

Daily Compliance Activity Report Trade Date: 12/21/2012

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
EDGEWOOD	085	AAPL	В	751	515.94	n/a	n/a	37.56	0.0
PATTEN & PATTEN	025	AAPL	В	30	516.07	n/a	n/a	1.50	5.0
PATTEN & PATTEN	025	AGG	В	100	111.17	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	AGG	S	1,000	111.16	n/a	n/a	50.00	5.0
EDGEWOOD	085	AGN	В	2,215	92.08	n/a	17-Dec	110.75	0.0
EDGEWOOD	085	AMT	В	4,810	76.73	n/a	n/a	240.50	0.0
EDGEWOOD	085	AMZN	В	1,627	257.04	n/a	n/a	81.35	0.0
PATTEN & PATTEN	025	APA	S	485	79.26	n/a	20-Dec	24.25	5.0
PATTEN & PATTEN	025	APC	В	200	75.70	n/a	20-Dec	10.00	5.0
PATTEN & PATTEN	025	APC	S	100	75.69	n/a	20-Dec	5.00	5.0
PATTEN & PATTEN	025	APD	S	200	84.58	n/a	13-Dec	10.00	5.0
PZENA INV ADV	044	ARO	S	350	13.38	n/a	n/a	12.25	0.0
ACK ASSET	028	ATVI	SS	280,000	10.65	n/a	n/a	8,400.00	0.0
PATTEN & PATTEN	025	AXP	В	600	57.35	n/a	20-Dec	30.00	5.0
TIDE POINT CAPITAL	034	ВНР	В	10,000	77.15	n/a	n/a	300.00	0.0
SPARTAN	093	BKW	SS	12,000	16.56	n/a	n/a	360.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PZENA INV ADV	044	BP	В	34,350	41.90	n/a	n/a	1,202.32	0.0
PATTEN & PATTEN	025	CBI	В	25	44.98	n/a	n/a	1.25	5.0
HOLLIS CAPITAL	033	CBS	В	3,000	37.31	n/a	n/a	150.00	5.0
M&I FUNDS	047	CBS	S	3,368	37.30	n/a	n/a	134.72	4.0
M&I FUNDS	047	CCE	В	6 , 705	31.76	n/a	n/a	268.20	4.0
EDGEWOOD	085	CELG	В	5,633	79.18	n/a	n/a	281.65	0.0
M&I FUNDS	047	СНКР	В	20,369	47.25	n/a	n/a	814.76	4.0
EDGEWOOD	085	CME	В	6,082	51.00	n/a	28-Apr	304.10	0.0
EDGEWOOD	085	CMG	В	1,457	287.25	n/a	19-Oct	72.85	0.0
EDGEWOOD	085	СОН	В	6,231	57.72	n/a	5-Nov	311.55	0.0
PATTEN & PATTEN	025	CSCO	В	900	19.94	n/a	14-Dec	45.00	5.0
EDGEWOOD	085	CTSH	В	7,701	73.40	n/a	n/a	385.05	0.0
PATTEN & PATTEN	025	CWB	В	750	40.39	n/a	n/a	37.50	5.0
M&I FUNDS	047	СҮН	S	3,939	30.63	n/a	n/a	157.56	4.0
HOLLIS CAPITAL	033	DAN	S	10,000	15.10	n/a	31-Oct	500.00	5.0
M&I FUNDS	047	DAR	В	22,801	15.78	n/a	n/a	912.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN	025	DD	S	400	44.84	n/a	14-Dec	20.00	5.0
PATTEN & PATTEN	025	DHR	В	75	55.97	n/a	n/a	3.75	5.0
M&I FUNDS	047	DLPH	В	4,158	35.97	n/a	n/a	166.32	4.0
PATTEN & PATTEN	025	DLR	В	415	67.81	n/a	n/a	20.75	5.0
PATTEN & PATTEN	025	DOW	S	50	32.04	n/a	19-Dec	2.50	5.0
CASTLEROCK	040	DRI	В	5,000	44.71	n/a	21-Dec	200.00	0.0
EDGEWOOD	085	ECL	В	3,844	71.72	n/a	18-Dec	192.20	0.0
PATTEN & PATTEN	025	ETN	В	200	54.10	n/a	4-Dec	10.00	5.0
PZENA INV ADV	044	FBHS	S	600	29.60	n/a	n/a	21.00	0.0
PATTEN & PATTEN	025	FCX	В	1,200	33.37	n/a	n/a	60.00	5.0
DECADE CAPITAL PARTNERS	040	FITB	S	51,600	15.08	n/a	n/a	2,064.00	0.0
NOMURA/ANGEL LANE PRINCIP	AL040	FL	В	30,000	33.59	n/a	21-Dec	900.00	3.0
M&I FUNDS	047	FRX	S	2,372	35.16	n/a	17-Dec	94.88	4.0
EDGEWOOD	085	GILD	В	2 , 177	73.25	n/a	n/a	108.85	0.0
M&I FUNDS	047	GILD	S	2,714	72.85	n/a	n/a	108.56	4.0
BRONSON POINT	036	GM	В	50,000	26.94	n/a	21-Dec	1,500.00	0.0

