



Daily Compliance Activity Report

Trade Date: 11/16/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AGG	B	250	109.72	n/a	n/a	12.50	5.0
PHILADELPHIA FINANCIAL	033	AN	SS	20,485	33.48	n/a	21-Oct	819.40	4.0
PATTEN & PATTEN	025	APA	B	50	103.82	n/a	10-Nov	2.50	5.0
PATTEN & PATTEN	025	APA	S	100	103.78	n/a	10-Nov	5.00	5.0
PATTEN & PATTEN	025	APD	S	25	84.01	n/a	21-Oct	1.25	5.0
PATTEN & PATTEN	025	BBY	B	750	28.18	n/a	n/a	37.50	5.0
PATTEN & PATTEN	025	BTO	B	800	14.01	n/a	n/a	40.00	5.0
WHITE PINE CAPITAL	030	BUD	S	12,800	57.52	n/a	10-Nov	640.00	5.0
PATTEN & PATTEN	025	CMI	B	165	99.01	n/a	26-Oct	8.25	5.0
PATTEN & PATTEN	025	DBA	B	900	29.96	n/a	n/a	45.00	5.0
PATTEN & PATTEN	025	DBC	S	500	28.00	n/a	n/a	25.00	5.0
SYSTEMATIC FINANCIAL MGT	035	DDS	B	15,400	51.18	n/a	n/a	462.00	3.0
BMO NESBITT BURNS	041	DG	B	3,000	39.65	n/a	19-Oct	120.00	4.0
BMO NESBITT BURNS	041	DLTR	SS	2,000	77.20	n/a	19-Oct	80.00	4.0
PATTEN & PATTEN	025	DOW	S	1,000	27.16	n/a	1-Nov	50.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	DTV	S	10,000	46.91	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	EEM	S	590	39.71	n/a	n/a	29.50	5.0
PATTEN & PATTEN	025	ETN	B	50	45.24	n/a	24-Oct	2.50	5.0
PATTEN & PATTEN	025	EWA	S	450	22.98	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	EWJ	S	100	9.17	n/a	n/a	5.00	5.0
ARSENAL ASSET MANAGEMENT	028	FLS	B	5,000	99.38	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	FRC	B	200	28.35	n/a	n/a	10.00	5.0
OZ MGMT	040	F	SS	150,000	10.74	n/a	2-Nov	4,500.00	3.0
VISIUM/BALY BOBBY	044	F	SS	10,000	10.71	n/a	2-Nov	500.00	5.0
VISIUM/BALY BOBBY	044	GE	SS	10,000	16.05	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	GILD	B	580,000	40.31	n/a	n/a	23,200.00	4.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	23.10	n/a	10-Nov	2,500.00	5.0
OMEGA ADVISORS	041	GM	S	250,000	23.17	n/a	10-Nov	10,000.00	4.0
OWL CREEK INV	085	HPQ	B	870,000	28.50	n/a	n/a	26,100.00	3.0
PATTEN & PATTEN	025	HPQ	B	200	28.26	n/a	n/a	10.00	5.0
CAMBIAR CAP	046	HSP	B	250,300	31.05	n/a	16-Nov	10,012.00	4.0
PATTEN & PATTEN	025	IEF	B	100	104.53	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEVENNY CAP LLC	044	IR	S	6,000	31.60	n/a	20-Oct	180.00	3.0
PATTEN & PATTEN	025	JCI	S	100	31.37	n/a	27-Oct	5.00	5.0
SIMMONS VENTURES	041	JNY	B	15,000	11.44	n/a	27-Oct	600.00	4.0
FORTRESS INVESTMENT (US)	036	JOYG	B	8,500	90.23	n/a	14-Sep	340.00	4.0
BALYASNY ASSET MGMT	044	LEA	B	40,127	42.82	n/a	31-Oct	2,006.35	5.0
BALYASNY ASSET MGMT	044	LEA	SS	127	42.53	n/a	31-Oct	0.00	0.0
PATTEN & PATTEN	025	LLY	B	150	37.05	n/a	n/a	7.50	5.0
SMITH MGMT LLC	029	LNKD	SS	23,000	72.76	n/a	n/a	690.00	3.0
SCOPUS FUND	041	LOW	B	52,029	23.84	n/a	16-Nov	2,081.16	4.0
TROUBH PART	070	LOW	B	25,000	23.79	n/a	16-Nov	1,250.00	5.0
VISIUM/BALY BOBBY	044	LPX	B	10,000	7.06	n/a	7-Nov	400.00	4.0
OHIO PERS	047	MXIM	B	62,688	27.30	n/a	n/a	1,880.64	3.0
OHIO PERS	047	NVDA	S	96,157	14.86	n/a	n/a	2,884.71	3.0
NEUBERGER BERMAN	036	OAS	B	66,250	31.57	n/a	n/a	2,650.00	4.0
PATTEN & PATTEN	025	OXY	B	115	98.59	n/a	n/a	5.75	5.0
