



Daily Compliance Activity Report

Trade Date: 12/23/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOODWAY FINANCIAL	031	AAPL	S	15	401.79	n/a	n/a	0.90	6.0
WOODWAY FINANCIAL	031	ABB	S	250	18.66	n/a	n/a	15.00	6.0
CATAPULT	040	ABD	B	1,245	9.81	n/a	n/a	49.80	4.0
WOODWAY FINANCIAL	031	ABX	S	100	45.94	n/a	n/a	6.00	6.0
WOODWAY FINANCIAL	031	ADP	S	75	54.20	n/a	n/a	4.50	6.0
WOODWAY FINANCIAL	031	ALB	S	100	51.18	n/a	n/a	6.00	6.0
IVORY CAPITAL	034	AMTD	B	25,000	15.55	n/a	n/a	1,250.00	5.0
CATAPULT	040	ANF	B	325	48.92	n/a	17-Nov	13.00	4.0
WOODWAY FINANCIAL	031	AON	S	50	47.05	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	APA	S	40	90.73	n/a	22-Dec	2.40	6.0
CATAPULT	040	ARG	B	615	79.74	n/a	12-Dec	24.60	4.0
CATAPULT	040	ATI	B	436	47.98	n/a	28-Nov	17.44	4.0
MTB INV ADV	034	AT	B	20,600	14.16	n/a	n/a	824.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	7,600	9.76	n/a	31-Oct	228.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	BA	B	265	73.76	n/a	29-Nov	10.60	4.0
PATTEN & PATTEN	025	BBY	S	150	23.24	n/a	n/a	7.50	5.0
WOODWAY FINANCIAL	031	BTU	S	75	34.10	n/a	n/a	4.50	6.0
CATAPULT	040	CAS	B	1,260	9.34	n/a	n/a	50.40	4.0
WOODWAY FINANCIAL	031	CAT	S	65	91.85	n/a	21-Dec	3.90	6.0
CATAPULT	040	CBE	B	622	54.70	n/a	21-Oct	24.88	4.0
CATAPULT	040	CMG	B	145	332.65	n/a	21-Oct	5.80	4.0
SANDLER O'NEILL ASSET	031	COF	S	21,782	43.00	n/a	22-Dec	1,089.10	5.0
WOODWAY FINANCIAL	031	COH	S	50	60.81	n/a	26-Oct	3.00	6.0
WOODWAY FINANCIAL	031	COV	S	75	45.32	n/a	n/a	4.50	6.0
CATAPULT	040	CPO	B	429	52.65	n/a	n/a	17.16	4.0
WOODWAY FINANCIAL	031	CSCO	S	150	18.21	n/a	n/a	9.00	6.0
MUHLENKAMP FUND	046	C	B	80,000	27.66	n/a	22-Dec	4,000.00	5.0
PATTEN & PATTEN	025	DD	B	210	46.02	n/a	20-Dec	10.50	5.0
WOODWAY FINANCIAL	031	DEO	S	60	86.11	n/a	n/a	3.60	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOODWAY FINANCIAL	031	DIS	S	150	37.36	n/a	n/a	9.00	6.0
CATAPULT	040	DNKN	B	2,558	24.61	n/a	n/a	102.32	4.0
PATTEN & PATTEN	025	DOW	S	350	28.64	n/a	14-Dec	17.50	5.0
CATAPULT	040	ECHO	B	880	16.80	n/a	n/a	35.20	4.0
PATTEN & PATTEN	025	EEM	S	250	38.43	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	EMR	S	200	46.00	n/a	n/a	10.00	5.0
CATAPULT	040	FCN	B	615	43.59	n/a	n/a	24.60	4.0
WOODWAY FINANCIAL	031	FCX	S	125	38.18	n/a	n/a	7.50	6.0
CATAPULT	040	FDO	B	540	58.73	n/a	29-Sep	21.60	4.0
SURVEYOR CAPITAL	251	FINL	B	56,458	19.71	n/a	22-Dec	1,693.74	3.0
CATAPULT	040	FLS	B	269	101.41	n/a	n/a	10.76	4.0
CATAPULT	040	FMC	B	410	86.85	n/a	8-Dec	16.40	4.0
CATAPULT	040	FXCM	B	1,205	9.26	n/a	n/a	48.20	4.0
