



Daily Compliance Activity Report

Trade Date: 12/17/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AB	S	2,750	22.54	n/a	n/a	137.50	5.0
PATTEN & PATTEN	025	ADBE	S	1,100	28.47	n/a	n/a	55.00	5.0
PATTEN & PATTEN	025	AML	B	6,700	15.73	n/a	n/a	335.00	5.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	27.52	n/a	n/a	600.00	3.0
PATTEN & PATTEN	025	APD	S	1,000	88.59	n/a	10-Dec	50.00	5.0
OSKIE CAPITAL MGMT	224	ARM	B	5,000	20.10	n/a	n/a	250.00	5.0
CAXTON PART	040	AXP	S	18,126	44.62	n/a	17-Dec	634.42	3.5
OSKIE CAPITAL MGMT	224	BA	B	10,000	64.70	n/a	22-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	BID	B	10,000	47.03	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	BK	B	500	29.40	n/a	16-Dec	25.00	5.0
COOKBIELER	028	CTAS	B	64,869	29.48	n/a	n/a	2,594.76	4.0
SENATOR INVESTMENT GROUP	036	DAN	B	50,000	17.05	n/a	29-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	DDS	B	120,000	37.34	n/a	n/a	3,600.00	3.0
SCOPUS FUND	041	DE	B	23,000	81.61	n/a	26-Nov	920.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ST OF MICHIAN	047	DTV	B	160,000	39.55	n/a	n/a	4,800.00	3.0
ROSEDALE CAPITAL	046	DVN	B	10,000	72.94	n/a	14-Dec	500.00	5.0
SPARTA ASSET MGMT	035	ELX	B	11,100	11.40	n/a	n/a	333.00	3.0
LAKEVIEW INV GROUP LLC	031	FOR	B	6,115	18.58	n/a	3-Nov	183.45	3.0
ST OF MICHIAN	047	FTI	S	60,000	87.72	n/a	n/a	1,800.00	3.0
SCOPUS FUND	041	GES	B	27,850	49.53	n/a	24-Nov	1,114.00	4.0
PATTEN & PATTEN	025	HCF	B	9,120	7.50	n/a	n/a	456.00	5.0
US BANCORP	030	IGT	B	108,978	16.84	n/a	7-Dec	5,448.90	5.0
SAC CHICAGO ANDREW	031	JAS	B	10,000	45.30	n/a	n/a	350.00	3.5
PATTEN & PATTEN	025	JCI	B	2,000	38.78	n/a	7-Dec	100.00	5.0
OSKIE CAPITAL MGMT	224	JPM	B	6,000	39.84	n/a	17-Dec	300.00	5.0
PIONEER PATH	226	KEY	SS	59,737	8.33	n/a	n/a	1,792.11	3.0
PATTEN & PATTEN	025	KMB	B	800	62.25	n/a	27-Oct	40.00	5.0
PIONEER PATH	226	KMX	B	48,300	35.40	n/a	n/a	1,449.00	3.0
NICOLAS APPELEGATE	084	KO	S	94,000	65.47	n/a	26-Oct	1,880.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURSUM CAPITAL	215	KSS	B	10,000	53.75	n/a	30-Nov	300.00	3.0
METROPOLITAN CAPITAL	044	LEA	S	3,700	100.00	n/a	29-Oct	185.00	5.0
US BANCORP	030	LIFE	B	140,945	55.59	n/a	n/a	7,047.25	5.0
PIONEER PATH	226	MAT	B	38,381	25.23	n/a	n/a	1,151.43	3.0
PATTEN & PATTEN	025	MAV	S	6,000	12.98	n/a	n/a	300.00	5.0
OSKIE CAPITAL MGMT	224	MF	B	15,000	8.04	n/a	n/a	750.00	5.0
PATTEN & PATTEN	025	MRK	B	600	36.17	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	MS	S	200	25.83	n/a	16-Dec	10.00	5.0
BUCK CAPITAL MGMT	001	M	S	20,000	26.00	n/a	30-Nov	600.00	3.0
SONTERRA CAP	041	NAV	S	15,000	58.43	n/a	n/a	600.00	4.0
SURVEYOR CAPITAL	041	NBR	SS	22,862	21.89	n/a	n/a	685.86	3.0
PATTEN & PATTEN	025	NEE	B	50	50.95	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	NVS	S	200	58.44	n/a	n/a	10.00	5.0
