



## Daily Compliance Activity Report

Trade Date: 12/21/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	B	751	515.94	n/a	n/a	37.56	0.0
PATTEN & PATTEN	025	AAPL	B	30	516.07	n/a	n/a	1.50	5.0
PATTEN & PATTEN	025	AGG	B	100	111.17	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	AGG	S	1,000	111.16	n/a	n/a	50.00	5.0
EDGEWOOD	085	AGN	B	2,215	92.08	n/a	17-Dec	110.75	0.0
EDGEWOOD	085	AMT	B	4,810	76.73	n/a	n/a	240.50	0.0
EDGEWOOD	085	AMZN	B	1,627	257.04	n/a	n/a	81.35	0.0
PATTEN & PATTEN	025	APA	S	485	79.26	n/a	20-Dec	24.25	5.0
PATTEN & PATTEN	025	APC	B	200	75.70	n/a	20-Dec	10.00	5.0
PATTEN & PATTEN	025	APC	S	100	75.69	n/a	20-Dec	5.00	5.0
PATTEN & PATTEN	025	APD	S	200	84.58	n/a	13-Dec	10.00	5.0
PZENA INV ADV	044	ARO	S	350	13.38	n/a	n/a	12.25	0.0
ACK ASSET	028	ATVI	SS	280,000	10.65	n/a	n/a	8,400.00	0.0
PATTEN & PATTEN	025	AXP	B	600	57.35	n/a	20-Dec	30.00	5.0
TIDE POINT CAPITAL	034	BHP	B	10,000	77.15	n/a	n/a	300.00	0.0
<b>SPARTAN</b>	<b>093</b>	<b>BKW</b>	<b>SS</b>	<b>12,000</b>	<b>16.56</b>	<b>n/a</b>	<b>n/a</b>	<b>360.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	BP	B	34,350	41.90	n/a	n/a	1,202.32	0.0
PATTEN & PATTEN	025	CBI	B	25	44.98	n/a	n/a	1.25	5.0
HOLLIS CAPITAL	033	CBS	B	3,000	37.31	n/a	n/a	150.00	5.0
M&I FUNDS	047	CBS	S	3,368	37.30	n/a	n/a	134.72	4.0
M&I FUNDS	047	CCE	B	6,705	31.76	n/a	n/a	268.20	4.0
EDGEWOOD	085	CELG	B	5,633	79.18	n/a	n/a	281.65	0.0
M&I FUNDS	047	CHKP	B	20,369	47.25	n/a	n/a	814.76	4.0
EDGEWOOD	085	CME	B	6,082	51.00	n/a	28-Apr	304.10	0.0
EDGEWOOD	085	CMG	B	1,457	287.25	n/a	19-Oct	72.85	0.0
EDGEWOOD	085	COH	B	6,231	57.72	n/a	5-Nov	311.55	0.0
PATTEN & PATTEN	025	CSCO	B	900	19.94	n/a	14-Dec	45.00	5.0
EDGEWOOD	085	CTSH	B	7,701	73.40	n/a	n/a	385.05	0.0
PATTEN & PATTEN	025	CWB	B	750	40.39	n/a	n/a	37.50	5.0
M&I FUNDS	047	CYH	S	3,939	30.63	n/a	n/a	157.56	4.0
HOLLIS CAPITAL	033	DAN	S	10,000	15.10	n/a	31-Oct	500.00	5.0
M&I FUNDS	047	DAR	B	22,801	15.78	n/a	n/a	912.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	DD	S	400	44.84	n/a	14-Dec	20.00	5.0
PATTEN & PATTEN	025	DHR	B	75	55.97	n/a	n/a	3.75	5.0
M&I FUNDS	047	DLPH	B	4,158	35.97	n/a	n/a	166.32	4.0
PATTEN & PATTEN	025	DLR	B	415	67.81	n/a	n/a	20.75	5.0
PATTEN & PATTEN	025	DOW	S	50	32.04	n/a	19-Dec	2.50	5.0
CASTLEROCK	040	DRI	B	5,000	44.71	n/a	21-Dec	200.00	0.0
EDGEWOOD	085	ECL	B	3,844	71.72	n/a	18-Dec	192.20	0.0
PATTEN & PATTEN	025	ETN	B	200	54.10	n/a	4-Dec	10.00	5.0
PZENA INV ADV	044	FBHS	S	600	29.60	n/a	n/a	21.00	0.0
PATTEN & PATTEN	025	FCX	B	1,200	33.37	n/a	n/a	60.00	5.0
DECADE CAPITAL PARTNERS	040	FITB	S	51,600	15.08	n/a	n/a	2,064.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	FL	B	30,000	33.59	n/a	21-Dec	900.00	3.0
