



## Daily Compliance Activity Report

Trade Date: 12/21/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	AAP	B	5,000	68.61	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	AEO	B	10,000	14.62	n/a	2-Dec	400.00	4.0
PATTEN & PATTEN	025	AML	B	250	16.31	n/a	n/a	12.50	5.0
COOPER CREEK PART	028	ARCO	SS	15,000	19.83	n/a	21-Dec	600.00	4.0
RBC CAPITAL MARKETS	040	ARO	B	1,700	15.40	n/a	n/a	68.00	4.0
PATTEN & PATTEN	025	AVY	B	1,000	27.58	n/a	14-Dec	50.00	5.0
PATTEN & PATTEN	025	BA	B	100	73.23	n/a	29-Nov	5.00	5.0
HARVEST MGMT	029	BBBY	S	10,000	61.26	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	BDX	S	200	73.42	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	BTO	B	600	13.44	n/a	n/a	30.00	5.0
CASTLE ARK	031	CAT	B	84,400	90.18	n/a	21-Dec	4,220.00	5.0
BNP PARIBAS SEC	040	CNX	B	20,000	36.15	n/a	n/a	1,000.00	5.0
HARVEST MGMT	029	COH	B	5,000	59.87	n/a	26-Oct	200.00	4.0
PENNANT CAP MGMT	029	COL	S	140,000	55.01	n/a	5-Dec	4,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT	029	COST	SS	5,000	83.92	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	CPB	SS	10,000	33.31	n/a	n/a	400.00	4.0
COBALT	041	DAN	B	500,000	11.28	n/a	1-Dec	20,000.00	4.0
PATTEN & PATTEN	025	DBA	B	400	28.30	n/a	n/a	20.00	5.0
EPOCH INV MGMT	030	DHR	S	35,050	46.94	n/a	n/a	1,051.50	3.0
PATTEN & PATTEN	025	DKS	B	500	36.40	n/a	16-Nov	25.00	5.0
SYSTEMATIC FINANCIAL MGT	035	EA	B	87,500	20.74	n/a	n/a	2,625.00	3.0
HARVEST MGMT	029	ECL	S	2,500	55.93	n/a	12-Dec	100.00	4.0
SANDLER CAPITAL	028	EMR	SS	175,000	46.68	n/a	n/a	8,750.00	5.0
TUDOR INVESTORS	028	EMR	B	5,000	47.15	n/a	n/a	150.00	3.0
RBC CAPITAL MARKETS	040	ENR	B	7,200	73.75	n/a	7-Nov	288.00	4.0
PATTEN & PATTEN	025	EP	S	3,500	25.57	n/a	n/a	175.00	5.0
RBC CAPITAL MARKETS	040	FL	B	6,900	22.70	n/a	18-Nov	276.00	4.0
RBC CAPITAL MARKETS	040	FOSL	SS	5,000	83.18	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	HNZ	SS	5,000	53.72	n/a	n/a	200.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>HNZ</b>	<b>B</b>	<b>3,000</b>	<b>53.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	HNZ	S	3,000	53.68	n/a	n/a	0.00	0.0
HOPLITE MGMT	025	HPQ	SS	35,000	25.08	n/a	n/a	1,400.00	4.0
COLUMBUS CAP MGMT LLC	084	IFF	SS	13,000	52.14	n/a	12-Dec	650.00	5.0
PATTEN & PATTEN	025	INTC	B	250	23.55	n/a	n/a	12.50	5.0
RBC CAPITAL MARKETS	040	IWM	SS	13,000	73.23	n/a	n/a	520.00	4.0
BASIX	033	JNY	S	74,900	9.54	n/a	27-Oct	2,247.00	3.0
CRAMER ROSENTHAL/SCOTT	070	JWN	B	82,200	48.91	n/a	2-Dec	3,288.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	25,000	49.25	n/a	2-Dec	1,000.00	4.0
SONTERRA CAP	041	KMX	B	55,408	28.99	n/a	n/a	2,216.32	4.0
RBC CAPITAL MARKETS	040	KO	B	25,000	69.03	n/a	19-Oct	1,000.00	4.0
RBC CAPITAL MARKETS	040	KR	B	25,000	24.54	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	KSS	SS	20,000	49.18	n/a	2-Dec	800.00	4.0
PATTEN & PATTEN	025	LLY	B	600	41.35	n/a	n/a	30.00	5.0
BNP PARIBAS SEC	040	LPX	B	25,000	7.88	n/a	7-Nov	1,250.00	5.0
PATTEN & PATTEN	025	LQD	B	200	113.28	n/a	n/a	10.00	5.0
RBC CAPITAL MARKETS	040	LTD	B	25,000	39.13	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	MAC	S	20,000	50.22	n/a	n/a	800.00	4.0