OSKIE CAPITAL MGMT	224	OSK	S	5,000	34.50	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	OSK	S	200	34.60	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	PCAR	B	1,600	56.63	n/a	23-Nov	80.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/M GRONET	030	PG	SS	15,000	64.94	n/a	10-Dec	525.00	3.5
ARMATURE CAPITAL	041	PH	SS	35,000	85.15	n/a	20-Oct	1,400.00	4.0
PATTEN & PATTEN	025	PWR	S	7,800	19.50	n/a	n/a	390.00	5.0
PATTEN & PATTEN	025	PX	B	800	93.70	n/a	26-Nov	40.00	5.0
PATTEN & PATTEN	025	RHHBY	S	800	35.60	n/a	n/a	40.00	5.0
COHE & STEERS	041	RYN	B	177,711	50.27	n/a	27-Oct	7,108.44	4.0
PATTEN & PATTEN	025	SLB	S	950	80.92	n/a	n/a	47.50	5.0
PATTEN & PATTEN	025	SNY	S	2,500	32.12	n/a	n/a	125.00	5.0
CHARTER OAK	033	SWN	B	100,000	36.17	n/a	17-Dec	5,000.00	5.0
PATTEN & PATTEN	025	SWN	B	400	36.33	n/a	17-Dec	20.00	5.0
IRIDIAN ASSET MGMT.	036	SWY	B	251,880	21.74	n/a	n/a	12,594.00	5.0
PIIONEER PATH	226	TCB	B	8,175	13.45	n/a	n/a	245.25	3.0
PATTEN & PATTEN	025	TEVA	B	200	51.98	n/a	15-Dec	10.00	5.0
PATTEN & PATTEN	025	TIF	B	1,000	64.79	n/a	n/a	50.00	5.0
SHEFFIELD ASSET MGMT	031	TIN	B	40,000	20.74	n/a	15-Dec	1,600.00	4.0
PATTEN & PATTEN	025	TIP	S	250	107.04	n/a	n/a	12.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	TPX	SS	56,972	37.86	n/a	n/a	2,278.88	4.0
PATTEN & PATTEN	025	UNM	B	500	23.74	n/a	n/a	25.00	5.0
CAXTON PART	040	UTX	B	18,310	78.64	n/a	n/a	640.87	3.5
CAXTON PART	040	WFC	S	18,136	30.01	n/a	16-Dec	634.77	3.5
SAC CAPITAL/M GRONET	030	WMT	B	45,000	54.60	n/a	17-Nov	1,575.00	3.5
PATTEN & PATTEN	025	WPS	B	1,100	33.88	n/a	n/a	55.00	5.0
BNP PARIBAS SEC	040	WY	B	20,000	18.17	n/a	29-Oct	1,000.00	5.0
PATTEN & PATTEN	025	WY	B	200	18.00	n/a	29-Oct	10.00	5.0
TOTAL (Trade Date):								79,487.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/16	NOKOMIS PARTNERS (NOKOCONJPM)	031	MOSY	S	7,670	4.89	n/a	n/a	230.10 3.0
AO,CXL	12/16	NOKOMIS PARTNERS (NOKOJPMMER)	031	MOSY	S	20,632	4.89	n/a	n/a	1031.60 5.0
AO,CRT	12/16	NOKOMIS PARTNERS (NOKOJPMMER)	031	MOSY	S	12,962	4.89	n/a	n/a	388.86 3.0
AO,CRT	12/16	PATTEN & PATTEN (PATTMERR)	025	RIMM	S	650	59.41	n/a	n/a	32.50 5.0
AO,CXL	12/16	PATTEN & PATTEN (PATTSCHWAB)	025	RIMM	S	650	59.41	n/a	n/a	32.50 5.0
AO,CXL	12/16	SCOPUS FUND (SCOPGS)	041	RYN	S	6,500	50.26	n/a	27-Oct	260.00 4.0
AO,CRT	12/16	SCOPUS FUND (SCOPGS)	041	RYN	S	7,500	50.26	n/a	27-Oct	300.00 4.0
AO,CXL	12/16	SCOPUS FUND (SCOPUBS)	041	RYN	S	43,500	50.26	n/a	27-Oct	1740.00 4.0
AO,CRT	12/16	SCOPUS FUND (SCOPUBS)	041	RYN	S	42,500	50.26	n/a	27-Oct	1700.00 4.0
TOTAL (AO, CXL, CRT) :										-412.64

TOTAL (Trade Date) :	79,487.39
TOTAL (AO, CXL, CRT) :	-412.64

TOTAL (RUN DATE) / NFS :	79,074.75
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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