M&I FUNDS	047	FRX	S	2,372	35.16	n/a	17-Dec	94.88	4.0
EDGEWOOD	085	GILD	B	2,177	73.25	n/a	n/a	108.85	0.0
M&I FUNDS	047	GILD	S	2,714	72.85	n/a	n/a	108.56	4.0
BRONSON POINT	036	GM	B	50,000	26.94	n/a	21-Dec	1,500.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	035	GM	B	50,000	27.24	n/a	21-Dec	2,000.00	4.0
EDGEWOOD	085	GOOG	B	634	715.21	n/a	n/a	31.71	0.0
M&I FUNDS	047	GS	B	2,308	128.15	n/a	20-Dec	92.32	4.0
PATTEN & PATTEN	025	HDV	S	125	59.32	n/a	n/a	6.25	5.0
PATTEN & PATTEN	025	HYG	B	250	93.54	n/a	n/a	12.50	5.0
ACK ASSET	028	IFSIA	B	12,898	15.84	n/a	n/a	386.94	0.0
EDGEWOOD	085	IHS	B	3,928	96.59	n/a	n/a	196.40	0.0
PATTEN & PATTEN	025	ILF	B	200	43.42	n/a	n/a	10.00	5.0
EDGEWOOD	085	ILMN	B	7,227	55.69	n/a	n/a	361.35	0.0
PATTEN & PATTEN	025	INTC	B	250	20.75	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	INTC	S	300	20.74	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	IP	B	310	39.32	n/a	18-Dec	15.50	5.0
EDGEWOOD	085	ISRG	B	730	491.65	n/a	n/a	36.50	0.0
PATTEN & PATTEN	025	IYE	S	150	41.14	n/a	n/a	7.50	5.0
J. GOLDMAN	028	JWN	S	10,000	52.50	n/a	30-Nov	400.00	4.0
PATTEN & PATTEN	025	JWN	B	1,050	52.10	n/a	30-Nov	52.50	5.0
SANDLER CAPITAL	028	KORS	S	87,500	52.94	n/a	14-Nov	4,375.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	LF	S	86,300	7.79	n/a	n/a	2,589.00	3.0
M&I FUNDS	047	LII	S	3,773	52.05	n/a	n/a	150.92	4.0
PATTEN & PATTEN	025	LLY	B	50	49.05	n/a	n/a	2.50	5.0
MACELLUM CAPITAL	086	LZB	S	48,100	14.01	n/a	n/a	1,443.00	3.0
PATTEN & PATTEN	025	MDLZ	B	390	25.65	n/a	n/a	19.50	5.0
BRIGADE CAPITAL MGMT	029	MGM	C	100,000	11.71	n/a	13-Jun	5,000.00	0.0
PATTEN & PATTEN	025	MIC	B	265	45.25	n/a	n/a	13.25	5.0
EDGEWOOD	085	MJN	B	4,489	65.64	n/a	n/a	224.45	0.0
PATTEN & PATTEN	025	NEE	B	50	70.09	n/a	n/a	2.50	5.0
DAVIDSON KEMPNER ADVISOR	040	NXY	B	50,000	26.65	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	OXY	S	100	77.88	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	PCH	S	250	38.69	n/a	21-Dec	12.50	5.0
DAVIDSON KEMPNER ADVISOR	040	PCS	B	10,000	9.80	n/a	n/a	300.00	0.0
DAVIDSON KEMPNER ADVISOR	040	PENN	B	5,000	48.50	n/a	n/a	150.00	0.0
PATTEN & PATTEN	025	PHB	B	100	19.23	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PKB	B	200	17.26	n/a	n/a	10.00	5.0
SCOPUS FUND	041	POT	S	30,500	39.84	n/a	n/a	1,220.00	4.0
COLUMBUS CIRCLE	036	PPG	B	2,000	133.50	n/a	14-Dec	80.00	0.0
PATTEN & PATTEN	025	PSX	B	100	52.10	n/a	n/a	5.00	5.0
EDGEWOOD	085	PX	B	2,001	109.43	n/a	13-Dec	100.05	0.0
EDGEWOOD	085	QCOM	B	6,528	62.38	n/a	n/a	326.40	0.0
PATTEN & PATTEN	025	QCOM	B	75	62.27	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	RHT	B	200	54.91	n/a	n/a	10.00	5.0
MAIRS AND POWER INV	030	SLB	B	10,000	69.21	n/a	n/a	500.00	5.0
