



# Daily Compliance Activity Report

Trade Date: 12/06/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTPOINT	266	ABD	S	20,438	7.40	n/a	n/a	817.52	4.0
PLATTE RIVER CAPITAL	240	ABT	B	52,730	46.93	n/a	n/a	2,109.20	4.0
PATTEN & PATTEN	067	AB	S	1,400	23.41	n/a	n/a	70.00	5.0
Ñ Nilsa Vazquez		ACUZD	S	500	14.0000	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ADRU	B	200	20.46	n/a	n/a	10.00	5.0
SURSUM CAPITAL	215	AEO	SS	40,000	16.03	n/a	3-Dec	1,200.00	3.0
ADAGE CAPITAL MGMT	030	ANF	B	100,000	56.35	n/a	3-Dec	3,000.00	3.0
FRONTPOINT	266	ANF	SS	102,000	56.27	n/a	3-Dec	5,100.00	5.0
TRUST CO/COWEN/CALF.	040	APC	S	56,661	69.92	n/a	2-Dec	2,833.05	5.0
PATTEN & PATTEN	067	APD	S	300	87.77	n/a	26-Nov	15.00	5.0
HOLLIS CAPITAL	033	ARBA	B	5,000	22.07	n/a	n/a	250.00	5.0
FRONTPOINT	266	BBBY	B	64,800	45.74	n/a	n/a	3,240.00	5.0
WAGONHOUND/NIC	289	BEAV	S	3,759	37.53	n/a	27-Oct	150.36	4.0
PATTEN & PATTEN	067	BP	B	500	42.91	n/a	n/a	25.00	5.0
MTB INV ADV	034	CBRL	S	2,075	53.37	n/a	n/a	103.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	040	CE	S	70,000	39.36	n/a	n/a	3,500.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,042	101.50	n/a	2-Dec	41.68	4.0
MERRILL ASSET/BLACKROCK	266	CYN	B	8,400	57.30	n/a	n/a	168.00	2.0
MTB INV ADV	034	DPZ	S	11,425	14.80	n/a	29-Nov	571.25	5.0
PATTEN & PATTEN	067	DUK	B	532	17.68	n/a	n/a	26.60	5.0
TRUST CO/COWEN/CALF.	040	DVN	B	26,580	73.97	n/a	2-Dec	1,329.00	5.0
MILLENNIUM PARTNERS ICSUS	041	EP	SS	50,000	13.83	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	EXC	B	100	39.98	n/a	n/a	5.00	5.0
IVORY CAPITAL	034	FCX	B	100,000	111.00	n/a	n/a	5,000.00	5.0
COOKBIELER	028	FLO	B	70,000	26.01	n/a	n/a	2,800.00	4.0
AVESTA CAP	229	F	B	200,000	16.72	n/a	2-Dec	6,000.00	3.0
SCOPUS FUND	041	F	B	50,000	16.71	n/a	2-Dec	2,000.00	4.0
WAGONHOUND/NIC	289	GSIC	S	6,814	24.04	n/a	n/a	272.56	4.0
PATTEN & PATTEN	067	HCF	B	8,000	7.73	n/a	n/a	400.00	5.0
COLUMBIA PARTNERS	028	HNT	S	31,039	27.14	n/a	n/a	1,241.56	4.0
COLUMBIA PARTNERS	028	HP	S	21,143	47.82	n/a	n/a	845.72	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	HUBG	B	2,689	36.22	n/a	n/a	107.56	4.0
ARCHON CAPITAL	035	IOC	B	3,000	79.52	n/a	n/a	90.00	3.0
RAINIER INV MGMT	035	JAH	S	18,050	31.06	n/a	n/a	722.00	4.0
PATTEN & PATTEN	067	KMB	B	1,700	61.71	n/a	27-Oct	85.00	5.0
MILLENNIUM PARTNERS ICSUS	041	KOG	S	50,000	5.35	n/a	n/a	2,500.00	5.0
SCOPUS FUND	041	KR	S	25,000	20.77	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	LAZ	B	700	38.24	n/a	12-Nov	35.00	5.0
PERRY PARTNERS	085	LOW	B	71,000	24.86	n/a	1-Dec	3,550.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>31.70</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
MTB INV ADV	034	LTM	S	4,175	38.86	n/a	n/a	208.75	5.0
MTB INV ADV	034	MAPP	S	8,300	14.50	n/a	n/a	415.00	5.0
<b>Ñ Nilsa Vazquez</b>		<b>MON</b>	<b>S</b>	<b>200</b>	<b>63.4340</b>	<b>n/a</b>	<b>23-Nov</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	MOO	S	800	51.60	n/a	n/a	40.00	5.0
PEAK INV LLC	084	MPG	S	100,000	2.43	n/a	n/a	4,000.00	4.0
MERRILL ASSET/BLACKROCK	266	MVC	B	25,000	14.24	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURSUM CAPITAL	215	M	B	20,000	25.08	n/a	30-Nov	600.00	3.0
PATTEN & PATTEN	067	NEE	B	700	50.98	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	NUE	S	1,700	39.82	n/a	n/a	85.00	5.0
UNITED STATES PENSION	085	PCH	S	1,600	32.65	n/a	29-Oct	64.00	4.0
