

## **Daily Compliance Activity Report** Trade Date: 02/22/2011

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

-		TOTELVILLE MAKETOI					TRUBL VIOLATIONS: 0			
	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	PATTEN & PATTEN	025	AA	В	1,000	16.98	n/a	n/a	50.00	5.0
	EPOCH INV MGMT	030	ABT	S	750	47.06	n/a	n/a	22.50	3.0
	BALYASNY ASSET MGMT	044	AEO	S	25,000	15.39	n/a	4-Feb	1,250.00	5.0
	EPOCH INV MGMT	030	AET	S	1,100	37.83	n/a	n/a	33.00	3.0
	PATTEN & PATTEN	025	AINV	В	1,250	12.02	n/a	n/a	62.50	5.0
	PATTEN & PATTEN	025	AMLP	В	15,000	16.42	n/a	n/a	750.00	5.0
	EPOCH INV MGMT	030	AMP	S	1,150	63.24	n/a	n/a	34.50	3.0
	EPOCH INV MGMT	030	AMTD	S	1,100	21.30	n/a	n/a	33.00	3.0
	CADIAN CAPITAL	041	ANF	S	100,000	58.65	n/a	17-Feb	3,000.00	3.0
	COOPER CREEK PART	028	AXL	SS	5,800	13.92	n/a	9-Feb	232.00	4.0
	EPOCH INV MGMT	030	AXP	S	750	44.80	n/a	22-Feb	22.50	3.0
	BARROW HANLEY MEWHINNEY	031	BAX	В	25,000	52.70	n/a	n/a	875.00	3.5
	BUCK CAPITAL MGMT	001	BA	В	14,000	72.14	n/a	15-Feb	420.00	3.0
	EPOCH INV MGMT	030	ВА	S	650	71.89	n/a	15-Feb	19.50	3.0
	EPOCH INV MGMT	030	BEN	S	500	127.32	n/a	2-Mar	15.00	3.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
	PATTEN & PATTEN	025	вто	В	19,750	18.03	n/a	n/a	987.50	5.0	
	WADDELL AND REED	047	BX	В	250,000	17.17	n/a	n/a	7,500.00	3.0	
õ	Nilsa Vazquez		BZH	В	1000	4.8692	n/a	n/a	0.00	0.0	
	PATTEN & PATTEN	025	СНК	В	5,100	31.96	n/a	n/a	255.00	5.0	
	EPOCH INV MGMT	030	CMCSK	S	2,550	24.05	n/a	n/a	76.50	3.0	
	EPOCH INV MGMT	030	CSC	S	450	48.48	n/a	n/a	13.50	3.0	
	PATTEN & PATTEN	025	CSJ	В	500	104.64	n/a	n/a	25.00	5.0	
	WEDBUSH/PACIFIC GROWTH EQ	QTY LLCO	84 CVG	I	s 7	,200 17.89		n/a	n/a 360	0.00	5.0
	NEUBERGER BERMAN	036	DDR	В	30,000	13.83	n/a	n/a	1,200.00	4.0	
	EPOCH INV MGMT	030	DD	S	950	54.98	n/a	18-Feb	28.50	3.0	
	PATTEN & PATTEN	025	DD	В	300	55.13	n/a	18-Feb	15.00	5.0	
	CASTLE ARK	031	DE	S	120,040	91.46	n/a	18-Feb	6,002.00	5.0	
	NEUBERGER BERMAN	036	DLR	В	9,600	56.84	n/a	n/a	384.00	4.0	
	COUGAR TRADING	044	DLTR	В	5,000	52.41	n/a	18-Feb	250.00	5.0	
	PATTEN & PATTEN	025	DVY	S	5 <b>,</b> 350	51.27	n/a	n/a	267.50	5.0	
	PATTEN & PATTEN	025	EPP	S	3,750	46.57	n/a	n/a	187.50	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN	025	EWJ	В	24,000	11.40	n/a	n/a	1,200.00	5.0
AVESTA CAP	229	F	SS	300,000	15.15	n/a	2-Feb	9,000.00	3.0
PATTEN & PATTEN	025	GE	В	2,250	21.07	n/a	n/a	112.50	5.0
PATTEN & PATTEN	025	GLD	S	1,000	136.71	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	GOV	В	10,500	26.62	n/a	n/a	525.00	5.0
SAC TRADING TOM LEDDY	035	GPS	В	25,000	22.66	n/a	n/a	875.00	3.5
BARROW HANLEY MEWHINNEY	031	HD	S	150,900	38.56	n/a	22-Feb	5,281.50	3.5
RBC CAPITAL MARKETS	040	HD	В	40,000	38.93	n/a	22-Feb	1,600.00	4.0
SAXON WOODS ADVISORS	048	IBM	S	38,100	162.48	n/a	n/a	1,524.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	В	30,000	27.66	n/a	3-Feb	1,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	27.97	n/a	3-Feb	1,000.00	5.0
ENTRUST CAPITAL	040	IR	В	40,500	45.99	n/a	10-Feb	2,025.00	5.0
PATTEN & PATTEN	025	ITW	В	400	54.70	n/a	1-Feb	20.00	5.0
PATTEN & PATTEN	025	IXN	В	1,250	64.99	n/a	n/a	62.50	5.0
PATTEN & PATTEN	025	IYM	В	300	80.24	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	IYR	В	650	59.54	n/a	n/a	32.50	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	BARROW HANLEY MEWHINNEY	031	JNJ	В	17,000	60.94	n/a	n/a	595.00	3.5
	PATTEN & PATTEN	025	JNJ	S	1,000	60.60	n/a	n/a	50.00	5.0
	GREEN ARROW DOUG	040	JNY	В	25,000	13.69	n/a	10-Feb	1,250.00	5.0
	NEUBERGER BERMAN	036	KELYA	В	35,000	22.00	n/a	n/a	1,400.00	4.0
	CAERUS GLOBAL	041	KR	S	13,389	23.35	n/a	n/a	535.56	4.0
	GREEN ARROW DOUG	040	KSS	В	22,801	53.13	n/a	7-Feb	1,140.05	5.0
õ	Nilsa Vazquez		MGM	В	250 1	3.9988	n/a	14-Feb	0.00	0.0
	THE JAY GOLDMAN	028	MPEL	В	25,000	7.27	n/a	22-Feb	1,000.00	4.0
	PATTEN & PATTEN	025	MRK	S	2,000	32.52	n/a	n/a	100.00	5.0
	CAXTON PART	040	MS	С	50,000	29.59	n/a	14-Feb	1,750.00	3.5
	BALYASNY ASSET MGMT	044	MW	S	20,000	27.12	n/a	n/a	1,000.00	5.0
	BUCK CAPITAL MGMT	001	М	В	20,000	23.38	n/a	7-Feb	600.00	3.0
	SOROS	036	М	В	83,500	23.88	n/a	7-Feb	3,340.00	4.0
	HILLIARD LYONS CAP MGMT	047	NKE	В	110	88.09	n/a	n/a	3.30	3.0
	PATTEN & PATTEN	025	NLY	В	1,250	17.56	n/a	n/a	62.50	5.0
	PATTEN & PATTEN	025	NUAN	В	11,000	19.26	n/a	n/a	550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
GREEN ARROW DOUG	040	ODP	В	15,000	5.43	n/a	n/a	750.00	5.0
SCHOTTENFELD ASSOC	041	PKG	В	25,000	29.16	n/a	17-Feb	750.00	3.0
SURSUM CAPITAL	215	PVH	SS	10,000	59.40	n/a	1-Feb	300.00	3.0
PATTEN & PATTEN	025	QCOM	В	1,300	58.23	n/a	n/a	65.00	5.0
PATTEN & PATTEN	025	RF	S	900	7.62	n/a	n/a	45.00	5.0
BUCK CAPITAL MGMT	001	RL	В	10,000	124.66	n/a	10-Feb	300.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	RRR	В	62,650	13.30	n/a	12-Jan	2,496.13	4.0
THE JAY GOLDMAN	028	SHO	В	10,000	10.80	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	SRZ	В	10,850	9.15	n/a	n/a	542.50	5.0
PATTEN & PATTEN	025	STI	В	650	31.22	n/a	n/a	32.50	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.39	n/a	n/a	800.00	4.0
BNP PARIBAS SEC	040	TGT	В	25,000	51.56	n/a	18-Feb	1,250.00	5.0
COOPER CREEK PART	028	TIN	SS	10,300	24.60	n/a	8-Feb	412.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	В	50,000	24.16	n/a	8-Feb	1,500.00	3.0
PATTEN & PATTEN	025	Т	S	6,000	28.36	n/a	n/a	300.00	5.0
BUCK CAPITAL MGMT	001	VFC	В	150,000	97.41	n/a	20-Jan	4,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
PATTEN & PATTEN	025	WFC	В	750	31.91	n/a	14-Feb	37.50 5.0
RBC CAPITAL MARKETS	040	WMT	SS	30,000	53.20	n/a	22-Feb	1,200.00 4.0
BNP PARIBAS SEC	040	WRC	SS	10,000	56.08	n/a	20-Jan	500.00 5.0
VISIUM/BALY BOBBY	044	WRC	S	2,100	57.32	n/a	20-Jan	105.00 5.0
PATTEN & PATTEN	025	MOX	S	500	86.05	n/a	n/a	25.00 5.0