PATTEN & PATTEN	025	SNI	B	300	58.01	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	SPY	S	50	142.62	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	SRZ	S	1,000	14.40	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	TFM	B	675	49.38	n/a	n/a	33.75	5.0
PATTEN & PATTEN	025	TRN	B	350	35.53	n/a	n/a	17.50	5.0
EDGEWOOD	085	TROW	B	6,941	65.95	n/a	n/a	347.05	0.0
PATTEN & PATTEN	025	TSCO	B	50	88.42	n/a	n/a	2.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	USB	S	2,481	32.39	n/a	n/a	99.24	4.0
EDGEWOOD	085	VIAB	B	6,087	53.04	n/a	n/a	304.35	0.0
EDGEWOOD	085	V	B	3,198	151.38	n/a	20-Dec	159.90	0.0
DECADE CAPITAL PARTNERS	040	WFC	B	21,900	34.28	n/a	21-Dec	876.00	0.0
M&I FUNDS	047	WFC	S	2,263	34.41	n/a	21-Dec	90.52	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	15,000	28.10	n/a	21-Dec	750.00	5.0
BRIGADE CAPITAL MGMT	029	XLI	C	120,000	37.89	n/a	n/a	6,000.00	0.0
PATTEN & PATTEN	025	XLV	B	200	40.21	n/a	n/a	10.00	5.0
CASTLEROCK	040	YUM	SS	5,215	64.14	n/a	7-Dec	208.60	4.0
EDGEWOOD	085	YUM	B	4,427	63.81	n/a	7-Dec	221.35	0.0
PATTEN & PATTEN	025	YUM	B	126	63.72	n/a	7-Dec	6.30	5.0
<b>TOTAL (Trade Date):</b>								<b>51,608.87</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/18	PATTEN & PATTEN (PATTBERSHI)	025	ETN	B	50	54.00	n/a	4-Dec	2.50 5.0
AO,CRT	12/18	PATTEN & PATTEN (PATTBERSHI)	025	ETN	B	50	54.00	n/a	4-Dec	2.50 5.0
CRT	12/21	WOOSTER CAPITAL (WOOSGOLDMA)	035	GM	B	50,000	27.24	n/a	21-Dec	2000.00 4.0
AO,CXL	12/20	COBALT (COBAJPM)	041	RYN	B	48,900	51.15	n/a	31-Oct	1956.00 4.0
AO,CRT	12/20	COBALT (COBAUBS)	041	RYN	B	48,900	51.15	n/a	31-Oct	1956.00 4.0
AO,CXL	12/20	OMEGA ADVISORS (OMGATEACHE)	041	TEVA	S	32,300	37.95	n/a	17-Dec	969.00 0.0
AO,	12/20	OMEGA ADVISORS (OMGATEACHE)	041	TEVA	S	32,300	37.95	n/a	17-Dec	1292.00 0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGARUSS)	041	TEVA	S	3,400	37.95	n/a	17-Dec	102.00 0.0
AO,	12/20	OMEGA ADVISORS (OMGARUSS)	041	TEVA	S	3,400	37.95	n/a	17-Dec	136.00 0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGADEUTCH)	041	TEVA	S	2,300	37.95	n/a	17-Dec	69.00 0.0
AO,	12/20	OMEGA ADVISORS (OMGADEUTCH)	041	TEVA	S	2,300	37.95	n/a	17-Dec	92.00 0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGAMORGAN)	041	TEVA	S	13,200	37.95	n/a	17-Dec	396.00 0.0
AO,	12/20	OMEGA ADVISORS (OMGAMORGAN)	041	TEVA	S	13,200	37.95	n/a	17-Dec	528.00 0.0
AO,CXL	12/20	OMEGA ADVISORS (OMGAGS O)	041	TEVA	S	215,670	37.95	n/a	17-Dec	6470.10 0.0
AO,	12/20	OMEGA ADVISORS (OMGAGS O)	041	TEVA	S	215,670	37.95	n/a	17-Dec	8626.80 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,668.70</b>

TOTAL (Trade Date) :	51,608.87
TOTAL (AO, CXL, CRT) :	4,668.70

<b>TOTAL (RUN DATE) / NFS:</b>	<b>56,277.57</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