

Daily Compliance Activity Report Trade Date: 12/28/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
LATEFF MGMT	035	AA	В	500	8.61	n/a	n/a	50.00	10.0
PATTEN & PATTEN	025	AA	S	75	8.59	n/a	n/a	3.75	5.0
DEVENNY CAP LLC	044	AGCO	S	15,000	42.09	n/a	19-Dec	450.00	3.0
PATTEN & PATTEN	025	AGG	В	1,000	110.14	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	AMLP	В	7 , 520	16.43	n/a	n/a	376.00	5.0
PATTEN & PATTEN	025	APC	В	10	75.81	n/a	22-Dec	0.50	5.0
ROSEDALE CAPITAL	046	AU	S	20,000	41.05	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	BAC	S	2,020	5.31	n/a	22-Dec	101.00	5.0
PATTEN & PATTEN	025	BDX	S	25	73.99	n/a	n/a	1.25	5.0
LATEFF MGMT	035	BMS	S	225	29.86	n/a	n/a	45.00	20.0
PATTEN & PATTEN	025	BP	S	500	42.48	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	BRCM	В	150	29.67	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	ВТО	В	800	13.79	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	CHD	В	50	46.21	n/a	14-Dec	2.50	5.0
PATTEN & PATTEN	025	CL	S	100	92.87	n/a	1-Nov	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
PATTEN & PATTEN	025	CMI	В	250	87.93	n/a	26-Oct	12.50	5.0	
PATTEN & PATTEN	025	CNI	S	95	76.75	n/a	n/a	4.75	5.0	
HAHN CAPITAL MANAGEMENT	084	CRI	В	12,374	39.73	n/a	n/a	618.70	5.0	
LATEFF MGMT	035	CSCO	В	200	18.22	n/a	n/a	30.00	15.0	
PATTEN & PATTEN	025	CX	В	1,250	5.24	n/a	n/a	62.50	5.0	
PATTEN & PATTEN	025	DBA	В	1,000	28.87	n/a	n/a	50.00	5.0	
TALPION LLC	040	DCIX	S	1,041	5.34	n/a	n/a	20.82	2.0	
LATEFF MGMT	035	DD	В	200	45.58	n/a	27-Dec	50.00	25.0	
BNP PARIBAS SEC	040	DECK	В	5,000	84.73	n/a	n/a	250.00	5.0	
PATTEN & PATTEN	025	DIA	В	800	121.53	n/a	n/a	40.00	5.0	
PATTEN & PATTEN	025	DMND	S	20	30.07	n/a	n/a	1.00	5.0	
PATTEN & PATTEN	025	DOW	S	2,100	28.19	n/a	14-Dec	105.00	5.0	
PATTEN & PATTEN	025	D	В	25	53.21	n/a	n/a	1.25	5.0	
PATTEN & PATTEN	025	ECA	S	950	18.27	n/a	n/a	47.50	5.0	
PATTEN & PATTEN	025	EEM	S	425	37.57	n/a	n/a	21.25	5.0	
	PATTEN & PATTEN PATTEN & PATTEN HAHN CAPITAL MANAGEMENT LATEFF MGMT PATTEN & PATTEN TALPION LLC LATEFF MGMT BNP PARIBAS SEC PATTEN & PATTEN PATTEN & PATTEN	PATTEN & PATTEN 025 PATTEN & PATTEN 025 HAHN CAPITAL MANAGEMENT 034 LATEFF MGMT 035 PATTEN & PATTEN 025 TALPION LLC 040 LATEFF MGMT 035 BNP PARIBAS SEC 040 PATTEN & PATTEN 025 PATTEN & PATTEN 025	PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN HAHN CAPITAL MANAGEMENT LATEFF MGMT PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN D25 CX PATTEN & PATTEN D25 DBA TALPION LLC LATEFF MGMT D35 DD BNP PARIBAS SEC O40 DECK PATTEN & PATTEN D25 DIA PATTEN & PATTEN D25 DMND PATTEN & PATTEN D25 DMND