



## Daily Compliance Activity Report

Trade Date: 11/19/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	ARO	B	58,117	13.37	n/a	n/a	1,743.51	3.0
ROSEDALE CAPITAL	046	BSX	B	20,000	5.20	n/a	n/a	600.00	3.0
SIGMA CAPITAL ASSOCIATES	041	CHS	S	50,000	18.08	n/a	5-Feb	1,750.00	3.5
PATTEN & PATTEN	025	CNR	S	200	85.19	n/a	n/a	10.00	5.0
OZ MGMT	040	CSCO	C	125,000	18.19	n/a	19-Nov	3,750.00	0.0
PATTEN & PATTEN	025	CSCO	B	800	18.24	n/a	19-Nov	40.00	5.0
HOLLIS CAPITAL	033	C	B	5,000	36.13	n/a	19-Nov	250.00	5.0
PARAMETER CAPITAL MGMT LLC	044	C	B	30,000	36.19	n/a	19-Nov	1,200.00	4.0
SANDLER O'NEILL ASSET	031	C	S	15,000	36.04	n/a	19-Nov	750.00	5.0
BESSEMER INVESTMENT	085	DE	B	300	86.05	n/a	11-Jul	12.00	4.0
CRAMER ROSENTHAL	070	EL	B	91,330	57.33	n/a	13-Nov	3,653.20	0.0
ADAGE CAPITAL MGMT	030	EXPR	B	134,334	11.26	n/a	n/a	4,030.02	3.0
OZ MGMT	040	F	C	40,022	10.67	n/a	15-Nov	1,200.66	0.0
PECONIC PARTNERS	036	F	B	150,000	10.80	n/a	15-Nov	7,500.00	0.0
KLEINHEINZ CAP PART	031	GIL	S	106,158	33.00	n/a	18-Oct	5,307.90	5.0
IVORY CAPITAL	034	GIS	SS	37,000	40.27	n/a	n/a	1,850.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	GLW	S	450	11.01	n/a	24-Oct	22.50	5.0
FIRST NY SEC/CHRIS	041	GM	B	10,000	24.64	n/a	15-Nov	500.00	5.0
TIDE POINT CAPITAL	034	GPI	B	3,000	59.12	n/a	15-Nov	90.00	0.0
DAVIDSON KEMPNER ADVISOR	040	HFC	C	10,000	43.64	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	INTC	S	600	20.11	n/a	n/a	30.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	35.53	n/a	25-Oct	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	25,000	35.24	n/a	25-Oct	1,250.00	5.0
SANDLER O'NEILL ASSET	031	JPM	B	15,000	40.46	n/a	19-Nov	750.00	5.0
CATAPULT CAP/DEFRANCO	040	KEX	SS	5,387	56.42	n/a	n/a	215.48	0.0
IVORY CAPITAL	034	KO	SS	72,800	37.12	n/a	22-Oct	3,640.00	0.0
SAC TRADING TOM LEDDY	035	KSS	B	15,000	51.78	n/a	9-Nov	525.00	3.5
SUN AMERICA ASSET MGMT	030	LCC	B	62,300	11.81	n/a	19-Nov	2,492.00	0.0
MARSICO CAPITAL	088	LOW	S	88,252	33.89	n/a	19-Nov	3,530.08	0.0
SCOPUS FUND	041	PAG	B	15,363	28.56	n/a	5-Nov	614.52	4.0
PATTEN & PATTEN	025	PHO	S	600	19.40	n/a	n/a	30.00	5.0
ROYCE TRADING	031	PLCE	B	1,500	46.67	n/a	15-Nov	75.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	SBUX	B	66,125	49.73	n/a	15-Nov	2,645.00	4.0
OZ MGMT	040	SBUX	B	65,000	49.84	n/a	15-Nov	1,950.00	0.0
TRUST CO/COWEN/CALF.	040	SLM	B	108,895	16.90	n/a	15-Nov	4,355.80	0.0
PZENA INV ADV	044	SPLS	S	30,000	11.98	n/a	n/a	1,050.00	0.0
PATTEN & PATTEN	025	SWN	S	50	35.79	n/a	15-Nov	2.50	5.0
OZ MGMT	040	TGT	B	7,532	62.85	n/a	15-Nov	225.96	0.0
BNP PARIBAS SEC	040	WAG	B	30,000	32.54	n/a	n/a	900.00	3.0
SAC TRADING TOM LEDDY	035	WMT	B	25,000	68.28	n/a	15-Nov	875.00	3.5
LEVIN CAPITAL STRATEGIES	041	XRT	C	45,200	61.65	n/a	n/a	1,356.00	0.0
<b>TOTAL (Trade Date):</b>								<b>62,322.13</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/16	PATTEN & PATTEN (PATTPERSHI)	025	CVX	S	150	102.09	n/a	n/a	7.50 5.0
AO,CXL	11/16	PATTEN & PATTEN (PATTSCHWAB)	025	CVX	S	150	102.09	n/a	n/a	7.50 5.0
AO,CRT	11/16	PATTEN & PATTEN (PATTPERSHI)	025	DVN	S	190	52.31	n/a	15-Nov	9.50 5.0
AO,CXL	11/16	PATTEN & PATTEN (PATTSCHWAB)	025	DVN	S	190	52.31	n/a	15-Nov	9.50 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	62,322.13
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>62,322.13</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