



## Daily Compliance Activity Report

Trade Date: 12/28/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	500	8.61	n/a	n/a	50.00	10.0
PATTEN & PATTEN	025	AA	S	75	8.59	n/a	n/a	3.75	5.0
DEVENNY CAP LLC	044	AGCO	S	15,000	42.09	n/a	19-Dec	450.00	3.0
PATTEN & PATTEN	025	AGG	B	1,000	110.14	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	AML	B	7,520	16.43	n/a	n/a	376.00	5.0
PATTEN & PATTEN	025	APC	B	10	75.81	n/a	22-Dec	0.50	5.0
ROSEDALE CAPITAL	046	AU	S	20,000	41.05	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	BAC	S	2,020	5.31	n/a	22-Dec	101.00	5.0
PATTEN & PATTEN	025	BDX	S	25	73.99	n/a	n/a	1.25	5.0
LATEFF MGMT	035	BMS	S	225	29.86	n/a	n/a	45.00	20.0
PATTEN & PATTEN	025	BP	S	500	42.48	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	BRCM	B	150	29.67	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	BTO	B	800	13.79	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	CHD	B	50	46.21	n/a	14-Dec	2.50	5.0
PATTEN & PATTEN	025	CL	S	100	92.87	n/a	1-Nov	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CMI	B	250	87.93	n/a	26-Oct	12.50	5.0
PATTEN & PATTEN	025	CNI	S	95	76.75	n/a	n/a	4.75	5.0
HAHN CAPITAL MANAGEMENT	084	CRI	B	12,374	39.73	n/a	n/a	618.70	5.0
LATEFF MGMT	035	CSCO	B	200	18.22	n/a	n/a	30.00	15.0
PATTEN & PATTEN	025	CX	B	1,250	5.24	n/a	n/a	62.50	5.0
PATTEN & PATTEN	025	DBA	B	1,000	28.87	n/a	n/a	50.00	5.0
TALPION LLC	040	DCIX	S	1,041	5.34	n/a	n/a	20.82	2.0
LATEFF MGMT	035	DD	B	200	45.58	n/a	27-Dec	50.00	25.0
BNP PARIBAS SEC	040	DECK	B	5,000	84.73	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	DIA	B	800	121.53	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	DMND	S	20	30.07	n/a	n/a	1.00	5.0
PATTEN & PATTEN	025	DOW	S	2,100	28.19	n/a	14-Dec	105.00	5.0
PATTEN & PATTEN	025	D	B	25	53.21	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	ECA	S	950	18.27	n/a	n/a	47.50	5.0
PATTEN & PATTEN	025	EEM	S	425	37.57	n/a	n/a	21.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	ETN	B	75	43.56	n/a	24-Oct	3.75	5.0
MOORE CAPITAL	041	EXPR	B	12,500	19.95	n/a	n/a	375.00	3.0
PATTEN & PATTEN	025	FHN	B	7,531	7.81	n/a	n/a	376.55	5.0
PATTEN & PATTEN	025	FRC	B	100	31.02	n/a	n/a	5.00	5.0
LEVIN CAPITAL STRATEGIES	041	F	S	20,000	10.65	n/a	2-Dec	600.00	3.0
PATTEN & PATTEN	025	F	S	1,700	10.60	n/a	2-Dec	85.00	5.0
PATTEN & PATTEN	025	GE	B	790	17.83	n/a	n/a	39.50	5.0
PATTEN & PATTEN	025	GLW	B	600	12.92	n/a	27-Dec	30.00	5.0
PATTEN & PATTEN	025	GLW	S	800	12.96	n/a	27-Dec	40.00	5.0
HAHN CAPITAL MANAGEMENT	084	GTLS	B	2,292	54.63	n/a	n/a	114.60	5.0
PATTEN & PATTEN	025	HDV	B	1,095	55.41	n/a	n/a	54.75	5.0
PATTEN & PATTEN	025	HPQ	B	1,300	25.39	n/a	n/a	65.00	5.0
SIMMONS VENTURES	041	HWD	B	7,500	10.20	n/a	n/a	300.00	4.0
HAHN CAPITAL MANAGEMENT	084	HXL	B	6,898	24.72	n/a	8-Dec	344.90	5.0
PATTEN & PATTEN	025	HYG	B	150	89.02	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	IBM	B	20	184.02	n/a	n/a	1.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	IEO	S	18	60.93	n/a	n/a	0.90	5.0
HAHN CAPITAL MANAGEMENT	084	IEX	B	3,306	35.73	n/a	n/a	165.30	5.0
STANDARD PACIFIC CAPITAL	084	INFA	B	50,000	36.72	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	025	INTC	B	750	24.36	n/a	n/a	37.50	5.0
DEVENNY CAP LLC	044	IP	SS	10,000	29.31	n/a	27-Oct	300.00	3.0
PATTEN & PATTEN	025	JCI	B	1,900	30.53	n/a	21-Nov	95.00	5.0
PATTEN & PATTEN	025	JPM	S	350	32.86	n/a	22-Dec	17.50	5.0
HAHN CAPITAL MANAGEMENT	084	KEG	B	28,859	15.25	n/a	22-Dec	1,442.95	5.0
LATEFF MGMT	035	KMB	S	100	73.73	n/a	25-Oct	30.00	30.0