PATTEN & PATTEN	025	PCAR	S	350	40.65	n/a	26-Oct	17.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PIO	S	200	16.06	n/a	n/a	10.00	5.0
SURVEYOR CAPITAL	041	PLCE	B	25,000	45.73	n/a	9-Nov	750.00	3.0
MACQUARIE INVESTMENT MGMT.	040	PXP	S	5,000	36.06	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	PX	B	100	99.18	n/a	26-Oct	5.00	5.0
PATTEN & PATTEN	025	QCOM	B	415	57.31	n/a	n/a	20.75	5.0
CHESAPEAKE PARTNERS	028	RAH	S	21,010	82.43	n/a	n/a	630.30	3.0
COLUMBUS CIRCLE	036	ROSE	B	1,924	51.31	n/a	n/a	76.96	4.0
PATTEN & PATTEN	025	SCJ	B	100	43.27	n/a	n/a	5.00	5.0
FIRST NY SEC/CHRIS	041	SKS	B	20,000	10.18	n/a	n/a	1,000.00	5.0
BESSEMER INVESTMENT	085	SLB	B	461,000	76.06	n/a	n/a	18,440.00	4.0
DEVENNY CAP LLC	044	SPY	B	5,000	124.46	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	SPY	S	50	124.92	n/a	n/a	2.50	5.0
PERRY PARTNERS	085	SPY	B	75,000	125.45	n/a	n/a	2,250.00	3.0
VISIUM/BALY BOBBY	044	SPY	SS	8,000	125.85	n/a	n/a	400.00	5.0
PATTEN & PATTEN	025	STI	S	600	18.33	n/a	n/a	30.00	5.0
COLUMBUS CIRCLE	036	STMP	B	1,938	29.82	n/a	n/a	77.52	4.0
MELLON/BANK OF NEW YORK	046	SWN	S	22,660	40.43	n/a	10-Nov	906.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	TGT	S	164,821	54.42	n/a	11-Nov	6,592.84	4.0
FARALLON CAP MGMT	040	TGT	B	70,000	53.76	n/a	11-Nov	2,800.00	4.0
OZ MGMT	040	TGT	S	50,000	54.12	n/a	11-Nov	1,500.00	3.0
PATTEN & PATTEN	025	TGT	B	135	53.46	n/a	11-Nov	6.75	5.0
PATTEN & PATTEN	025	TM	B	50	63.69	n/a	n/a	2.50	5.0
SCOPUS FUND	041	URI	B	8,700	26.88	n/a	n/a	348.00	4.0
DEVENNY CAP LLC	044	VC	S	12,300	57.97	n/a	n/a	369.00	3.0
PATTEN & PATTEN	025	V	S	35	93.82	n/a	27-Oct	1.75	5.0
BALLAST CAP	040	WU	S	23,000	16.80	n/a	n/a	1,150.00	5.0
PATTEN & PATTEN	025	WY	S	1,600	16.65	n/a	28-Oct	80.00	5.0
PATTEN & PATTEN	025	XBI	S	260	61.43	n/a	n/a	13.00	5.0
SIMMONS VENTURES	041	ZQK	B	10,000	3.15	n/a	10-May	300.00	3.0
TUDOR INVESTORS	028	ZUMZ	B	25,000	23.46	n/a	n/a	750.00	3.0
TOTAL (Trade Date) :								133,911.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/15	CARDINAL CAPITAL (CARDINVTUR)	044	CBZ	S	72,739	5.78	n/a	n/a	2182.17 3.0
AO,	11/15	CARDINAL CAPITAL (CARDINVTUR)	044	CBZ	S	86,339	5.78	n/a	n/a	2590.17 3.0
AO,CXL	11/15	CARDINAL CAPITAL (CARDMARYLA)	044	CBZ	S	13,600	5.78	n/a	n/a	408.00 3.0
AO,	11/15	SMITH MGMT LLC (SMITCSPB)	029	LNKD	SS	25,000	74.69	n/a	n/a	750.00 3.0
AO,	11/15	SMITH MGMT LLC (SMITBNP)	029	LNKD	SS	75,000	74.69	n/a	n/a	2250.00 3.0
AO,CXL	11/15	SMITH MGMT LLC (SMITJPMORG)	029	LNKD	SS	125,000	74.69	n/a	n/a	3750.00 3.0
AO,CRT	11/15	SMITH MGMT LLC (SMITJPMORG)	029	LNKD	SS	25,000	74.69	n/a	n/a	750.00 3.0
AO,CXL	11/15	GALT INVESTMENT (GALTGS)	041	VVTV	B	50,000	1.94	n/a	n/a	2500.00 5.0
AO,CRT	11/15	GALT INVESTMENT (GALTGS)	041	VVTV	B	50,000	1.94	n/a	n/a	1250.00 2.5

TOTAL (AO, CXL, CRT) :	-1,250.00
-------------------------------	------------------

TOTAL (Trade Date) :	133,911.78
----------------------	------------

TOTAL (AO, CXL, CRT) :	-1,250.00
------------------------	-----------

TOTAL (RUN DATE) / NFS :	132,661.78
---------------------------------	-------------------

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