Account	RR		ol B/S	Shares	Price	MRI	Research		¢/Shr.	
WOOSTER CAPIT.	AL 03	5 GM	В	50,000	27.24	n/a	21-Dec	2,000.00	4.0	
EDGEWOOD	08	5 G00G	В	634	715.21	n/a	n/a	31.71	0.0	
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M&I FUNDS	04	7 GS	В	2,308	128.15	n/a	20-Dec	92.32	4.0	
				105	50.00	,	,	6.05	5 .0	
PATTEN & PATT	EN 02	5 HDV	S	125	59.32	n/a	n/a	6.25	5.0	
	ENI 001	F HVC	D	250	02 54	- /-	- /-	12 50	F 0	
PATTEN & PATT	EN 02:	5 HYG	В	250	93.54	n/a	n/a	12.50	5.0	
ACK ASSET	028	8 IFSI <i>I</i>	A B	12,898	15.84	n/a	n/a	386.94	0.0	
ACK ASSEI	020	0 11311	-1 D	12,090	13.04	11/ a	II/ d	300.94	0.0	
EDGEWOOD	08	5 IHS	В	3,928	96.59	n/a	n/a	196.40	0.0	
EDGEWOOD	00.	5 1115	Д	3, 320	J0.JJ	117 a	11/ α	190.40	0.0	
PATTEN & PATT	EN 02	5 ILF	В	200	43.42	n/a	n/a	10.00	5.0	
		0 121	_	200	10.12	11, 4	11/ 02	10.00	0.0	
EDGEWOOD	08	5 ILMN	В	7,227	55.69	n/a	n/a	361.35	0.0	
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PATTEN & PATT	EN 02	5 INTC	В	250	20.75	n/a	n/a	12.50	5.0	
PATTEN & PATT	EN 02	5 INTC	S	300	20.74	n/a	n/a	15.00	5.0	
PATTEN & PATT	EN 02	5 IP	В	310	39.32	n/a	18-Dec	15.50	5.0	
EDGEWOOD	08	5 ISRG	В	730	491.65	n/a	n/a	36.50	0.0	
PATTEN & PATT	EN 02	5 IYE	S	150	41.14	n/a	n/a	7.50	5.0	
J. GOLDMAN	028	8 JWN	S	10,000	52.50	n/a	30-Nov	400.00	4.0	
PATTEN & PATT	EN 02	5 JWN	В	1,050	52.10	n/a	30-Nov	52.50	5.0	
SANDLER CAPIT	AL 023	8 KORS	S	87 , 500	52.94	n/a	14-Nov	4,375.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
MACELLUM CAPITAL	086	LF	S	86,300	7.79	n/a	n/a	2,589.00	3.0
M&I FUNDS	047	LII	S	3 , 773	52.05	n/a	n/a	150.92	4.0
PATTEN & PATTEN	025	LLY	В	50	49.05	n/a	n/a	2.50	5.0
MACELLUM CAPITAL	086	LZB	S	48,100	14.01	n/a	n/a	1,443.00	3.0
PATTEN & PATTEN	025	MDLZ	В	390	25.65	n/a	n/a	19.50	5.0
BRIGADE CAPITAL MGMT	029	MGM	С	100,000	11.71	n/a	13-Jun	5,000.00	0.0
PATTEN & PATTEN	025	MIC	В	265	45.25	n/a	n/a	13.25	5.0
EDGEWOOD	085	MJN	В	4,489	65.64	n/a	n/a	224.45	0.0
PATTEN & PATTEN	025	NEE	В	50	70.09	n/a	n/a	2.50	5.0
DAVIDSON KEMPNER ADVISOR	040	NXY	В	50,000	26.65	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	OXY	S	100	77.88	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	PCH	S	250	38.69	n/a	21-Dec	12.50	5.0
DAVIDSON KEMPNER ADVISOR	040	PCS	В	10,000	9.80	n/a	n/a	300.00	0.0
DAVIDSON KEMPNER ADVISOR	040	PENN	В	5,000	48.50	n/a	n/a	150.00	0.0
PATTEN & PATTEN	025	РНВ	В	100	19.23	n/a	n/a	5.00	5.0