WOODWAY FINANCIAL	031	GIS	S	50	40.48	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	GLW	S	500	13.32	n/a	12-Dec	30.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	GM	SS	30,000	20.63	n/a	2-Dec	1,500.00	5.0
TROUBH PART	070	GM	SS	25,000	20.48	n/a	2-Dec	1,250.00	5.0
WOODWAY FINANCIAL	031	GOOG	S	5	631.07	n/a	n/a	0.30	6.0
CATAPULT	040	HAL	B	373	33.52	n/a	n/a	14.92	4.0
CATAPULT	040	HD	B	653	42.01	n/a	8-Dec	26.12	4.0
CATAPULT	040	HON	B	4	54.69	n/a	15-Dec	0.16	4.0
CATAPULT	040	HRS	B	1,114	36.68	n/a	27-Oct	44.56	4.0
CATAPULT	040	HSY	B	608	61.24	n/a	n/a	24.32	4.0
WOODWAY FINANCIAL	031	IBM	S	30	184.27	n/a	n/a	1.80	6.0
WOODWAY FINANCIAL	031	INTC	S	75	24.37	n/a	n/a	4.50	6.0
CATAPULT	040	ITW	B	401	47.32	n/a	5-Dec	16.04	4.0
WOODWAY FINANCIAL	031	ITW	S	75	47.66	n/a	5-Dec	4.50	6.0
PATTEN & PATTEN	025	IYG	S	320	45.90	n/a	n/a	16.00	5.0
WOODWAY FINANCIAL	031	JEC	S	50	40.73	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	JNJ	S	75	65.77	n/a	n/a	4.50	6.0
WOODWAY FINANCIAL	031	JPM	S	100	33.37	n/a	22-Dec	6.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	KBR	B	480	28.37	n/a	n/a	19.20	4.0
CATAPULT	040	LII	B	886	34.02	n/a	n/a	35.44	4.0
CATAPULT	040	LLY	B	829	41.30	n/a	n/a	33.16	4.0
KACELA CAPITAL	034	LOW	S	75,000	25.20	n/a	7-Dec	3,000.00	4.0
ROSEDALE CAPITAL	046	LPX	S	2,100	8.16	n/a	7-Nov	63.00	3.0
WOODWAY FINANCIAL	031	MCD	S	50	99.91	n/a	8-Dec	3.00	6.0
WOODWAY FINANCIAL	031	MCK	S	75	78.57	n/a	n/a	4.50	6.0
CATAPULT	040	MDR	B	960	11.96	n/a	n/a	38.40	4.0
CATAPULT	040	MHK	B	554	59.64	n/a	n/a	22.16	4.0
WOODWAY FINANCIAL	031	MMM	S	65	81.96	n/a	12-Dec	3.90	6.0
WOODWAY FINANCIAL	031	MO	S	175	29.80	n/a	n/a	10.50	6.0
CATAPULT	040	MRK	B	785	37.88	n/a	n/a	31.40	4.0
WOODWAY FINANCIAL	031	MRK	S	100	37.80	n/a	n/a	6.00	6.0
CATAPULT	040	MSA	B	594	33.96	n/a	n/a	23.76	4.0
CATAPULT	040	MSM	B	24	70.88	n/a	n/a	0.96	4.0
DE SHAW	070	M	B	100,000	31.99	n/a	2-Dec	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOODWAY FINANCIAL	031	NKE	S	75	96.56	n/a	21-Dec	4.50	6.0
WOODWAY FINANCIAL	031	NOV	S	50	68.36	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	NVS	S	50	56.79	n/a	n/a	3.00	6.0
WOODWAY FINANCIAL	031	PEP	S	125	66.53	n/a	n/a	7.50	6.0
WOODWAY FINANCIAL	031	PETM	S	95	51.81	n/a	n/a	5.70	6.0
CATAPULT	040	PFE	B	1,279	21.69	n/a	n/a	51.16	4.0
WOODWAY FINANCIAL	031	PG	S	75	66.59	n/a	16-Nov	4.50	6.0
CATAPULT	040	PII	B	292	55.71	n/a	n/a	11.68	4.0
CATAPULT	040	RHI	B	660	28.47	n/a	n/a	26.40	4.0
PATTEN & PATTEN	025	RSG	S	450	27.72	n/a	n/a	22.50	5.0
CATAPULT	040	SEE	B	600	16.97	n/a	2-Jun	24.00	4.0
WOODWAY FINANCIAL	031	SLB	S	50	68.87	n/a	n/a	3.00	6.0
RIDGECREST INV MGMT LLC	028	SPY	SS	30,000	126.13	n/a	n/a	900.00	3.0
EPOCH INV MGMT	030	SSD	S	5,000	34.07	n/a	n/a	150.00	3.0