S.A.C. HEALTHCARE BOBBY	044	PFE	S	50,000	16.91	n/a	n/a	1,750.00	3.5
PATTEN & PATTEN	067	PRU	B	100	53.74	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	RHHBY	S	1,000	35.06	n/a	n/a	50.00	5.0
MFP INVESTORS	085	SEE	B	55,000	24.15	n/a	n/a	2,750.00	5.0
PATTEN & PATTEN	067	SLB	S	650	82.91	n/a	n/a	32.50	5.0
ROSEDALE CAPITAL	046	SRI	S	5,500	15.34	n/a	n/a	275.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SWK	B	600	62.22	n/a	n/a	24.00	4.0
CRAMER ROSENTHAL/SCOTT	012	SYK	B	400	51.75	n/a	n/a	16.00	4.0
PATTEN & PATTEN	067	TEVA	B	200	48.96	n/a	6-Dec	10.00	5.0
WAGONHOUND/NIC	289	TEX	B	7,012	27.42	n/a	22-Oct	280.48	4.0
WHITE PINE CAPITAL	030	TEX	B	28,175	27.50	n/a	22-Oct	1,408.75	5.0
CRAMER ROSENTHAL/SCOTT	012	TLM	B	1,400	19.93	n/a	n/a	56.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	TXN	S	1,300	32.91	n/a	n/a	65.00	5.0
CRAMER ROSENTHAL/SCOTT	012	TYC	B	1,100	40.81	n/a	9-Nov	44.00	4.0
PATTEN & PATTEN	067	VMC	S	600	41.78	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	V	B	100	77.76	n/a	29-Oct	5.00	5.0
KLEINHEINZ CAP PART	031	WHR	B	25,000	81.32	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	WPS	B	2,100	34.09	n/a	n/a	105.00	5.0
PATTEN & PATTEN	067	WY	B	1,779	17.73	n/a	29-Oct	88.95	5.0
SURSUM CAPITAL	215	ZUMZ	SS	20,000	29.96	n/a	n/a	600.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>69,808.24</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/03	SCOPUS FUND (SCOPGS)	041	DG	B	7,829	33.46	n/a	6-Dec	313.16 4.0
AO,CRT	12/03	SCOPUS FUND (SCOPGS)	041	DG	B	11,743	33.46	n/a	6-Dec	469.72 4.0
AO,CXL	12/03	SCOPUS FUND (SCOPUBS)	041	DG	B	52,391	33.46	n/a	6-Dec	2095.64 4.0
AO,CRT	12/03	SCOPUS FUND (SCOPUBS)	041	DG	B	48,477	33.46	n/a	6-Dec	1939.08 4.0
AO,CRT	12/03	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	GNTX	B	10,000	25.20	n/a	25-Oct	300.00 3.0
AO,CXL	12/03	SCHOTTENFELD ASSOC (SCHOASSOC)	041	GNTX	B	10,000	25.20	n/a	25-Oct	300.00 3.0
AO,	12/02	PATTEN & PATTEN (PATTFSG BA)	067	LAZ	S	500	37.48	n/a	12-Nov	25.00 5.0
AO,	12/02	PATTEN & PATTEN (PATTFSG BA)	067	LAZ	S	200	37.48	n/a	12-Nov	10.00 5.0
AO,CXL	12/02	PATTEN & PATTEN (PATTPERSHI)	067	LAZ	S	5,350	37.48	n/a	12-Nov	267.50 5.0
AO,CRT	12/02	PATTEN & PATTEN (PATTPERSHI)	067	LAZ	S	4,850	37.48	n/a	12-Nov	242.50 5.0
AO,CXL	12/02	PATTEN & PATTEN (PATTSCHWAB)	067	LAZ	S	16,350	37.48	n/a	12-Nov	817.50 5.0
AO,CRT	12/02	PATTEN & PATTEN (PATTSCHWAB)	067	LAZ	S	16,150	37.48	n/a	12-Nov	807.50 5.0
AO,CRT	11/29	NOMURA CAPITAL (NOMUGMCA)	000	LYBB	S	6,404	29.40	n/a	n/a	192.12 3.0
AO,CXL	11/29	NOMURA CAPITAL (NOMUGMCA)	000	LYBB	S	6,404	29.40	n/a	n/a	192.12 3.0
AO,CRT	11/30	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	3,312	29.22	n/a	n/a	99.36 3.0
AO,CXL	11/30	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	3,312	29.22	n/a	n/a	99.36 3.0
AO,CRT	12/01	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	9,386	29.96	n/a	n/a	281.58 3.0
AO,CXL	12/01	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	9,386	29.96	n/a	n/a	281.58 3.0
AO,	12/03	IRIDIAN ASSET MGMT. (IRAM305)	036	TK	S	990	32.75	n/a	n/a	49.50 5.0
AO,CXL	12/03	IRIDIAN ASSET MGMT. (IRAM303)	036	TK	S	990	32.75	n/a	n/a	49.50 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

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TOTAL (Trade Date):	69,808.24
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>69,808.24</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