PATTEN & PATTEN D25 DOW PATTEN & PATTEN D25 DOW PATTEN & PATTEN D25 DECA	PATTEN & PATTEN PATTEN & PATTEN PATTEN & PATTEN 025 CNI S HAHN CAPITAL MANAGEMENT 036 CSCO B PATTEN & PATTEN 025 CX B PATTEN & PATTEN 025 DBA B TALPION LLC 040 DCIX S LATEFF MGMT 035 DD B BNP PARIBAS SEC 040 DECK B PATTEN & PATTEN 025 DIA B PATTEN & PATTEN 025 DMND S PATTEN & PATTEN 025 DMND S PATTEN & PATTEN 025 DOW S PATTEN & PATTEN 025 D B PATTEN & PATTEN 025 D B PATTEN & PATTEN 025 D B PATTEN & PATTEN 025 D B	PATTEN & PATTEN 025 CMI B 250 PATTEN & PATTEN 025 CNI S 95 HAHN CAPITAL MANAGEMENT 084 CRI B 12,374 LATEFF MGMT 035 CSCO B 200 PATTEN & PATTEN 025 CX B 1,250 PATTEN & PATTEN 025 DBA B 1,000 TALPION LLC 040 DCIX S 1,041 LATEFF MGMT 035 DD B 200 BNP PARIBAS SEC 040 DECK B 5,000 PATTEN & PATTEN 025 DIA B 800 PATTEN & PATTEN 025 DMND S 20 PATTEN & PATTEN 025 DMND S 2,100 PATTEN & PATTEN 025 DOW S 2,100 PATTEN & PATTEN 025 D B 25 PATTEN & PATTEN 025 D B 25	PATTEN & PATTEN 025 CMI B 250 87.93 PATTEN & PATTEN 025 CNI S 95 76.75 HAHN CAPITAL MANAGEMENT 084 CRI B 12,374 39.73 LATEFF MGMT 035 CSCO B 200 18.22 PATTEN & PATTEN 025 CX B 1,250 5.24 PATTEN & PATTEN 025 DBA B 1,000 28.87 TALPION LLC 040 DCIX S 1,041 5.34 LATEFF MGMT 035 DD B 200 45.58 BNP PARIBAS SEC 040 DECK B 5,000 84.73 PATTEN & PATTEN 025 DIA B 800 121.53 PATTEN & PATTEN 025 DMND S 20 30.07 PATTEN & PATTEN 025 DOW S 2,100 28.19 PATTEN & PATTEN 025 D B 25 53.21 PATTEN & PATTEN 025 D B 25 53.21	PATTEN & PATTEN 025 CMI B 250 87.93 n/a PATTEN & PATTEN 025 CNI S 95 76.75 n/a HAHN CAPITAL MANAGEMENT 084 CRI B 12,374 39.73 n/a LATEFF MGMT 035 CSCO B 200 18.22 n/a PATTEN & PATTEN 025 CX B 1,250 5.24 n/a PATTEN & PATTEN 025 DBA B 1,000 28.87 n/a TALPION LLC 040 DCIX S 1,041 5.34 n/a ENP PARIBAS SEC 040 DECK B 5,000 84.73 n/a PATTEN & PATTEN 025 DIA B 800 121.53 n/a PATTEN & PATTEN 025 DMND S 20 30.07 n/a PATTEN & PATTEN 025 DWND S 2,100 28.19 n/a PATTEN & PATTEN 025 D B 25 53.21 n/a PATTEN & PATTEN 025 D B 25 53.21 n/a	PATTEN & PATTEN 025 CMI B 250 87.93	PATTEN & PATTEN 025 CMI B 250 87.93	PATTEN & PATTEN 025 CMI B 250 87.93

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
PATTEN & PATTEN	025	ETN	В	75	43.56	n/a	24-Oct	3.75	5.0
MOORE CAPITAL	041	EXPR	В	12,500	19.95	n/a	n/a	375.00	3.0
PATTEN & PATTEN	025	FHN	В	7,531	7.81	n/a	n/a	376.55	5.0
PATTEN & PATTEN	025	FRC	В	100	31.02	n/a	n/a	5.00	5.0
LEVIN CAPITAL STRATEGIES	041	F	S	20,000	10.65	n/a	2-Dec	600.00	3.0
PATTEN & PATTEN	025	F	S	1,700	10.60	n/a	2-Dec	85.00	5.0
PATTEN & PATTEN	025	GE	В	790	17.83	n/a	n/a	39.50	5.0