TOTAL (Trade Date): 78,881.54

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
AO,CXL	02/18	SANDLER O'NEILL ASSET (SANO)	031	MS	S	45,000	31.00	n/a	14-Feb	2250.00	5.0
AO,	02/18	SANDLER O'NEILL ASSET (SANO)	031	MS	S	45,000	31.00	n/a	14-Feb	2250.00	5.0
CRT	02/22	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	PKG	В	25,000	29.16	n/a	17-Feb	750.00	3.0
AO,CXL	02/18	SCOPUS FUND (SCOPGS)	041	TGT	В	9,496	51.90	n/a	18-Feb	379.84	4.0
AO, CRT	02/18	SCOPUS FUND (SCOPGS)	041	TGT	В	7,156	51.90	n/a	18-Feb	286.24	4.0
AO,CXL	02/18	SCOPUS FUND (SCOPUBS)	041	TGT	В	63,547	51.90	n/a	18-Feb	2541.88	4.0
AO, CRT	02/18	SCOPUS FUND (SCOPUBS)	041	TGT	В	65 <b>,</b> 887	51.90	n/a	18-Feb	2635.48	4.0

TOTAL	(AO, (	CXL, C	CRT):	750.00
		<u> </u>	J-L-	750.00

TOTAL (RUN DATE) / NFS:	79,631.54
TOTAL (AO, CXL, CRT):	750.00
TOTAL (Trade Date):	78,881.54

## 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