

Daily Compliance Activity Report Trade Date: 12/20/2011

Potential ANALYST TRADE Violations: 0 Watch List ACTIVITY ALERT: 0

* **							Water List Activiti A			
Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
LATEFF MGMT	035	AA	В	1,050	8.84	n/a	n/a	105.00	10.0	
DEVENNY CAP LLC	044	ABX	S	10,000	46.11	n/a	n/a	300.00	3.0	
PATTEN & PATTEN	025	AB	S	300	13.44	n/a	n/a	15.00	5.0	
CHARLES MAXWELL KAIC	FID	APO	В	405	12.00	n/a	n/a	0.00	0.0	
BARBARA S LEDDY	FID	ARCO	В	200	19.91	n/a	31-0ct	0.00	0.0	
MANNY I KORMAN	FID	ARCO	В	15000	19.89	n/a	31-0ct	0.00	0.0	
PLATTE RIVER CAPITAL	240	ARCO	В	37,000	19.90	n/a	31-Oct	1,480.00	4.0	
PLATTE RIVER CAPITAL	240	ARMH	S	27,500	26.98	n/a	n/a	1,100.00	4.0	
MANNY I KORMAN	FID	BAC	В	60000	5.13	n/a	15-Dec	0.00	0.0	
PATTEN & PATTEN	025	ВА	В	150	72.46	n/a	29-Nov	7.50	5.0	
LATEFF MGMT	035	BDN	S	1,000	9.15	n/a	n/a	100.00	10.0	
PATTEN & PATTEN	025	BDX	S	120	72.73	n/a	n/a	6.00	5.0	
JOSEPH CIRO AMATURO	FID	BGZ	В	2000	32.15	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT		BIG	В	50,000	37.41	n/a	2-Dec	non-brg	4.0	
KLEINHEINZ CAP PART	031	BIG	В	68,000	38.05	n/a	2-Dec	3,400.00	5.0	
LATEFF MGMT	035	BMS	S	400	29.70	n/a	n/a	40.00	10.0	
	ACCOUNT LATEFF MGMT DEVENNY CAP LLC PATTEN & PATTEN CHARLES MAXWELL KAIC BARBARA S LEDDY MANNY I KORMAN PLATTE RIVER CAPITAL PLATTE RIVER CAPITAL MANNY I KORMAN PATTEN & PATTEN LATEFF MGMT PATTEN & PATTEN JOSEPH CIRO AMATURO BUCK CAPITAL MGMT KLEINHEINZ CAP PART	Account RR# LATEFF MGMT 035 DEVENNY CAP LLC 044 PATTEN & PATTEN 025 CHARLES MAXWELL KAIC FID BARBARA S LEDDY FID MANNY I KORMAN FID PLATTE RIVER CAPITAL 240 PLATTE RIVER CAPITAL 240 MANNY I KORMAN FID PATTEN & PATTEN 025 LATEFF MGMT 035 PATTEN & PATTEN 025 JOSEPH CIRO AMATURO FID BUCK CAPITAL MGMT KLEINHEINZ CAP PART 031	Account RR# Symbol LATEFF MGMT 035 AA DEVENNY CAP LLC 044 ABX PATTEN & PATTEN 025 AB CHARLES MAXWELL KAIC FID APO BARBARA S LEDDY FID ARCO MANNY I KORMAN FID ARCO PLATTE RIVER CAPITAL 240 ARMH MANNY I KORMAN FID BAC PATTEN & PATTEN 025 BA LATEFF MGMT 035 BDN PATTEN & PATTEN 025 BDX JOSEPH CIRO AMATURO FID BGZ BUCK CAPITAL MGMT BIG KLEINHEINZ CAP PART 031 BIG	Account RR# Symbol B/S LATEFF MGMT 035 AA B DEVENNY CAP LLC 044 ABX S PATTEN & PATTEN 025 AB S CHARLES MAXWELL KAIC FID APO B BARBARA S LEDDY FID ARCO B PLATTE RIVER CAPITAL 240 ARCO B PLATTE RIVER CAPITAL 240 ARMH S MANNY I KORMAN FID BAC B PATTEN & PATTEN 025 BA B LATEFF MGMT 035 BDN S PATTEN & PATTEN 025 BDX S JOSEPH CIRO AMATURO FID BGZ B BUCK CAPITAL MGMT BIG B KLEINHEINZ CAP PART 031 BIG B	Account RR# Symbol B/S Shares LATEFF MGMT 035 AA B 1,050 DEVENNY CAP LLC 044 ABX S 10,000 PATTEN & PATTEN 025 AB S 300 CHARLES MAXWELL KAIC FID APO B 405 BARBARA S LEDDY FID ARCO B 200 MANNY I KORMAN FID ARCO B 37,000 PLATTE RIVER CAPITAL 240 ARMH S 27,500 MANNY I KORMAN FID BAC