	MACELLUM CAPITAL M&I FUNDS PATTEN & PATTEN MACELLUM CAPITAL PATTEN & PATTEN BRIGADE CAPITAL MGMT PATTEN & PATTEN EDGEWOOD PATTEN & PATTEN DAVIDSON KEMPNER ADVISOR PATTEN & PATTEN DAVIDSON KEMPNER ADVISOR DAVIDSON KEMPNER ADVISOR	MACELLUM CAPITAL 086 M&I FUNDS 047 PATTEN & PATTEN 025 MACELLUM CAPITAL 086 PATTEN & PATTEN 025 BRIGADE CAPITAL MGMT 029 PATTEN & PATTEN 025 EDGEWOOD 085 PATTEN & PATTEN 025 DAVIDSON KEMPNER ADVISOR 040 PATTEN & PATTEN 025 PATTEN & PATTEN 025 PATTEN & PATTEN 025 DAVIDSON KEMPNER ADVISOR 040 DAVIDSON KEMPNER ADVISOR 040 DAVIDSON KEMPNER ADVISOR 040	MACELLUM CAPITAL 086 LF M&I FUNDS 047 LII PATTEN & PATTEN 025 LLY MACELLUM CAPITAL 086 LZB PATTEN & PATTEN 025 MDLZ BRIGADE CAPITAL MGMT 029 MGM PATTEN & PATTEN 025 MIC EDGEWOOD 085 MJN PATTEN & PATTEN 025 NEE DAVIDSON KEMPNER ADVISOR 040 NXY PATTEN & PATTEN 025 PCH DAVIDSON KEMPNER ADVISOR 040 PCS DAVIDSON KEMPNER ADVISOR 040 PENN	MACELLUM CAPITAL 086 LF S M&I FUNDS 047 LII S PATTEN & PATTEN 025 LLY B MACELLUM CAPITAL 086 LZB S PATTEN & PATTEN 025 MDLZ B BRIGADE CAPITAL MGMT 029 MGM C PATTEN & PATTEN 025 MIC B EDGEWOOD 085 MJN B PATTEN & PATTEN 025 NEE B DAVIDSON KEMPNER ADVISOR 040 NXY B PATTEN & PATTEN 025 PCH S DAVIDSON KEMPNER ADVISOR 040 PCS B DAVIDSON KEMPNER ADVISOR 040 PCS B DAVIDSON KEMPNER ADVISOR 040 PEN B	MACELLUM CAPITAL 086 LF S 86,300 M&I FUNDS 047 LII S 3,773 PATTEN & PATTEN 025 LLY B 50 MACELLUM CAPITAL 086 LZB S 48,100 PATTEN & PATTEN 025 MDLZ B 390 BRIGADE CAPITAL MGMT 029 MGM C 100,000 PATTEN & PATTEN 025 MIC B 265 EDGEWOOD 085 MJN B 4,489 PATTEN & PATTEN 025 NEE B 50 DAVIDSON KEMPNER ADVISOR 040 NXY B 50,000 PATTEN & PATTEN 025 PCH S 250 DAVIDSON KEMPNER ADVISOR 040 PCS B 10,000 DAVIDSON KEMPNER ADVISOR 040 PCS B 5,000	MACELLUM CAPITAL 086 LF S 86,300 7.79 M&I FUNDS 047 LII S 3,773 52.05 PATTEN & PATTEN 025 LLY B 50 49.05 MACELLUM CAPITAL 086 LZB S 48,100 14.01 PATTEN & PATTEN 025 MDLZ B 390 25.65 BRIGADE CAPITAL MGMT 029 MGM C 100,000 11.71 PATTEN & PATTEN 025 MIC B 265 45.25 EDGEWOOD 085 MJN B 4,489 65.64 PATTEN & PATTEN 025 NEE B 50,000 26.65 PATTEN & PATTEN 025 OXY S 100 77.88 PATTEN & PATTEN 025 PCH S 250 38.69 DAVIDSON KEMPNER ADVISOR 040 PCS B 10,000 9.80 DAVIDSON KEMPNER ADVISOR 040 PCS B 10,000 9.80	MACELLUM CAPITAL	MACELLUM CAPITAL 086 LF S 86,300 7.79 n/a n/a n/a M&I FUNDS 047 LII S 3,773 52.05 n/a n/a n/a PATTEN & PATTEN 025 LLY B 50,000 11.71 n/a n/a n/a PATTEN & PATTEN 025 MIC B 265 45.25 n/a n/a n/a PATTEN 6 PATTEN 025 MIC B 265 45.25 n/a n/a n/a PATTEN 6 PATTEN 025 MIC B 265 45.25 n/a n/a n/a PATTEN 6 PATTEN 025 MIC B 365.64 n/a n/a n/a PATTEN 6 PATTEN 025 NEE B 50,000 26.65 n/a n/a n/a PATTEN 6 PATTEN 025 NEE B 50,000 26.65 n/a n/a n/a PATTEN 6 PATTEN 025 NEE B 50,000 26.65 n/a n/a n/a PATTEN 6 PATTEN 025 PCH S 250 38.69 n/a 21-Dec DAVIDSON KEMPNER ADVISOR 040 PCS B 10,000 9.80 n/a n/a n/a DAVIDSON KEMPNER ADVISOR 040 PCS B 10,000 9.80 n/a n/a n/a DAVIDSON KEMPNER ADVISOR 040 PCS B 10,000 9.80 n/a n/a n/a DAVIDSON KEMPNER ADVISOR 040 PCS B 10,000 9.80 n/a n/a n/a	MACELLUM CAPITAL 086 LF S 86,300 7.79

