



Daily Compliance Activity Report

Trade Date: 01/03/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
TALPION LLC	040	ADS	SS	2,500	104.94	n/a	n/a	100.00 4.0
PATTEN & PATTEN	025	AML	B	5,400	16.62	n/a	n/a	270.00 5.0
BALYASNY ASSET MGMT	044	ANN	C	30,000	25.09	n/a	n/a	1,500.00 5.0
TRELLUS PARTNERS LP	028	AXL	SS	15,500	10.61	n/a	31-Oct	465.00 3.0
OHIO PERS	047	BA	S	11,300	74.61	n/a	29-Nov	339.00 3.0
TUDOR INVESTORS	028	CBE	B	10,000	54.66	n/a	21-Oct	300.00 3.0
PATTEN & PATTEN	025	CBT	B	800	33.33	n/a	12-Dec	40.00 5.0
RBC CAPITAL MARKETS	040	CCL	SS	20,000	33.10	n/a	n/a	800.00 4.0
HAMILTON CAP PART FIN	031	C	B	20,000	27.85	n/a	22-Dec	800.00 4.0
SCOPUS FUND	041	DPS	SS	75,000	38.76	n/a	n/a	3,000.00 4.0
PATTEN & PATTEN	025	EPP	S	45	40.27	n/a	n/a	2.25 5.0
TALPION LLC	040	EP	S	4,000	26.76	n/a	n/a	160.00 4.0
PATTEN & PATTEN	025	FCX	B	400	39.69	n/a	n/a	20.00 5.0
PATTEN & PATTEN	025	FHN	B	3,208	8.26	n/a	n/a	160.40 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	028	FLR	C	146,600	52.30	n/a	n/a	7,330.00	5.0
MOORE CAPITAL	041	FL	B	8,000	24.06	n/a	18-Nov	240.00	3.0
TALPION LLC	040	FL	C	5,000	24.54	n/a	18-Nov	200.00	4.0
PATTEN & PATTEN	025	FSGI	S	410	2.70	n/a	n/a	20.50	5.0
PATTEN & PATTEN	025	GE	B	1,600	18.47	n/a	n/a	80.00	5.0
LOCUS WOOD CAPITAL MGMT	044	GGP	S	78,000	15.29	n/a	n/a	3,120.00	4.0
PATTEN & PATTEN	025	GLD	S	150	155.87	n/a	n/a	7.50	5.0
DEVENNY CAP LLC	044	GM	S	10,000	20.99	n/a	3-Jan	300.00	3.0
DEVENNY CAP LLC	044	GNTX	B	30,000	29.99	n/a	21-Oct	900.00	3.0
PATTEN & PATTEN	025	GOV	B	2,450	22.87	n/a	n/a	122.50	5.0
DEVENNY CAP LLC	044	GPI	B	10,000	50.63	n/a	26-Oct	300.00	3.0
CATAPULT	040	HERO	SS	25,000	4.62	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	297	HFC	S	5,500	25.00	n/a	n/a	220.00	4.0
TALPION LLC	040	HNT	S	2,600	31.15	n/a	n/a	104.00	4.0
LOCUS WOOD CAPITAL MGMT	044	HSNI	S	15,000	37.08	n/a	n/a	600.00	4.0
LOCUS WOOD CAPITAL MGMT	044	IBM	S	10,000	187.55	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOPLITE MGMT	025	INTC	C	50,000	24.68	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	025	INTC	B	1,930	24.61	n/a	n/a	96.50	5.0
T. ROWE PRICE	033	IP	B	111,800	30.05	n/a	27-Oct	4,472.00	4.0
RAINIER INV MGMT	035	ITC	S	5,400	75.45	n/a	n/a	216.00	4.0
ARMATURE CAPITAL	041	JCI	B	35,000	32.28	n/a	21-Nov	1,400.00	4.0
PATTEN & PATTEN	025	JCI	B	600	32.37	n/a	21-Nov	30.00	5.0
BALYASNY ASSET MGMT	044	JCP	SS	10,000	34.94	n/a	3-Jan	500.00	5.0
ROSEDALE CAPITAL	046	KEG	S	15,000	16.00	n/a	22-Dec	600.00	4.0
PATTEN & PATTEN	025	KMB	B	400	73.22	n/a	25-Oct	20.00	5.0
SHEFFIELD ASSET MGMT	031	KSS	B	37,800	48.49	n/a	3-Jan	1,512.00	4.0