B 60000 PATTEN & PATTEN 025 BA B 150 LATEFF MGMT 035 BDN S 1,000 PATTEN & PATTEN 025 BDX S 120 JOSEPH CIRO AMATURO FID BGZ B 2000 BUCK CAPITAL MGMT BIG B 50,000 KLEINHEINZ CAP PART 031 BIG B 68,000	Account RR# Symbol B/S Shares Price LATEFF MGMT 035 AA B 1,050 8.84 DEVENNY CAP LLC 044 ABX S 10,000 46.11 PATTEN & PATTEN 025 AB S 300 13.44 CHARLES MAXWELL KAIC FID APO B 405 12.00 BARBARA S LEDDY FID ARCO B 200 19.91 MANNY I KORMAN FID ARCO B 37,000 19.89 PLATTE RIVER CAPITAL 240 ARMH S 27,500 26.98 MANNY I KORMAN FID BAC B 60000 5.13 PATTEN & PATTEN 025 BA B 150 72.46 LATEFF MGMT 035 BDN S 1,000 9.15 PATTEN & PATTEN 025 BDX S 120 72.73 JOSEPH CIRO AMATURO FID BGZ B 2000 37.41 </td <td>Account RR# Symbol B/S Shares Price MRI LATEFF MGMT 035 AA B 1,050 8.84 n/a DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a PATTEN & PATTEN 025 AB S 300 13.44 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a BARBARA S LEDDY FID ARCO B 200 19.91 n/a MANNY I KORMAN FID ARCO B 15000 19.90 n/a PATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a PATTER ROWAL 025<!--</td--><td>Account RR# Symbol B/S Shares Price MRI Research LATEFF MGMT 035 AA B 1,050 8.84 n/a n/a DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a n/a PATTEN & PATTEN 025 AB S 300 13.44 n/a n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a n/a BARBARA S LEDDY FID APO B 200 19.91 n/a 31-Oct MANNY I KORMAN FID ARCO B 15000 19.89 n/a 31-Oct PLATTER RIVER CAPITAL 240 ARCO B 37,000 19.90 n/a 31-Oct PATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a n/a 15-Dec PATTER & PATTEN 025 BA B 60000 5.13 n/a n/a</td><td>Account RR# Symbol B/S Shares Price MRI Research Comm. LATEFF MGMT 035 AA B 1,050 8.84 n/a n/a 105.00 DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a n/a 300.00 PATTEN & PATTEN 025 AB S 300 13.44 n/a n/a 15.00 CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a n/a 0.00 BARBARA S LEDDY FID ARCO B 200 19.91 n/a 31-oct 0.00 MANNY I KORMAN FID ARCO B 15000 19.89 n/a 31-oct 0.00 PLATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a n/a 1,100.00 PATTEN & PATTEN 025 BA B 150 72.46 n/a 29-Nov 7.50</td></td>	Account RR# Symbol B/S Shares Price MRI LATEFF MGMT 035 AA B 1,050 8.84 n/a DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a PATTEN & PATTEN 025 AB S 300 13.44 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a BARBARA S LEDDY FID ARCO B 200 19.91 n/a MANNY I KORMAN FID ARCO B 15000 19.90 n/a PATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a PATTER ROWAL 025 </td <td>Account RR# Symbol B/S Shares Price MRI Research LATEFF MGMT 035 AA B 1,050 8.84 n/a n/a DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a n/a PATTEN & PATTEN 025 AB S 300 13.44 n/a n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a n/a BARBARA S LEDDY FID APO B 200 