



# Daily Compliance Activity Report

Trade Date: 06/11/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AAPL	S	200	252.09	n/a	n/a	10.00	5.0
EXIS CAPITAL	044	ANF	B	5,000	35.64	n/a	4-Jun	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	36.30	n/a	4-Jun	875.00	3.5
PATTEN & PATTEN	067	APD	S	400	69.05	n/a	10-May	20.00	5.0
LAGRANGE CAP ADV	048	AXL	S	34,000	8.90	n/a	3-May	1,700.00	5.0
PATTEN & PATTEN	067	BDX	S	400	69.47	n/a	n/a	20.00	5.0
STERLING JOHNSTON	035	BWS	B	25,000	16.31	n/a	n/a	1,000.00	4.0
WATERFRONT CAP	028	CAKE	B	82,000	24.72	n/a	23-Apr	3,280.00	4.0
WATERFRONT CAP	028	CBRL	SS	41,000	48.71	n/a	n/a	1,640.00	4.0
PATTEN & PATTEN	067	CB	S	578	51.60	n/a	n/a	28.90	5.0
PATTEN & PATTEN	067	CNI	S	500	60.00	n/a	n/a	25.00	5.0
SANDLER O'NEILL ASSET	031	C	B	50,000	3.90	n/a	11-Jun	1,000.00	2.0
1798 CAP/LOMBARD ASSET	040	DO	C	10,000	60.85	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	DUK	S	1,500	16.11	n/a	n/a	75.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	B	11,900	21.52	n/a	11-Jun	476.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EPP	S	650	38.00	n/a	n/a	32.50	5.0
PATTEN & PATTEN	067	ETN	S	400	70.27	n/a	27-May	20.00	5.0
PATTEN & PATTEN	067	EWZ	S	200	65.27	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	EXC	S	500	39.65	n/a	n/a	25.00	5.0
SANDLER CAPITAL	226	FBN	S	50,000	6.71	n/a	n/a	3,000.00	6.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FL</b>	<b>B</b>	<b>3,500</b>	<b>14.14</b>	<b>n/a</b>	<b>11-Jun</b>	<b>210.00</b>	<b>6.0</b>
SCOPUS FUND	041	FL	B	50,000	14.31	n/a	11-Jun	2,500.00	5.0
ROTHSCHILD ASSET	040	FUL	S	16,436	21.05	n/a	n/a	657.44	4.0
PATTEN & PATTEN	067	F	S	1,500	11.38	n/a	3-Jun	75.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>80,000</b>	<b>31.07</b>	<b>n/a</b>	<b>14-May</b>	<b>3,200.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	GLD	S	400	120.00	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	GLW	S	1,000	18.09	n/a	9-Jun	50.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>S</b>	<b>40,000</b>	<b>28.22</b>	<b>n/a</b>	<b>14-May</b>	<b>1,600.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	IBM	S	300	128.24	n/a	n/a	15.00	5.0
SOROS	036	KEG	B	25,000	9.99	n/a	3-Jun	750.00	3.0
MERRILL ASSET/BLACKROCK	263	KG	B	9,600	7.97	n/a	11-Jun	384.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	KO	S	500	51.46	n/a	23-Apr	25.00	5.0
PATTEN & PATTEN	067	LAZ	S	800	31.85	n/a	11-Jun	40.00	5.0
SOROS	036	LLL	SS	25,000	79.51	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	LPX	SS	40,000	7.61	n/a	11-May	2,000.00	5.0
WAGONHOUND/NIC	048	MGM	S	125,000	11.48	n/a	11-May	5,000.00	4.0
PATTEN & PATTEN	067	MRK	S	500	34.77	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	MS	S	700	25.89	n/a	11-Jun	35.00	5.0
EXIS CAPITAL	044	M	B	10,000	21.15	n/a	4-Jun	500.00	5.0