PATTEN & PATTEN	025	GLW	В	600	12.92	n/a	27-Dec	30.00	5.0
PATTEN & PATTEN	025	GLW	S	800	12.96	n/a	27-Dec	40.00	5.0
HAHN CAPITAL MANAGEMENT	084	GTLS	В	2,292	54.63	n/a	n/a	114.60	5.0
PATTEN & PATTEN	025	HDV	В	1,095	55.41	n/a	n/a	54.75	5.0
PATTEN & PATTEN	025	HPQ	В	1,300	25.39	n/a	n/a	65.00	5.0
SIMMONS VENTURES	041	HWD	В	7,500	10.20	n/a	n/a	300.00	4.0
HAHN CAPITAL MANAGEMENT	084	HXL	В	6,898	24.72	n/a	8-Dec	344.90	5.0
PATTEN & PATTEN	025	HYG	В	150	89.02	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	IBM	В	20	184.02	n/a	n/a	1.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PATTEN & PATTEN	025	IEO	S	18	60.93	n/a	n/a	0.90	5.0
HAHN CAPITAL MANAGEMENT	084	IEX	В	3,306	35.73	n/a	n/a	165.30	5.0
STANDARD PACIFIC CAPITAL	084	INFA	В	50,000	36.72	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	025	INTC	В	750	24.36	n/a	n/a	37.50	5.0
DEVENNY CAP LLC	044	IP	SS	10,000	29.31	n/a	27-Oct	300.00	3.0
PATTEN & PATTEN	025	JCI	В	1,900	30.53	n/a	21-Nov	95.00	5.0
PATTEN & PATTEN	025	JPM	S	350	32.86	n/a	22-Dec	17.50	5.0
HAHN CAPITAL MANAGEMENT	084	KEG	В	28,859	15.25	n/a	22-Dec	1,442.95	5.0
LATEFF MGMT	035	KMB	S	100	73.73	n/a	25-Oct	30.00	30.0
HAHN CAPITAL MANAGEMENT	084	KMP	В	5,063	83.19	n/a	n/a	253.15	5.0
BROOKSIDE CAPITAL PART	029	LYB	S	18,500	32.57	n/a	n/a	740.00	4.0
PATTEN & PATTEN	025	MAV	В	90	14.36	n/a	n/a	4.50	5.0
MERRILL ASSET/BLACKROCK	297	MFRM	S	30,918	22.52	n/a	n/a	1,236.72	4.0
STANDARD PACIFIC CAPITAL	084	MHP	SS	70,000	44.69	n/a	n/a	3,500.00	5.0
PATTEN & PATTEN	025	MMC	S	100	31.70	n/a	n/a	5.00	5.0
	PATTEN & PATTEN HAHN CAPITAL MANAGEMENT STANDARD PACIFIC CAPITAL PATTEN & PATTEN DEVENNY CAP LLC PATTEN & PATTEN PATTEN & PATTEN HAHN CAPITAL MANAGEMENT LATEFF MGMT HAHN CAPITAL MANAGEMENT BROOKSIDE CAPITAL PART PATTEN & PATTEN MERRILL ASSET/BLACKROCK STANDARD PACIFIC CAPITAL	PATTEN & PATTEN 025 HAHN CAPITAL MANAGEMENT 084 STANDARD PACIFIC CAPITAL 084 PATTEN & PATTEN 025 DEVENNY CAP LLC 044 PATTEN & PATTEN 025 HAHN CAPITAL MANAGEMENT 084 LATEFF MGMT 035 HAHN CAPITAL MANAGEMENT 084 BROOKSIDE CAPITAL PART 029 PATTEN & PATTEN 025 MERRILL ASSET/BLACKROCK 297 STANDARD PACIFIC CAPITAL 084	PATTEN & PATTEN 025 IEO HAHN CAPITAL MANAGEMENT 084 IEX STANDARD PACIFIC CAPITAL 084 INFA PATTEN & PATTEN 025 INTC DEVENNY CAP LLC 044 IP PATTEN & PATTEN 025 JCI PATTEN & PATTEN 025 JPM HAHN CAPITAL MANAGEMENT 084 KEG LATEFF MGMT 035 KMB HAHN CAPITAL MANAGEMENT 084 KMP BROOKSIDE CAPITAL PART 029 LYB PATTEN & PATTEN 025 MAV MERRILL ASSET/BLACKROCK 297 MFRM STANDARD PACIFIC CAPITAL 084 MHP	PATTEN & PATTEN 025 IEO S HAHN CAPITAL MANAGEMENT STANDARD PACIFIC CAPITAL