19.91 n/a 31-Oct MANNY I KORMAN FID ARCO B 15000 19.89 n/a 31-Oct PLATTER RIVER CAPITAL 240 ARCO B 37,000 19.90 n/a 31-Oct PATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a n/a 15-Dec PATTER & PATTEN 025 BA B 60000 5.13 n/a n/a</td> <td>Account RR# Symbol B/S Shares Price MRI Research Comm. LATEFF MGMT 035 AA B 1,050 8.84 n/a n/a 105.00 DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a n/a 300.00 PATTEN & PATTEN 025 AB S 300 13.44 n/a n/a 15.00 CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a n/a 0.00 BARBARA S LEDDY FID ARCO B 200 19.91 n/a 31-oct 0.00 MANNY I KORMAN FID ARCO B 15000 19.89 n/a 31-oct 0.00 PLATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a n/a 1,100.00 PATTEN & PATTEN 025 BA B 150 72.46 n/a 29-Nov 7.50</td>	Account RR# Symbol B/S Shares Price MRI Research LATEFF MGMT 035 AA B 1,050 8.84 n/a n/a DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a n/a PATTEN & PATTEN 025 AB S 300 13.44 n/a n/a CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a n/a BARBARA S LEDDY FID APO B 200 19.91 n/a 31-Oct MANNY I KORMAN FID ARCO B 15000 19.89 n/a 31-Oct PLATTER RIVER CAPITAL 240 ARCO B 37,000 19.90 n/a 31-Oct PATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a n/a 15-Dec PATTER & PATTEN 025 BA B 60000 5.13 n/a n/a	Account RR# Symbol B/S Shares Price MRI Research Comm. LATEFF MGMT 035 AA B 1,050 8.84 n/a n/a 105.00 DEVENNY CAP LLC 044 ABX S 10,000 46.11 n/a n/a 300.00 PATTEN & PATTEN 025 AB S 300 13.44 n/a n/a 15.00 CHARLES MAXWELL KAIC FID APO B 405 12.00 n/a n/a 0.00 BARBARA S LEDDY FID ARCO B 200 19.91 n/a 31-oct 0.00 MANNY I KORMAN FID ARCO B 15000 19.89 n/a 31-oct 0.00 PLATTER RIVER CAPITAL 240 ARMH S 27,500 26.98 n/a n/a 1,100.00 PATTEN & PATTEN 025 BA B 150 72.46 n/a 29-Nov 7.50	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
	PATTEN & PATTEN	025	вто	В	500	13.40	n/a	n/a	25.00	5.0	
ß	BUCK CAPITAL MGMT		CCL	В	30,000	32.82	n/a	n/a	non-brg	1.0	
f	LEE F BACKUS	FID	CHCG	s	10000	0.05	n/a	n/a	0.00	0.0	
f	SNEJANA P GARFUNKEL	FID	CHCG	S	10000	0.05	n/a	n/a	0.00	0.0	
	HALCYON LLC	041	СКН	В	1,900	89.01	n/a	n/a	57.00	3.0	
	FARALLON CAP MGMT	040	CMCSA	S	155 , 892	23.44	n/a	n/a	4,676.76	3.0	
	PENNANT CAP MGMT	029	COL	S	200,000	54.90	n/a	5-Dec	6,000.00	3.0	
	SURVEYOR CAPITAL	251	СРВ	S	30,584	32.86	n/a	n/a	917.52	3.0	
	ROARING BLUE LION MGMT	031	CROX	В	10,900	14.99	n/a	n/a	436.00	4.0	
	PATTEN & PATTEN	025	CSCO	S	200	18.45	n/a	n/a	10.00	5.0	
	SENATOR INVESTMENT GROUP	036	CVI	В	50,000	18.06	n/a	n/a	1,500.00	3.0	
	LATEFF MGMT	035	DD	В	850	44.99	n/a	20-Dec	110.50	13.0	
	TRELLUS PARTNERS LP	028	DE	SS	25,000	76.14	n/a	23-Nov	1,250.00	5.0	
f	CICILY S BACKUS	FID	DLA	s	2000	18.32	n/a	n/a	0.00	0.0	
	SURVEYOR CAPITAL	251	DPZ	S	45 , 521	33.43	n/a	20-Oct	1,365.63	3.0	
	LATEFF MGMT	035	DRE	В	1,500	11.94	n/a	n/a	150.00	10.0	