PATTEN & PATTEN	067	NUE	S	800	42.47	n/a	n/a	40.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>B</b>	<b>20,000</b>	<b>2.54</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	OXY	S	400	84.79	n/a	n/a	20.00	5.0
CIRCLE T/SES PART	035	PAG	B	25,000	12.63	n/a	3-May	1,000.00	4.0
PATTEN & PATTEN	067	PEP	S	500	63.23	n/a	n/a	25.00	5.0
LAGRANGE CAP ADV	048	PFCB	SS	10,000	44.40	n/a	11-Jun	500.00	5.0
PATTEN & PATTEN	067	PHO	S	1,500	15.90	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	PKG	B	17,500	22.19	n/a	20-Apr	875.00	5.0
GALT INVESTMENT	041	PNRA	B	10,000	82.59	n/a	28-Apr	500.00	5.0
PATTEN & PATTEN	067	PRU	S	500	58.60	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	PWR	S	1,500	21.63	n/a	n/a	75.00	5.0
COLUMBUS CAP MGMT LLC	084	PXLW	S	15,000	3.75	n/a	n/a	450.00	3.0
PATTEN & PATTEN	067	RHHBY	S	600	33.67	n/a	n/a	30.00	5.0
SOROS	036	SAI	SS	50,000	17.45	n/a	n/a	2,000.00	4.0
SOROS	036	SGY	S	100,000	13.25	n/a	n/a	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>170,000</b>	<b>40.38</b>	<b>n/a</b>	<b>n/a</b>	<b>6,800.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	SLB	S	350	59.20	n/a	n/a	17.50	5.0
PATTEN & PATTEN	067	SWN	S	1,000	43.70	n/a	3-Jun	50.00	5.0
PATTEN & PATTEN	067	TEVA	S	400	52.85	n/a	11-Jun	20.00	5.0
PATTEN & PATTEN	067	TIP	S	250	105.69	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	T	S	700	25.19	n/a	n/a	35.00	5.0
M&I FUNDS	047	UA	S	20,800	34.20	n/a	28-Apr	832.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	100,000	36.68	n/a	n/a	3,500.00	3.5
PATTEN & PATTEN	067	UTX	S	400	65.75	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	WAG	S	1,000	29.37	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	WFR	S	200	10.79	n/a	n/a	10.00	5.0
EXIS CAPITAL	044	WRC	B	10,000	41.44	n/a	14-May	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	WRC	B	100,000	41.89	n/a	14-May	3,000.00	3.0
MTB INV ADV	034	WXS	S	15,050	30.58	n/a	n/a	752.50	5.0
PATTEN & PATTEN	067	WY	S	500	40.89	n/a	27-May	25.00	5.0
GREEN ARROW DOUG	040	YUM	SS	25,000	42.05	n/a	15-Apr	1,250.00	5.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	42.09	n/a	15-Apr	2,500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>61,863.34</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/10	COLUMBUS CIRCLE (COLC3050)	036	GWR	B	4,408	37.26	n/a	n/a	176.32 4.0
AO,	06/10	COLUMBUS CIRCLE (COLC3050)	036	MGLN	S	1,930	38.38	n/a	n/a	77.20 4.0
AO,	06/10	COLUMBUS CIRCLE (COLC3040)	036	NUAN	S	1,826	16.38	n/a	n/a	36.52 2.0
AO,	06/10	COLUMBUS CIRCLE (COLC3040)	036	NUAN	S	17,141	16.30	n/a	n/a	685.64 4.0
AO,	06/10	COLUMBUS CIRCLE (COLC3040)	036	NUAN	S	733	16.28	n/a	n/a	14.66 2.0
AO,	06/10	CAVU CAP ADV (CAVUCREDIS)	028	UNP	B	17,922	71.10	n/a	n/a	896.10 5.0
AO,	06/10	CAVU CAP ADV (CAVUMORGAN)	028	UNP	B	2,078	71.10	n/a	n/a	103.90 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,990.34</b>

TOTAL (Trade Date):	61,863.34
TOTAL (AO, CXL, CRT):	1,990.34

<b>TOTAL (RUN DATE) / NFS:</b>	<b>63,853.68</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