	23.46	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	DBA	B	600	29.28	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	DD	S	100	47.13	n/a	6-Jan	5.00	5.0
ARSENAL ASSET MANAGEMENT	028	DHR	SS	10,000	49.71	n/a	n/a	400.00	4.0
MOORE CAPITAL	041	DKS	B	5,000	36.15	n/a	4-Jan	150.00	3.0
PATTEN & PATTEN	025	EMR	S	100	48.13	n/a	n/a	5.00	5.0
TUDOR INVESTORS	028	EMR	B	10,000	47.88	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	EWZ	B	200	61.32	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	FHN	B	6,000	8.67	n/a	n/a	300.00	5.0
ROYCE TRADING	031	FINL	B	25,000	19.36	n/a	22-Dec	1,250.00	5.0
PATTEN & PATTEN	025	FWS	B	3,000	3.34	n/a	n/a	150.00	5.0
LANE GATE PARTNERS LLC	030	F	S	14,000	11.84	n/a	6-Jan	420.00	3.0
MTB INV ADV	034	GBX	S	6,175	26.59	n/a	n/a	308.75	5.0
ARSENAL ASSET MANAGEMENT	028	GDI	SS	5,000	83.57	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	GDX	B	400	54.29	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	GE	B	1,000	18.85	n/a	n/a	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	GE	S	300	18.68	n/a	n/a	15.00	5.0
1798 CAP/LOMBARD ASSET	040	GM	C	5,000	24.20	n/a	6-Jan	250.00	5.0
PERRY PARTNERS	085	GM	S	81,000	24.52	n/a	6-Jan	4,050.00	5.0
PATTEN & PATTEN	025	GOV	B	1,000	23.12	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	GOV	S	1,200	22.98	n/a	n/a	60.00	5.0
SANDLER O'NEILL ASSET	031	GS	S	5,000	100.00	n/a	6-Jan	250.00	5.0
MA CAPITAL MGMT/MELLON ADV041		HBI	B	3,000	23.77	n/a	9-Jan	150.00	5.0
PATTEN & PATTEN	025	HDV	S	650	55.19	n/a	n/a	32.50	5.0
PATTEN & PATTEN	025	HD	S	150	43.36	n/a	8-Dec	7.50	5.0
PATTEN & PATTEN	025	HPQ	B	800	26.55	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	IAT	B	500	22.50	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	INTC	S	200	25.65	n/a	n/a	10.00	5.0
BALYASNY ASSET MGMT	044	JCI	SS	10,000	34.05	n/a	4-Jan	500.00	5.0
LANE GATE PARTNERS LLC	030	JCI	B	4,500	34.40	n/a	4-Jan	135.00	3.0
TUDOR INVESTORS	028	JCI	B	10,000	34.36	n/a	4-Jan	300.00	3.0
PATTEN & PATTEN	025	JNJ	S	100	64.96	n/a	n/a	5.00	5.0
WADDELL AND REED	047	JNPR	S	471,900	21.41	n/a	n/a	14,157.00	3.0
PATTEN & PATTEN	025	JPM	S	150	35.83	n/a	6-Jan	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	KO	B	18,610	67.93	n/a	9-Jan	930.50	5.0
PATTEN & PATTEN	025	KO	S	100	67.94	n/a	9-Jan	5.00	5.0
CASTLEROCK	040	LMT	SS	13,264	80.91	n/a	5-Dec	530.56	4.0
PATTEN & PATTEN	025	MMM	S	60	83.40	n/a	3-Jan	3.00	5.0
PATTEN & PATTEN	025	MSFT	S	300	27.55	n/a	n/a	15.00	5.0
ROYCE TRADING	031	MTX	B	3,500	60.56	n/a	n/a	175.00	5.0
TUDOR INVESTORS	028	MWV	S	7,041	30.26	n/a	26-Oct	211.23	3.0
CASTLEROCK	040	NOC	SS	16,041	58.51	n/a	21-Nov	641.64	4.0
PATTEN & PATTEN	025	NOK	B	2,000	5.32	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	NVS	S	100	56.06	n/a	n/a	5.00	5.0
WADDELL AND REED	047	ORCL	S	1,009,200	26.90	n/a	n/a	30,276.00	3.0
CASTLEROCK	040	PAG	SS	41,000	19.84	n/a	3-Nov	1,640.00	4.0
KOHALA CAPITAL PARTNERS	035	PCH	B	7,080	31.98	n/a	6-Dec	283.20	4.0
CAPITAL GROWTH MGMT.	241	PCLN	S	103,000	479.91	n/a	n/a	5,150.00	5.0
PATTEN & PATTEN	025	PCL	S	300	38.00	n/a	25-Oct	15.00	5.0
PATTEN & PATTEN	025	PEP	S	75	64.56	n/a	n/a	3.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PG	S	100	66.10	n/a	10-Jan	5.00	5.0
SCOPUS FUND	041	PG	SS	118,400	65.63	n/a	10-Jan	4,736.00	4.0
METROPOLITAN CAPITAL	044	PLCE	B	4,000	49.25	n/a	5-Jan	200.00	5.0
ROYCE TRADING	031	PLT	B	500	36.06	n/a	n/a	25.00	5.0
TUDOR INVESTORS	028	PNR	SS	5,000	36.41	n/a	n/a	150.00	3.0
MTB INV ADV	034	QCOR	B	4,125	37.05	n/a	n/a	206.25	5.0
RBC CAPITAL MARKETS	040	RCL	S	10,000	28.25	n/a	n/a	400.00	4.0
DEVENNY CAP LLC	044	RKT	S	5,000	64.64	n/a	5-Jan	150.00	3.0
PATTEN & PATTEN	025	RKT	B	400	64.78	n/a	5-Jan	20.00	5.0
SUN AMERICA ASSET MGMT	030	RL	S	10,277	144.04	n/a	9-Jan	411.08	4.0
PATTEN & PATTEN	025	RSG	S	200	27.05	n/a	n/a	10.00	5.0
TUDOR INVESTORS	028	RSG	B	10,000	27.31	n/a	n/a	300.00	3.0
MTB INV ADV	034	SLXP	B	2,075	48.13	n/a	9-Jan	103.75	5.0
TUDOR INVESTORS	028	SXC	B	5,000	11.35	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	UTX	S	70	75.94	n/a	n/a	3.50	5.0
PATTEN & PATTEN	025	VZ	S	600	38.76	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	WAG	B	600	34.08	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	WFC	S	140,000	29.51	n/a	6-Jan	5,600.00	4.0
BRONSON POINT	036	WMT	B	50,000	59.35	n/a	16-Nov	1,500.00	3.0
TUDOR INVESTORS	028	WM	SS	10,000	33.30	n/a	n/a	300.00	3.0
TALPION LLC	040	XYL	S	1,100	26.25	n/a	n/a	44.00	4.0
SIMMONS VENTURES	041	ZQK	B	25,000	3.93	n/a	10-May	750.00	3.0
BALYASNY ASSET MGMT	044	ZUMZ	B	10,000	31.61	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>83,236.94</b>	

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):									83,236.94
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									83,236.94
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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