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN	025	PKB	В	200	17.26	n/a	n/a	10.00	5.0
SCOPUS FUND	041	POT	S	30,500	39.84	n/a	n/a	1,220.00	4.0
COLUMBUS CIRCLE	036	PPG	В	2,000	133.50	n/a	14-Dec	80.00	0.0
PATTEN & PATTEN	025	PSX	В	100	52.10	n/a	n/a	5.00	5.0
EDGEWOOD	085	PX	В	2,001	109.43	n/a	13-Dec	100.05	0.0
EDGEWOOD PATTEN & PATTEN	085 025	QCOM QCOM	В	6 , 528	62.38 62.27	n/a n/a	n/a n/a	326.40 3.75	0.0
TATION W TATION		QCOM		73	02.27	11/ a		3.73	
PATTEN & PATTEN	025	RHT	В	200	54.91	n/a	n/a	10.00	5.0
MAIRS AND POWER INV	030	SLB	В	10,000	69.21	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	SNI	В	300	58.01	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	SPY	S	50	142.62	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	SRZ	S	1,000	14.40	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	TFM	В	675	49.38	n/a	n/a	33.75	5.0
PATTEN & PATTEN	025	TRN	В	350	35.53	n/a	n/a	17.50	5.0
EDGEWOOD	085	TROW	В	6,941	65.95	n/a	n/a	347.05	0.0
PATTEN & PATTEN	025	TSCO	В	50	88.42	n/a	n/a	2.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
M&I FUNDS	047	USB	S	2,481	32.39	n/a	n/a	99.24	4.0
EDGEWOOD	085	VIAB	В	6 , 087	53.04	n/a	n/a	304.35	0.0
EDGEWOOD	085	V	В	3,198	151.38	n/a	20-Dec	159.90	0.0
DECADE CAPITAL PARTNERS	040	WFC	В	21,900	34.28	n/a	21-Dec	876.00	0.0
M&I FUNDS	047	WFC	S	2,263	34.41	n/a	21-Dec	90.52	4.0
CSFB GLOBAL PROPRIETARY	041	WY	В	15 , 000	28.10	n/a	21-Dec	750.00	5.0
BRIGADE CAPITAL MGMT	029	XLI	С	120,000	37.89	n/a	n/a	6,000.00	0.0
PATTEN & PATTEN	025	XLV	В	200	40.21	n/a	n/a	10.00	5.0
CASTLEROCK	040	YUM	SS	5,215	64.14	n/a	7-Dec	208.60	4.0
EDGEWOOD	085	YUM	В	4,427	63.81	n/a	7-Dec	221.35	0.0
PATTEN & PATTEN	025	YUM	В	126	63.72	n/a	7-Dec	6.30	5.0