HALCYON LLC	041	MMI	S	50,000	38.67	n/a	n/a	1,500.00	3.0
FIRST NY SEC/CHRIS	041	MSFT	B	25,000	25.65	n/a	n/a	1,250.00	5.0
PZENA INV ADV	044	MTSC	S	900	40.04	n/a	n/a	31.50	3.5
PATTEN & PATTEN	025	MUNI	B	500	52.97	n/a	n/a	25.00	5.0
HARVEST MGMT	029	MW	B	10,000	32.57	n/a	n/a	400.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	MYL	S	24,800	21.32	n/a	21-Dec	992.00	4.0
RBC CAPITAL MARKETS	040	M	B	10,000	31.96	n/a	2-Dec	400.00	4.0
PATTEN & PATTEN	025	NSC	B	100	70.36	n/a	n/a	5.00	5.0
FARALLON CAP MGMT	040	ORCL	B	250,000	25.39	n/a	n/a	10,000.00	4.0
PATTEN & PATTEN	025	PCAR	S	150	36.69	n/a	21-Dec	7.50	5.0
PATTEN & PATTEN	025	PHO	S	4,000	16.54	n/a	n/a	200.00	5.0
PATTEN & PATTEN	025	PIO	S	800	15.11	n/a	n/a	40.00	5.0
COLUMBUS CAP MGMT LLC	084	PPG	SS	9,000	81.41	n/a	14-Dec	450.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	PVH	B	3,000	66.52	n/a	2-Dec	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	PVH	B	5,000	66.99	n/a	2-Dec	200.00	4.0
HARVEST MGMT	029	SHW	B	5,000	87.25	n/a	14-Dec	200.00	4.0
NEWLAND CAPITAL MGT	025	SOA	S	50,000	16.55	n/a	n/a	2,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	SPG	B	30,000	127.46	n/a	n/a	1,200.00	4.0
TROUBH PART	070	SPR	B	25,000	20.41	n/a	11-Nov	1,000.00	4.0
ROARING BLUE LION MGMT	031	SSI	S	17,223	14.37	n/a	n/a	688.92	4.0
PATTEN & PATTEN	025	STI	S	400	16.50	n/a	n/a	20.00	5.0
KACELA CAPITAL	034	STZ	B	60,000	20.23	n/a	n/a	2,400.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	2.36	n/a	n/a	800.00	4.0
LOCUS WOOD CAPITAL MGMT	044	TCO	S	15,000	62.18	n/a	n/a	600.00	4.0
BASSWOOD PARTNERS	267	TEVA	B	6,300	41.84	n/a	21-Dec	252.00	4.0
PATTEN & PATTEN	025	TEVA	B	700	41.65	n/a	21-Dec	35.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	30,000	31.58	n/a	19-Oct	1,500.00	5.0
PATTEN & PATTEN	025	TM	S	100	63.99	n/a	n/a	5.00	5.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	10,000	79.58	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	URBN	B	10,000	26.92	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	VZ	B	150	38.95	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	V	S	100	99.71	n/a	20-Dec	5.00	5.0
RBC CAPITAL MARKETS	040	WMT	B	20,000	59.55	n/a	16-Nov	800.00	4.0
RBC CAPITAL MARKETS	040	WMT	S	10,000	59.28	n/a	16-Nov	400.00	4.0
HAHN CAPITAL MANAGEMENT	084	WU	B	83,235	18.09	n/a	n/a	4,161.75	5.0
LOCUS WOOD CAPITAL MGMT	044	XLE	B	20,000	67.45	n/a	n/a	800.00	4.0
<b>TOTAL (Trade Date):</b>							<b>96,505.99</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/21	HARVEST MGMT (HARVGSCO)	029	BBBY	S	10,000	61.26	n/a	n/a	400.00 4.0
AO,CXL	12/20	HARVEST MGMT (HARVGSCO)	029	LAVA	SS	10,000	7.16	n/a	n/a	400.00 4.0
AO,CRT	12/20	HARVEST MGMT (HARVGSCO)	029	LAVA	SS	10,000	7.16	n/a	n/a	300.00 3.0
CRT	12/21	NEWLAND CAPITAL MGT (NEWLGS)	025	SOA	S	50,000	16.55	n/a	n/a	2000.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>2,300.00</b>
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TOTAL (Trade Date) :	96,505.99
TOTAL (AO, CXL, CRT) :	2,300.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>98,805.99</b>
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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