	Account RR		Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
ß	BUCK CAPITAL MGMT		DSW	S	20,000	45.32	n/a	11-Feb	non-brg	4.0
	SYSTEMATIC FINANCIAL MGT	035	EA	В	120,000	20.36	n/a	n/a	3,600.00	3.0
f	EDWARD W WHEELER	FID	ECL	S	5000	54.45	n/a	12-Dec	0.00	0.0
f	EDWARD W WHEELER	FID	ETG	В	10000	12.32	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	EXG	В	15000	8.07	n/a	n/a	0.00	0.0
f	SARA J SCHWARZWALDER	FID	FDIVX	S	1146	25.24	n/a	n/a	0.00	0.0
	HARVEST MGMT	029	FL	S	12,000	23.00	n/a	18-Nov	480.00	4.0
	MA CAPITAL MGMT/MELLON AD	V041	FL	В	6,000	23.14	n/a	18-Nov	300.00	5.0
	MACQUARIE INVESTMENT MGMT	. 040	FL	S	6,300	23.04	n/a	18-Nov	0.00	0.0
f	JILL ROSENBERG	FID	FNSXX	s	415	1.00	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FNSXX	S	406	1.00	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	FRC	В	100	29.93	n/a	n/a	5.00	5.0
f	SARA J SCHWARZWALDER	FID	FSEMX	В	1563	35.13	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	GIS	В	1000	39.20	n/a	n/a	0.00	0.0
	LATEFF MGMT	035	GLW	S	300	12.80	n/a	12-Dec	33.00	11.0
	BALYASNY ASSET MGMT	044	GM	В	25 , 000	19.50	n/a	2-Dec	1,250.00	5.0
	PATTEN & PATTEN	025	GVI	В	200	111.11	n/a	n/a	10.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
	LATEFF MGMT	035	HD	S	300	41.54	n/a	8-Dec	39.00	13.0	
	WHITE PINE CAPITAL	030	HEK	S	14,000	6.89	n/a	n/a	420.00	3.0	
ß	BUCK CAPITAL MGMT		HLF	В	20,000	52.45	n/a	n/a	non-brg	2.5	
	LATEFF MGMT	035	HPQ	В	125	26.00	n/a	n/a	27.50	22.0	
	SIMMONS VENTURES	041	HWD	В	1,500	9.90	n/a	n/a	60.00	4.0	
	PATTEN & PATTEN	025	IAI	S	200	20.68	n/a	n/a	10.00	5.0	
	PATTEN & PATTEN	025	INTC	В	400	23.91	n/a	n/a	20.00	5.0	
	PATTEN & PATTEN	025	ITT	S	50	19.74	n/a	n/a	2.50	5.0	
	CAERUS GLOBAL	041	JNY	S	17,600	9.65	n/a	27-Oct	704.00	4.0	
	PATTEN & PATTEN	025	JPM	S	1,040	31.96	n/a	15-Dec	52.00	5.0	
	LATEFF MGMT	035	KFT	S	175	36.85	n/a	n/a	22.75	13.0	
	SURVEYOR CAPITAL	251	KFT	В	81,500	36.91	n/a	n/a	2,445.00	3.0	
	LATEFF MGMT	035	KMB	S	100	72.24	n/a	25-Oct	30.00	30.0	
	HARVEST MGMT	029	LAVA	SS	10,000	7.16	n/a	n/a	400.00	4.0	
f	DAVID GEORGE BUCK	FID	LIFE	В	1000	39.75	n/a	n/a	0.00	0.0	
	PATTEN & PATTEN	025	LLY	В	275	40.99	n/a	n/a	13.75	5.0	