PATTEN & PATTEN 025 INTC B DEVENNY CAP LLC 044 IP SS PATTEN & PATTEN 025 JCI B PATTEN & PATTEN 025 JPM S HAHN CAPITAL MANAGEMENT 084 KEG B LATEFF MGMT 035 KMB S HAHN CAPITAL MANAGEMENT 084 KMP B BROOKSIDE CAPITAL PART 029 LYB S PATTEN & PATTEN 025 MAV B MERRILL ASSET/BLACKROCK 297 MFRM S STANDARD PACIFIC CAPITAL 084 MHP SS	PATTEN & PATTEN 025 IEO S 18 HAHN CAPITAL MANAGEMENT 084 IEX B 3,306 STANDARD PACIFIC CAPITAL 084 INFA B 50,000 PATTEN & PATTEN 025 INTC B 750 DEVENNY CAP LLC 044 IP SS 10,000 PATTEN & PATTEN 025 JCI B 1,900 PATTEN & PATTEN 025 JPM S 350 HAHN CAPITAL MANAGEMENT 084 KEG B 28,859 LATEFF MGMT 035 KMB S 100 HAHN CAPITAL MANAGEMENT 084 KMP B 5,063 BROOKSIDE CAPITAL PART 029 LYB S 18,500 PATTEN & PATTEN 025 MAV B 90 MERRILL ASSET/BLACKROCK 297 MFRM S 30,918 STANDARD PACIFIC CAPITAL 084 MHP SS 70,000	PATTEN & PATTEN 025 IEO S 18 60.93 HAHN CAPITAL MANAGEMENT 084 IEX B 3,306 35.73 STANDARD PACIFIC CAPITAL 084 INFA B 50,000 36.72 PATTEN & PATTEN 025 INTC B 750 24.36 DEVENNY CAP LLC 044 IP SS 10,000 29.31 PATTEN & PATTEN 025 JCI B 1,900 30.53 PATTEN & PATTEN 025 JPM S 350 32.86 HAHN CAPITAL MANAGEMENT 084 KEG B 28,859 15.25 LATEFF MGMT 035 KMB S 100 73.73 HAHN CAPITAL MANAGEMENT 084 KMP B 5,063 83.19 BROOKSIDE CAPITAL PART 029 LYB S 18,500 32.57 PATTEN & PATTEN 025 MAV B 90 14.36 MERRILL ASSET/BLACKROCK 297 MFRM S 30,918 22.52 STANDARD PACIFIC CAPITAL 084 MHP SS 70,000 44.69	PATTEN & PATTEN 025 IEO S 18 60.93 n/a HAHN CAPITAL MANAGEMENT 084 IEX B 3,306 35.73 n/a STANDARD PACIFIC CAPITAL 084 INFA B 50,000 36.72 n/a PATTEN & PATTEN 025 INTC B 750 24.36 n/a DEVENNY CAP LLC 044 IP SS 10,000 29.31 n/a PATTEN & PATTEN 025 JCI B 1,900 30.53 n/a PATTEN & PATTEN 025 JPM S 350 32.86 n/a HAHN CAPITAL MANAGEMENT 084 KEG B 28,859 15.25 n/a LATEFF MGMT 035 KMB S 100 73.73 n/a HAHN CAPITAL MANAGEMENT 084 KMP B 5,063 83.19 n/a BROOKSIDE CAPITAL PART 029 LYB S 18,500 32.57 n/a PATTEN & PATTEN 025 MAV B 90 14.36 n/a MERRILL ASSET/BLACKROCK 297 MFRM S 30,918 22.52 n/a STANDARD PACIFIC CAPITAL 084 MHP SS 70,000 44.69 n/a	PATTEN 6 PATTEN 025 IEO S 18 60.93	PATTEN & PATTEN 025 IEO S 18 60.93

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
PATTEN & PATTEN	025	MRK	В	275	37.53	n/a	n/a	13.75	5.0	
PATTEN & PATTEN	025	MS	S	450	14.96	n/a	22-Dec	22.50	5.0	
PATTEN & PATTEN	025	NEE	S	500	60.81	n/a	n/a	25.00	5.0	
HAHN CAPITAL MANAGEMENT	084	NSR	В	14,873	33.98	n/a	n/a	743.65	5.0	
PATTEN & PATTEN	025	NUAN	В	50	24.93	n/a	n/a	2.50	5.0	
PATTEN & PATTEN	025	NUE	В	150	39.63	n/a	n/a	7.50	5.0	
PATTEN & PATTEN	025	NUE	S	50	39.40	n/a	n/a	2.50	5.0	