HAHN CAPITAL MANAGEMENT	084	KMP	B	5,063	83.19	n/a	n/a	253.15	5.0
BROOKSIDE CAPITAL PART	029	LYB	S	18,500	32.57	n/a	n/a	740.00	4.0
PATTEN & PATTEN	025	MAV	B	90	14.36	n/a	n/a	4.50	5.0
MERRILL ASSET/BLACKROCK	297	MFRM	S	30,918	22.52	n/a	n/a	1,236.72	4.0
STANDARD PACIFIC CAPITAL	084	MHP	SS	70,000	44.69	n/a	n/a	3,500.00	5.0
PATTEN & PATTEN	025	MMC	S	100	31.70	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	MRK	B	275	37.53	n/a	n/a	13.75	5.0
PATTEN & PATTEN	025	MS	S	450	14.96	n/a	22-Dec	22.50	5.0
PATTEN & PATTEN	025	NEE	S	500	60.81	n/a	n/a	25.00	5.0
HAHN CAPITAL MANAGEMENT	084	NSR	B	14,873	33.98	n/a	n/a	743.65	5.0
PATTEN & PATTEN	025	NUAN	B	50	24.93	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	NUE	B	150	39.63	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	NUE	S	50	39.40	n/a	n/a	2.50	5.0
DEVENNY CAP LLC	044	ODFL	B	10,000	40.57	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	297	PBY	B	15,501	11.00	n/a	n/a	620.04	4.0
PATTEN & PATTEN	025	PCAR	S	450	36.92	n/a	21-Dec	22.50	5.0
PATTEN & PATTEN	025	PHO	S	1,750	16.80	n/a	n/a	87.50	5.0
PATTEN & PATTEN	025	PIO	S	150	15.28	n/a	n/a	7.50	5.0
HAHN CAPITAL MANAGEMENT	084	PXD	B	1,858	87.73	n/a	22-Dec	92.90	5.0
PATTEN & PATTEN	025	QCOM	B	75	54.55	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	RHHBY	S	85	42.07	n/a	n/a	4.25	5.0
MERRILL ASSET/BLACKROCK	297	RLI	S	1,299	74.03	n/a	n/a	51.96	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	ROP	B	1,141	86.35	n/a	n/a	57.05	5.0
HAHN CAPITAL MANAGEMENT	084	ROST	B	10,198	48.57	n/a	2-Dec	509.90	5.0
PATTEN & PATTEN	025	RSG	B	200	27.72	n/a	n/a	10.00	5.0
DEVENNY CAP LLC	044	RS	B	2,500	47.81	n/a	n/a	75.00	3.0
MERRILL ASSET/BLACKROCK	297	SF	B	8,500	32.24	n/a	n/a	340.00	4.0
PATTEN & PATTEN	025	SLB	B	100	67.25	n/a	n/a	5.00	5.0
M&I FUNDS	047	SPR	B	28,389	20.75	n/a	11-Nov	1,135.56	4.0
PATTEN & PATTEN	025	SPY	B	4,000	125.22	n/a	n/a	200.00	5.0
PATTEN & PATTEN	025	SRZ	S	400	6.15	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	STI	S	300	17.35	n/a	n/a	15.00	5.0
HAHN CAPITAL MANAGEMENT	084	SUG	B	1,936	42.35	n/a	n/a	96.80	5.0
DEVENNY CAP LLC	044	TEN	S	15,000	28.95	n/a	n/a	450.00	3.0
PATTEN & PATTEN	025	TEVA	S	510	41.19	n/a	27-Dec	25.50	5.0
PATTEN & PATTEN	025	TGT	B	30	51.83	n/a	2-Dec	1.50	5.0
PATTEN & PATTEN	025	TM	S	200	64.18	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEVENNY CAP LLC	044	TRW	S	10,000	31.65	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	T	B	100	30.05	n/a	n/a	5.00	5.0
DEVENNY CAP LLC	044	UPS	B	2,500	72.64	n/a	n/a	75.00	3.0
PATTEN & PATTEN	025	UTX	S	50	73.27	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	VMC	S	100	38.64	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	VWO	B	425	37.84	n/a	n/a	21.25	5.0
HAHN CAPITAL MANAGEMENT	084	WAB	B	5,144	68.09	n/a	n/a	257.20	5.0
BNP PARIBAS SEC	040	WRC	B	10,000	49.40	n/a	4-Nov	500.00	5.0
PATTEN & PATTEN	025	XBI	S	200	65.82	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	XLS	S	450	9.25	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	XYL	S	450	25.46	n/a	n/a	22.50	5.0
TALPION LLC	040	YHOO	B	13,500	15.90	n/a	n/a	540.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>22,963.90</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	12/28	SIMMONS VENTURES (SIMMJPM)	041	HWD	B	7,500	10.20	n/a	n/a	300.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>300.00</b>

TOTAL (Trade Date):	22,963.90
TOTAL (AO, CXL, CRT):	300.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>23,263.90</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