



Daily Compliance Activity Report

Trade Date: 03/27/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AGG	B	165	109.73	n/a	n/a	8.25	5.0
CATAPULT	040	AMTD	B	6,471	20.22	n/a	n/a	258.84	4.0
CASTLE ARK	031	AMZN	B	154,820	208.29	n/a	n/a	7,741.00	5.0
SCOPUS FUND	041	ARB	B	10,000	36.84	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	BIG	SS	65,000	46.36	n/a	5-Mar	3,250.00	5.0
PATTEN & PATTEN	025	BTO	B	30	17.35	n/a	n/a	1.50	5.0
ARMATURE CAPITAL	041	CAT	SS	28,240	108.61	n/a	27-Jan	1,129.60	4.0
ARMATURE CAPITAL	041	CAT	S	21,760	108.59	n/a	27-Jan	870.40	4.0
MTB INV ADV	034	CTB	S	10,300	15.97	n/a	n/a	334.75	3.3
PZENA INV ADV	044	C	S	200	36.97	n/a	27-Mar	7.00	3.5
MTB INV ADV	034	DAN	S	20,600	16.21	n/a	22-Feb	669.50	3.3
SENATOR INVESTMENT GROUP	036	DD	B	50,000	53.44	n/a	23-Mar	1,500.00	3.0
CYRUS CAPITAL	025	DHI	B	25,000	15.98	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	DVY	B	80	56.21	n/a	n/a	4.00	5.0
PATTEN & PATTEN	025	EFA	B	85	55.36	n/a	n/a	4.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DE SHAW	070	EMC	S	50,000	29.69	n/a	n/a	1,500.00	3.0
WEINTRAUB CAPITAL MGT.	269	FDO	SS	50,000	58.26	n/a	16-Mar	2,000.00	4.0
MERRILL ASSET/BLACKROCK	297	FNB	S	93,700	12.28	n/a	n/a	3,748.00	4.0
MTB INV ADV	034	FTK	S	14,400	12.79	n/a	n/a	468.00	3.3
TROUBH PART	070	F	S	25,000	12.35	n/a	12-Mar	1,250.00	5.0
TROUBH PART	070	GM	S	40,000	25.54	n/a	2-Mar	2,000.00	5.0
PZENA INV ADV	044	GS	S	2,950	126.72	n/a	26-Mar	103.26	3.5
MTB INV ADV	034	GTLS	S	2,075	74.59	n/a	n/a	67.44	3.3
IMPALA ASSET MMT	040	HAL	S	100,000	32.83	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	HDV	B	30	57.42	n/a	n/a	1.50	5.0
MOORE CAPITAL	041	HTZ	B	18,500	15.00	n/a	n/a	555.00	3.0
SIMMONS VENTURES	041	HWD	B	2,200	14.85	n/a	n/a	88.00	4.0
PATTEN & PATTEN	025	ILF	B	50	48.75	n/a	n/a	2.50	5.0
MELLON/BANK OF NEW YORK	046	IR	B	25,630	41.89	n/a	21-Mar	1,025.20	4.0
PATTEN & PATTEN	025	IVW	B	10	75.73	n/a	n/a	0.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	JAH	S	17,925	40.15	n/a	n/a	627.38	3.5
SANDLER CAPITAL	028	JBHT	B	75,000	54.78	n/a	n/a	3,000.00	4.0
BASSWOOD PARTNERS	267	JCI	B	21,000	32.80	n/a	23-Mar	840.00	4.0
PZENA INV ADV	044	JNY	S	9,100	11.47	n/a	9-Feb	318.50	3.5
SIMMONS VENTURES	041	JNY	B	10,000	11.54	n/a	9-Feb	400.00	4.0
PZENA INV ADV	044	JPM	S	175	46.13	n/a	26-Mar	6.13	3.5
CYRUS CAPITAL	025	MAS	B	20,000	14.33	n/a	n/a	600.00	3.0
SURVEYOR CAPITAL	251	MAS	SS	112,500	13.92	n/a	n/a	3,375.00	3.0
CYRUS CAPITAL	025	MWV	B	30,000	31.43	n/a	21-Mar	900.00	3.0
KENNEDY CAPITAL	046	NP	S	20,525	30.30	n/a	21-Feb	821.00	4.0
PATTEN & PATTEN	025	PHB	B	250	18.69	n/a	n/a	12.50	5.0
KACELA CAPITAL	034	PHM	B	130,000	9.24	n/a	n/a	3,900.00	3.0
MELLON/BANK OF NEW YORK	046	PH	S	12,270	86.96	n/a	25-Jan	490.80	4.0
PZENA INV ADV	044	PPG	S	75	96.00	n/a	15-Mar	2.63	3.5
SIMMONS VENTURES	041	PSS	B	5,000	18.10	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	QQQ	S	25	68.36	n/a	n/a	1.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VERITION	028	RCL	B	12,500	30.44	n/a	n/a	375.00	3.0
SENATOR INVESTMENT GROUP	036	SBUX	S	50,000	56.31	n/a	9-Mar	1,500.00	3.0
BASIX	033	SPR	S	36,000	25.11	n/a	21-Mar	1,080.00	3.0
BASIX	033	TBT	S	22,000	20.03	n/a	n/a	660.00	3.0
THIRD POINT MGMT	044	VRA	C	25,000	29.66	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	WRC	S	25,000	58.37	n/a	23-Mar	750.00	3.0
PATTEN & PATTEN	025	XLV	B	40	37.35	n/a	n/a	2.00	5.0
PATTEN & PATTEN	025	XLY	S	25	45.54	n/a	n/a	1.25	5.0
SIMMONS VENTURES	041	ZQK	B	5,000	4.40	n/a	10-May	150.00	3.0
TOTAL (Trade Date) :								54,751.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/26	M&I FUNDS (MIFD122)	047	CHK	S	25,300	24.28	n/a	n/a	822.25 3.3
AO,CRT	03/26	M&I FUNDS (MIFD122)	047	CHK	S	25,300	24.28	n/a	n/a	1012.00 4.0
AO,CXL	03/26	M&I FUNDS (MIFDMAIN)	047	CHK	S	111	24.28	n/a	n/a	36.08 32.5
AO,CRT	03/26	M&I FUNDS (MIFDMAIN)	047	CHK	S	111	24.28	n/a	n/a	4.44 4.0

TOTAL (AO, CXL, CRT) :**158.11**

TOTAL (Trade Date) :**54,751.93****TOTAL (AO, CXL, CRT) :****158.11**

TOTAL (RUN DATE) / NFS:**54,910.04**

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