DEVENNY CAP LLC	044	ODFL	В	10,000	40.57	n/a	n/a	300.00	3.0	
MERRILL ASSET/BLACKROCK	297	PBY	В	15,501	11.00	n/a	n/a	620.04	4.0	
PATTEN & PATTEN	025	PCAR	S	450	36.92	n/a	21-Dec	22.50	5.0	
PATTEN & PATTEN	025	РНО	S	1,750	16.80	n/a	n/a	87.50	5.0	
PATTEN & PATTEN	025	PIO	S	150	15.28	n/a	n/a	7.50	5.0	
HAHN CAPITAL MANAGEMENT	084	PXD	В	1,858	87.73	n/a	22-Dec	92.90	5.0	
PATTEN & PATTEN	025	QCOM	В	75	54.55	n/a	n/a	3.75	5.0	
PATTEN & PATTEN	025	RHHBY	S	85	42.07	n/a	n/a	4.25	5.0	
MERRILL ASSET/BLACKROCK	297	RLI	S	1,299	74.03	n/a	n/a	51.96	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
HAHN CAPITAL MANAGEMENT	084	ROP	В	1,141	86.35	n/a	n/a	57.05	5.0
HAHN CAPITAL MANAGEMENT	084	ROST	В	10,198	48.57	n/a	2-Dec	509.90	5.0
PATTEN & PATTEN	025	RSG	В	200	27.72	n/a	n/a	10.00	5.0
DEVENNY CAP LLC	044	RS	В	2,500	47.81	n/a	n/a	75.00	3.0
MERRILL ASSET/BLACKROCK	297	SF	В	8,500	32.24	n/a	n/a	340.00	4.0
PATTEN & PATTEN	025	SLB	В	100	67.25	n/a	n/a	5.00	5.0
M&I FUNDS	047	SPR	В	28 , 389	20.75	n/a	11-Nov	1,135.56	4.0
PATTEN & PATTEN	025	SPY	В	4,000	125.22	n/a	n/a	200.00	5.0
PATTEN & PATTEN	025	SRZ	S	400	6.15	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	STI	S	300	17.35	n/a	n/a	15.00	5.0
HAHN CAPITAL MANAGEMENT	084	SUG	В	1,936	42.35	n/a	n/a	96.80	5.0
DEVENNY CAP LLC	044	TEN	S	15,000	28.95	n/a	n/a	450.00	3.0
PATTEN & PATTEN	025	TEVA	S	510	41.19	n/a	27-Dec	25.50	5.0
PATTEN & PATTEN	025	TGT	В	30	51.83	n/a	2-Dec	1.50	5.0
PATTEN & PATTEN	025	TM	S	200	64.18	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
DEVENNY CAP LLC	044	TRW	S	10,000	31.65	n/a	n/a	300.00 3.0
PATTEN & PATTEN	025	Т	В	100	30.05	n/a	n/a	5.00 5.0
DEVENNY CAP LLC	044	UPS	В	2,500	72.64	n/a	n/a	75.00 3.0
PATTEN & PATTEN	025	UTX	S	50	73.27	n/a	n/a	2.50 5.0
PATTEN & PATTEN	025	VMC	S	100	38.64	n/a	n/a	5.00 5.0
PATTEN & PATTEN	025	VWO	В	425	37.84	n/a	n/a	21.25 5.0
HAHN CAPITAL MANAGEMENT	084	WAB	В	5,144	68.09	n/a	n/a	257.20 5.0
BNP PARIBAS SEC	040	WRC	В	10,000	49.40	n/a	4-Nov	500.00 5.0
PATTEN & PATTEN	025	XBI	S	200	65.82	n/a	n/a	10.00 5.0
PATTEN & PATTEN	025	XLS	S	450	9.25	n/a	n/a	22.50 5.0
PATTEN & PATTEN	025	XYL	S	450	25.46	n/a	n/a	22.50 5.0
TALPION LLC	040	YHOO	В	13,500	15.90	n/a	n/a	540.00 4.0

TOTAL (Trade Date): 22,963.90

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	12/28	SIMMONS VENTURES (SIMMJPM)	041	HWD	В	7,500	10.20	n/a	n/a	300.00	4.0
TOTAL	(AO,	CXL, CRT):								300.00	
TOTAL	(Trad	e Date):							22,	963.90	
TOTAL	(AO,	CXL, CRT):								300.00	
шошат.	(RUN	DATE) / NFS:							23	263.90	

Legend:

O: 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