



Daily Compliance Activity Report

Trade Date: 11/02/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AET	B	1,750	43.87	n/a	n/a	70.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	ANF	B	10,000	33.04	n/a	16-Aug	300.00	3.0
PATTEN & PATTEN	025	APC	B	100	70.34	n/a	31-Oct	5.00	5.0
BALYASNY ASSET MGMT	044	ARCO	C	50,000	12.50	n/a	2-Nov	2,500.00	0.0
CASTLEROCK	040	ARCO	SS	106,235	12.36	n/a	2-Nov	4,249.40	0.0
MERCHANTS GATE CAP LP	036	ARCO	C	50,000	12.59	n/a	2-Nov	2,000.00	0.0
OZ MGMT	040	ARCO	C	57,504	12.39	n/a	2-Nov	1,725.12	0.0
OZ MGMT	040	ARCO	SS	57,504	12.61	n/a	2-Nov	1,725.12	0.0
KAM ADVISORS LLC	041	AXL	B	164,800	10.55	n/a	2-Nov	4,944.00	0.0
PATTEN & PATTEN	025	AXP	B	50	56.87	n/a	2-Nov	2.50	5.0
PATTEN & PATTEN	025	CSCO	S	600	17.48	n/a	9-Oct	30.00	5.0
BESSEMER INVESTMENT	085	CTL	S	2,000	38.71	n/a	n/a	80.00	4.0
PATTEN & PATTEN	025	DD	B	130	44.79	n/a	23-Oct	6.50	5.0
SCOPUS FUND	041	DG	S	100,000	48.01	n/a	5-Sep	4,000.00	4.0
BRONSON POINT	036	DIS	B	25,000	49.80	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	DOW	S	200	30.04	n/a	24-Oct	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PATTEN & PATTEN	025	EEM	S	300	41.72	n/a	n/a	15.00	5.0	
PECONIC PARTNERS	036	F	S	300,000	11.29	n/a	2-Nov	15,000.00	0.0	
CAMBIAR CAP	046	GLW	S	184,925	11.84	n/a	24-Oct	7,397.00	0.0	
FORTRESS INVESTMENT (US)	036	GM	B	115,000	25.92	n/a	2-Nov	4,600.00	0.0	
LEVIN CAPITAL STRATEGIES	041	GM	S	10,000	25.89	n/a	2-Nov	300.00	0.0	
PATRIOT STRATEGY PARTNERS	036	GM	B	30,000	25.84	n/a	2-Nov	1,200.00	0.0	
MACELLUM CAPITAL	086	GPS	SS	31,510	35.27	n/a	n/a	945.30	3.0	
OHIO PERS	047	HOG	B	36,000	48.03	n/a	n/a	1,080.00	0.0	
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	30.87	n/a	31-Oct	400.00	0.0	
KENNEDY CAPITAL	046	ICON	S	58,091	19.60	n/a	n/a	2,323.64	0.0	
PATTEN & PATTEN	025	IP	B	50	36.17	n/a	25-Oct	2.50	5.0	
PATTEN & PATTEN	025	IXN	B	150	66.29	n/a	n/a	7.50	5.0	
PATTEN & PATTEN	025	KRE	B	25	28.10	n/a	n/a	1.25	5.0	
COOPER CREEK PART	028	LPX	B	36,000	15.97	n/a	15-Oct	1,440.00	4.0	
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	15.91	n/a	15-Oct	1,500.00	5.0	
CAPITAL RESEARCH GROUP		296	LUV	S	457,900	9.04	n/a	n/a	16,026.50	0.0
INTERVAL PARTNERS	033	MAS	SS	20,000	16.03	n/a	n/a	600.00	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	M	SS	25,000	40.63	n/a	2-Nov	1,000.00	4.0
NEWLAND CAPITAL MGT	025	PAG	B	5,000	29.58	n/a	18-Oct	200.00	4.0
OHIO PERS	047	PFG	S	61,626	28.10	n/a	n/a	1,848.78	0.0
SHEFFIELD ASSET MGMT	031	PKG	S	20,000	36.03	n/a	16-Oct	800.00	4.0
TALPION LLC	040	QEP	B	3,900	28.37	n/a	n/a	156.00	0.0
COOPER CREEK PART	028	RKT	B	5,900	67.36	n/a	15-Oct	236.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	69.29	n/a	15-Oct	750.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	RL	B	10,000	162.99	n/a	18-Oct	300.00	3.0
HOPLITE MGMT	025	SBUX	B	69,030	51.17	n/a	2-Nov	2,761.20	0.0
SENATOR INVESTMENT GROUP	036	SBUX	B	150,000	50.67	n/a	2-Nov	4,500.00	3.0
PATTEN & PATTEN	025	SLB	B	200	69.54	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	SPY	S	50	142.70	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	SRZ	S	300	14.42	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	SWN	S	200	35.04	n/a	2-Nov	10.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	TGT	SS	20,000	63.25	n/a	1-Nov	600.00	3.0
PATTEN & PATTEN	025	TOL	B	75	33.09	n/a	n/a	3.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAM ADVISORS LLC	041	USG	S	83,100	26.94	n/a	22-Oct	2,493.00	0.0
PATTEN & PATTEN	025	UTX	B	1,200	79.32	n/a	n/a	60.00	5.0
EATON VANCE MGMT	029	VOD	S	500,000	27.02	n/a	n/a	15,000.00	0.0
PATTEN & PATTEN	025	VWO	B	300	42.00	n/a	n/a	15.00	5.0
CR INTRINIC INVESTMENT	044	WNC	B	25,000	7.45	n/a	n/a	875.00	3.5
TOTAL (Trade Date):							106,872.56		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/31	PATTEN & PATTEN (PATTMERR)	025	EWC	S	60	28.43	n/a	n/a	3.00	5.0
AO,CXL	10/31	PATTEN & PATTEN (PATTPERSHI)	025	EWC	S	60	28.43	n/a	n/a	3.00	5.0
AO,CRT	10/31	PATTEN & PATTEN (PATTMERR)	025	GLD	S	10	166.59	n/a	n/a	0.50	5.0
AO,CXL	10/31	PATTEN & PATTEN (PATTSCHWAB)	025	GLD	S	10	166.59	n/a	n/a	0.50	5.0
AO,CRT	10/31	PATTEN & PATTEN (PATTMERR)	025	OXY	S	20	79.80	n/a	n/a	1.00	5.0
AO,CXL	10/31	PATTEN & PATTEN (PATTSCHWAB)	025	OXY	S	20	79.80	n/a	n/a	1.00	5.0
AO,CRT	10/31	PATTEN & PATTEN (PATTMERR)	025	RDSA	S	20	69.03	n/a	n/a	1.00	5.0
AO,CXL	10/31	PATTEN & PATTEN (PATTSCHWAB)	025	RDSA	S	20	69.03	n/a	n/a	1.00	0.0

TOTAL (AO, CXL, CRT) :**0.00**

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106,872.56

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0.00

TOTAL (RUN DATE) / NFS :**106,872.56**

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