	Account		Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
В	BUCK CAPITAL MGMT		LL	В	30,000	16.81	n/a	n/a	non-brg	4.0
	HARVEST MGMT	029	LOW	В	15,000	25.39	n/a	7-Dec	600.00	4.0
	PATTEN & PATTEN	025	LQD	В	250	113.42	n/a	n/a	12.50	5.0
	TUDOR INVESTORS	028	MHK	В	2,000	55.50	n/a	n/a	60.00	3.0
f	DAVID GEORGE BUCK	FID	MHN	В	3000	14.82	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	MMM	S	108	80.09	n/a	12-Dec	5.40	5.0
	NORTHWESTERN MUTUAL LIFE	047	MMP	S	3,000	65.65	n/a	n/a	120.00	4.0
	CRAMER ROSENTHAL/SCOTT	070	MTN	В	9 , 700	43.66	n/a	n/a	388.00	4.0
f	EDWARD W WHEELER	FID	MTOR	s	10000	5.33	n/a	n/a	0.00	0.0
-		112	HION	J	10000	3.33	11, 4	11, 4	0.00	0.0
	PECONIC PARTNERS	036	NBL	В	50,000	91.63	n/a	n/a	2,500.00	5.0
	KACELA CAPITAL	034	NCR	В	3 , 574	16.30	n/a	n/a	142.96	4.0
	DEVENNY CAP LLC	044	NEM	В	10,000	62.48	n/a	n/a	300.00	3.0
	WEINTRAUB CAPITAL MGT.	040	NEM	В	80,000	62.69	n/a	n/a	3,200.00	4.0
f	DAVID GEORGE BUCK	FID	NNY	s	2500	9.79	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	NSC	В	25	70.53	n/a	n/a	1.25	5.0
	PATTEN & PATTEN	025	NUE	S	100	39.84	n/a	n/a	5.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
f	CICILY S BACKUS	FID	NWL	В	3000	15.24	n/a	n/a	0.00	0.0
f	SNEJANA P GARFUNKEL	FID	NWL	В	1000	15.23	n/a	n/a	0.00	0.0
f	SNEJANA P GARFUNKEL	FID	NWL	В	500	15.24	n/a	n/a	0.00	0.0
	LATEFF MGMT	035	NYB	В	400	11.97	n/a	7-Dec	40.00	10.0
	LATEFF MGMT	035	OI	В	400	18.33	n/a	n/a	40.00	10.0
	LATEFF MGMT	035	PBCT	В	900	12.37	n/a	21-0ct	90.00	10.0
ß	BUCK CAPITAL MGMT		PERY	S	94,074	13.60	n/a	n/a	non-brg	4.0
	LATEFF MGMT	035	PG	S	125	65.71	n/a	16-Nov	37.50	30.0
	KACELA CAPITAL	034	PIR	S	53,719	13.75	n/a	n/a	2,148.76	4.0
В	BUCK CAPITAL MGMT		RCII	В	10,000	36.58	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		RCII	В	20,000	36.76	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		RCL	В	30,000	24.93	n/a	n/a	non-brg	1.0
	SURVEYOR CAPITAL	251	RCL	S	86,300	24.29	n/a	n/a	2,589.00	3.0
	PATTEN & PATTEN	025	RF	S	304	4.05	n/a	n/a	15.20	5.0
	WEINTRAUB CAPITAL MGT.	040	RTN	В	75 , 000	46.94	n/a	21-Nov	3,000.00	4.0
	PATTEN & PATTEN	025	SDS	S	750	19.93	n/a	n/a	37.50	5.0
	HARVEST MGMT	029	SHW	В	5,000	86.02	n/a	14-Dec	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