THE JAY GOLDMAN	028	KSS	B	60,000	48.27	n/a	3-Jan	2,400.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	600	27.16	n/a	22-Dec	30.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	25,000	8.13	n/a	7-Nov	1,250.00	5.0
RBC CAPITAL MARKETS	040	LTD	B	7,800	39.30	n/a	n/a	312.00	4.0
CSFB GLOBAL PROPRIETARY	041	NP	SS	20,000	22.23	n/a	3-Jan	1,000.00	5.0
DEVENNY CAP LLC	044	ODFL	B	5,000	40.99	n/a	n/a	150.00	3.0
BNP PARIBAS SEC	040	PLCE	SS	4,300	53.81	n/a	22-Nov	215.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	QTM	B	22,195	2.28	n/a	n/a	443.90	2.0
TALPION LLC	040	RCII	C	3,000	38.01	n/a	n/a	120.00	4.0
CHESAPEAKE PARTNERS	028	RRR	B	25,000	18.50	n/a	16-Dec	750.00	3.0
PATTEN & PATTEN	025	RTN	S	100	48.72	n/a	21-Nov	5.00	5.0
MERRILL ASSET/BLACKROCK	297	SPN	S	21,800	30.26	n/a	n/a	872.00	4.0
PATTEN & PATTEN	025	STI	B	500	18.55	n/a	n/a	25.00	5.0
FIRST NEW YORK NICK	029	S	B	20,000	2.34	n/a	n/a	1,000.00	5.0
BASIX	033	TBT	B	25,000	18.68	n/a	n/a	750.00	3.0
CASTLE ARK	031	TDG	S	71,520	94.60	n/a	n/a	3,576.00	5.0
MATRIX ASSET ADV.	091	TDW	S	1,000	50.43	n/a	n/a	40.00	4.0
THIRD COAST CAPITAL	035	TGT	S	25,000	51.18	n/a	3-Jan	1,250.00	5.0
OHIO PERS	047	TXT	B	44,310	18.72	n/a	n/a	1,329.30	3.0
PATTEN & PATTEN	025	T	B	400	30.43	n/a	n/a	20.00	5.0
FARALLON CAP MGMT	040	UNP	S	30,000	108.15	n/a	n/a	1,200.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	S	11,964	39.24	n/a	n/a	358.92	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	VFC	C	2,000	130.23	n/a	25-Oct	80.00	4.0
MATRIX ASSET ADV.	091	VLO	S	2,500	21.05	n/a	n/a	100.00	4.0
AVESTA CAP	229	VZ	S	149,467	40.12	n/a	n/a	4,484.01	3.0
PATTEN & PATTEN	025	WM	S	200	32.89	n/a	n/a	10.00	5.0
RBC CAPITAL MARKETS	040	XLY	SS	7,600	39.47	n/a	n/a	304.00	4.0
MOORE CAPITAL	041	XRT	SS	10,000	52.68	n/a	n/a	300.00	3.0
TOTAL (Trade Date) :								56,122.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	AGU	S	100	66.65	n/a	n/a	5.00 5.0
AO,CXL	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	AGU	S	100	66.65	n/a	n/a	5.00 5.0
AO,CRT	12/29	PATTEN & PATTEN (PATTSCHWAB)	025	AGU	S	200	66.65	n/a	n/a	10.00 5.0
CRT	01/03	SHEFFIELD ASSET MGMT (SHEFJPM)	031	KSS	B	37,800	48.49	n/a	3-Jan	1512.00 4.0
CRT	01/03	THE JAY GOLDMAN (GOLDGSBULK)	028	KSS	B	60,000	48.27	n/a	3-Jan	2400.00 4.0
AO,CXL	12/30	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	PPC	S	50,000	5.81	n/a	n/a	2000.00 4.0
AO,CRT	12/30	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	PPC	S	50,000	5.81	n/a	n/a	1500.00 3.0
TOTAL (AO, CXL, CRT) :										3,412.00
TOTAL (Trade Date) :										56,122.78
TOTAL (AO, CXL, CRT) :										3,412.00
TOTAL (RUN DATE) / NFS :										59,534.78

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