TOTAL (Trade Date): 51,608.87

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	12/18	PATTEN & PATTEN (PATTPERSHI)	025	ETN	В	50	54.00	n/a	4-Dec	2.50	5.0
AO, CRT	12/18	PATTEN & PATTEN (PATTPERSHI)	025	ETN	В	50	54.00	n/a	4-Dec	2.50	5.0
CRT	12/21	,	035			50,000	27.24		21-Dec	2000.00	4.0
CRI	12/21	WOOSTER CAPITAL (WOOSGOLDMA)	035	GM	В	50,000	21.24	n/a	Z1-Dec	2000.00	4.0
AO,CXL	12/20	COBALT (COBAJPM)	041	RYN	В	48,900	51.15	n/a	31-0ct	1956.00	4.0
AO, CRT	12/20	COBALT (COBAUBS)	041	RYN	В	48,900	51.15	n/a	31-0ct	1956.00	4.0
AO,CXL	12/20	OMEGA ADVISORS (OMGATEACHE)	041	TEVA	S	32,300	37.95	n/a	17-Dec	969.00	0.0
AO,	12/20	OMEGA ADVISORS (OMGATEACHE)	041	TEVA	S	32,300	37.95	n/a	17-Dec	1292.00	0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGARUSS)	041	TEVA	S	3,400	37.95	n/a	17-Dec	102.00	0.0
AO,	12/20	OMEGA ADVISORS (OMGARUSS)	041	TEVA	S	3,400	37.95	n/a	17-Dec	136.00	0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGADEUTCH)	041	TEVA	S	2,300	37.95	n/a	17-Dec	69.00	0.0
AO,	12/20	OMEGA ADVISORS (OMGADEUTCH)	041	TEVA	S	2,300	37.95	n/a	17-Dec	92.00	0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGAMORGAN)	041	TEVA	S	13,200	37.95	n/a	17-Dec	396.00	0.0
AO,	12/20	OMEGA ADVISORS (OMGAMORGAN)	041	TEVA	S	13,200	37.95	n/a	17-Dec	528.00	0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGAGS O)	041	TEVA	S	215,670	37.95	n/a	17-Dec	6470.10	0.0
AO,	12/20	OMEGA ADVISORS (OMGAGS O)	041	TEVA	S	215,670	37.95	n/a	17-Dec	8626.80	0.0

TOTAL (AO, CXL, CRT):	4,668.70
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TOTAL (Trade Date):	51,608.87
TOTAL (AO, CXL, CRT):	4,668.70

TOTAL (RUN DATE) / NFS: 56,277.57

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