WOODWAY FINANCIAL	031	TEF	S	125	17.25	n/a	n/a	7.50	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TEVA	S	325	41.73	n/a	22-Dec	16.25	5.0
WOODWAY FINANCIAL	031	TEVA	S	100	41.42	n/a	22-Dec	6.00	6.0
RAINIER INV MGMT	035	THOR	B	37,050	33.01	n/a	n/a	1,482.00	4.0
CATAPULT	040	TKR	B	352	38.36	n/a	n/a	14.08	4.0
WOODWAY FINANCIAL	031	TMO	S	110	45.58	n/a	n/a	6.60	6.0
WOODWAY FINANCIAL	031	TOT	S	150	50.41	n/a	n/a	9.00	6.0
CATAPULT	040	TPX	B	561	53.37	n/a	n/a	22.44	4.0
CATAPULT	040	TYC	B	963	46.80	n/a	16-Nov	38.52	4.0
CATAPULT	040	VAC	B	2,934	17.28	n/a	n/a	117.36	4.0
PATTEN & PATTEN	025	VWO	B	225	38.66	n/a	n/a	11.25	5.0
WOODWAY FINANCIAL	031	VZ	S	100	39.63	n/a	n/a	6.00	6.0
WOODWAY FINANCIAL	031	WAG	S	275	35.12	n/a	n/a	16.50	6.0
CATAPULT	040	WBC	B	535	43.22	n/a	5-Dec	21.40	4.0
CATAPULT	040	WCC	B	576	53.73	n/a	n/a	23.04	4.0
SCOPUS FUND	041	WCN	SS	20,000	32.47	n/a	n/a	800.00	4.0
CATAPULT	040	WMT	B	755	59.55	n/a	16-Nov	30.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	WMT	S	25	59.90	n/a	16-Nov	1.50	6.0
SASCO	033	WM	S	115,000	32.75	n/a	n/a	4,600.00	4.0
WOODWAY FINANCIAL	031	WM	S	100	32.64	n/a	n/a	6.00	6.0
WOODWAY FINANCIAL	031	XBI	S	45	65.56	n/a	n/a	2.70	6.0
PATTEN & PATTEN	025	XLFX	B	1,100	13.16	n/a	n/a	55.00	5.0
WOODWAY FINANCIAL	031	XLK	S	300	25.38	n/a	n/a	18.00	6.0
WOODWAY FINANCIAL	031	XLU	S	175	35.82	n/a	n/a	10.50	6.0
WOODWAY FINANCIAL	031	XOM	S	50	84.89	n/a	n/a	3.00	6.0
CATAPULT	040	XPO	B	1,450	12.34	n/a	n/a	58.00	4.0
TOTAL (Trade Date) :								27,543.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/22	MTB INV ADV (MTBIMAIN O)	034	CVGI	S	575	9.30	n/a	n/a	28.75 5.0
AO,CRT	12/22	MTB INV ADV (MTBIMAIN O)	034	CVGI	S	575	9.30	n/a	n/a	17.25 3.0
AO,CXL	12/22	MTB INV ADV (MTBISMCAPI)	034	CVGI	S	20,000	9.30	n/a	n/a	1000.00 5.0
AO,CRT	12/22	MTB INV ADV (MTBISMCAPI)	034	CVGI	S	20,000	9.30	n/a	n/a	600.00 3.0
AO,CXL	12/21	FARALLON CAP MGMT (FARACS)	040	ORCL	B	250,000	25.39	n/a	n/a	10000.00 4.0
AO,CRT	12/21	FARALLON CAP MGMT (FARACS)	040	ORCL	B	250,000	25.39	n/a	n/a	7500.00 3.0
AO,CXL	12/22	EGS ASSOCIATES LP (EGASBANC O)	091	PVH	B	7,000	68.83	n/a	2-Dec	350.00 5.0
AO,CRT	12/22	EGS ASSOCIATES LP (EGASBANC O)	091	PVH	B	7,000	68.83	n/a	2-Dec	420.00 6.0
AO,CXL	12/19	RIDGECREST INV MGMT LLC (RIDCMSPB)	028	QQQ	SS	10,000	54.39	n/a	n/a	500.00 5.0
AO,CRT	12/19	RIDGECREST INV MGMT LLC (RIDCMSPB)	028	QQQ	SS	10,000	54.39	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										-3,041.50
TOTAL (Trade Date) :										27,543.28
TOTAL (AO, CXL, CRT) :										-3,041.50
TOTAL (RUN DATE) / NFS :										24,501.78

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