PATTEN & PATTEN	025	SIAL	S	50	65.03	n/a	12-Dec	2.50	5.0
ß BUCK CAPITAL MGMT		SKX	С	50,000	12.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	С	50,000	12.25	n/a	n/a	non-brg	4.0
ROARING BLUE LION MGMT	031	SSI	S	7,777	14.46	n/a	n/a	311.08	4.0
PATTEN & PATTEN	025	STI	S	100	16.65	n/a	n/a	5.00	5.0
FARALLON CAP MGMT	040	STT	S	125,000	40.56	n/a	19-Dec	5,000.00	4.0
PATTEN & PATTEN	025	SWN	S	100	32.56	n/a	20-Dec	5.00	5.0
TRUST CO OF THE WEST/NY	040	S	S	31,200	2.22	n/a	n/a	936.00	3.0
TRUST CO/COWEN/CALF.	040	S	S	828,225	2.22	n/a	n/a	24,846.75	3.0
LATEFF MGMT	035	TCB	S	500	9.87	n/a	n/a	50.00	10.0
BRONSON POINT	036	TGT	S	25,000	51.90	n/a	2-Dec	750.00	3.0
PATTEN & PATTEN	025	T	В	100	29.13	n/a	n/a	5.00	5.0
LEVIN CAPITAL STRATEGIES	041	URBN	С	36,696	26.85	n/a	n/a	1,100.88	3.0
PATTEN & PATTEN	025	UTX	S	135	74.43	n/a	n/a	6.75	5.0
WEINTRAUB CAPITAL MGT.	040	VC	В	10,000	47.14	n/a	n/a	400.00	4.0
f EDWARD W WHEELER	FID	VE	s	10000	10.47	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
f	JONATHAN RICHARD HAR		VRA	В	400	30.70	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		WSM	В	20,000	38.11	n/a	n/a	non-brg	4.0
	PATTEN & PATTEN	025	XLS	S	100	8.61	n/a	n/a	5.00	5.0
	PATTEN & PATTEN	025	XYL	S	100	24.16	n/a	n/a	5.00	5.0
	PATTEN & PATTEN	025	X	S	2,060	24.83	n/a	n/a	103.00	5.0

TOTAL (Trade Date):

82,041.44

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CXL	12/19	BROADARCH CAP/OLD NEWC	070	QQQ	В	400	55.09	n/a	n/a	16.00	4.0
AO,CRT	12/19	BROADARCH CAP/OLD NEWC	070	QQQ	В	400	55.09	n/a	n/a	16.00	4.0
AO, CRT	12/19	SANDLER O'NEILL ASSET	031	STT	SS	2,992	40.00	n/a	19-Dec	149.60	5.0
AO,CXL	12/19	SANDLER O'NEILL ASSET	031	STT	SS	2,992	40.00	n/a	19-Dec	149.60	5.0
TOTAL	(AO, 0	CXL, CRT):								0.00	

TOTAL (RUN DATE) / NFS:	82,041.44
TOTAL (AO, CXL, CRT):	0.00
TOTAL (Trade Date):	82,041.44

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
Type	Date	Account	DAUDOT	<i>D</i> / 3	Silares	FIICE	Mil Research	COMMIT. 4/ SITE.

MRI Securities with Trade Activity on 20-Dec. NONE

MRI Securities without Trade Activity on 20-Dec.

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 2%

Legend:

O: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)