



Daily Compliance Activity Report

Trade Date: 10/18/2010

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AEO	B	10,000	16.71	n/a	11-Oct	500.00	5.0
PATTEN & PATTEN	067	APC	B	150	57.44	n/a	30-Sep	7.50	5.0
PATTEN & PATTEN	067	APD	S	100	82.52	n/a	8-Oct	5.00	5.0
WAGONHOUND/NIC	289	AXL	S	62,056	9.13	n/a	11-Oct	1,861.68	3.0
DELTEC ASSET MGMT.	040	BEAV	S	10,000	32.21	n/a	12-Oct	500.00	5.0
BMO NESBITT BURNS	041	CEPH	B	4,000	64.52	n/a	18-Oct	200.00	5.0
THIRD COAST CAPITAL	035	CVGI	B	10,000	11.90	n/a	n/a	500.00	5.0
PLATTE RIVER CAPITAL	240	DELL	S	10,000	14.47	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	DOW	B	250	29.90	n/a	13-Oct	12.50	5.0
PATTEN & PATTEN	067	DVN	S	120	68.23	n/a	30-Sep	6.00	5.0
GREEN ARROW DOUG	040	EAT	SS	50,000	20.08	n/a	n/a	2,500.00	5.0
HOPLITE MGMT	025	EMC	S	851,720	20.67	n/a	n/a	34,068.80	4.0
M&I FUNDS	047	ETN	S	14,144	84.19	n/a	4-Oct	565.76	4.0
PATTEN & PATTEN	067	ETN	B	75	83.97	n/a	4-Oct	3.75	5.0
PATTEN & PATTEN	067	EWL	B	550	24.08	n/a	n/a	27.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	EXC	SS	20,000	43.71	n/a	n/a	800.00	4.0
WADDELL AND REED	047	GE	S	1,000,000	16.12	n/a	n/a	30,000.00	3.0
NOMURA CAPITAL	029	GGC	S	12,154	19.89	n/a	n/a	364.62	3.0
GREEN ARROW DOUG	040	GPS	S	10,000	19.84	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	HYG	S	200	89.93	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	IJH	B	200	81.95	n/a	n/a	10.00	5.0
LATEFF MGMT	035	IP	B	17,500	23.66	n/a	18-Oct	1,050.00	6.0
PATTEN & PATTEN	067	KBE	S	400	22.86	n/a	n/a	20.00	5.0
BENNETT LAWRENCE	028	KFRC	B	24,450	14.97	n/a	n/a	978.00	4.0
SYSTEMATIC FINANCIAL MGT	035	KSS	S	92,275	52.86	n/a	11-Oct	2,768.25	3.0
DC CAPITAL	044	LNC	S	50,000	25.56	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	LOW	B	10,000	21.05	n/a	16-Aug	500.00	5.0
MESIROW	031	LPS	S	5,612	26.68	n/a	n/a	224.48	4.0
PATTEN & PATTEN	067	LQD	S	125	112.04	n/a	n/a	6.25	5.0
MERRILL ASSET/BLACKROCK	266	MCY	B	10,700	42.75	n/a	n/a	428.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	289	MON	B	10,450	56.76	n/a	11-Oct	418.00	4.0
TRUSTCO/SUNTRUST	040	MSFT	S	150,950	25.92	n/a	n/a	5,283.25	3.5
DIAMONDBACK CAP MGMT	232	MS	S	10,000	25.39	n/a	15-Oct	500.00	5.0
PATTEN & PATTEN	067	NVS	B	25	59.64	n/a	n/a	1.25	5.0
NEWLAND CAPITAL MGT	067	PAG	S	10,000	13.86	n/a	11-Oct	400.00	4.0
WEISS PECK	040	PAG	B	29,530	13.71	n/a	11-Oct	1,476.50	5.0
PATTEN & PATTEN	067	PEP	B	45	66.56	n/a	n/a	2.25	5.0
MELLON/BANK OF NEW YORK	046	PFE	B	4,715	17.66	n/a	n/a	235.75	5.0
PATTEN & PATTEN	067	PID	B	600	15.30	n/a	n/a	30.00	5.0
MERRILL ASSET/BLACKROCK	266	PRE	B	6,100	81.00	n/a	n/a	244.00	4.0
PATTEN & PATTEN	067	PX	B	100	90.66	n/a	23-Aug	5.00	5.0
PATTEN & PATTEN	067	QCOM	B	25	44.24	n/a	n/a	1.25	5.0
FIRST NEW YORK NICK	029	Q	S	10,000	6.35	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	266	RGA	B	9,400	48.66	n/a	n/a	376.00	4.0
SENATOR INVESTMENT GROUP	036	RKT	B	40,000	53.77	n/a	n/a	1,200.00	3.0
ARCHON CAPITAL	035	RNOW	S	9,000	25.05	n/a	n/a	270.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	085	RVBD	B	75,000	46.48	n/a	n/a	3,750.00	5.0
Õ Nilsa Vazquez		SBUX	S	200	27.3401	n/a	15-Oct	0.00	0.0
PATTEN & PATTEN	067	SHY	S	100	84.44	n/a	n/a	5.00	5.0
GRUSS CAPITAL	025	SPR	S	5,000	21.36	n/a	12-Oct	150.00	3.0
TALKOT CAPITAL LLC	084	SSCC	S	5,000	22.27	n/a	18-Oct	200.00	4.0
PATTEN & PATTEN	067	TEVA	B	100	54.42	n/a	18-Oct	5.00	5.0
PATTEN & PATTEN	067	TSCO	B	275	39.03	n/a	n/a	13.75	5.0
MELLON/BANK OF NEW YORK	046	TSM	B	78,595	10.28	n/a	n/a	3,143.80	4.0
MELLON/BANK OF NEW YORK	046	TXN	S	36,800	28.21	n/a	n/a	1,840.00	5.0
PATTEN & PATTEN	067	T	B	35	28.51	n/a	n/a	1.75	5.0
BROADARCH CAP/OLD NEWC	070	WERN	C	10,700	21.05	n/a	n/a	428.00	4.0
SAC ENERGY GS-BOB	044	WFT	S	100,000	18.47	n/a	n/a	3,500.00	3.5
BMO NESBITT BURNS	041	WPI	S	4,000	47.32	n/a	18-Oct	200.00	5.0
EGS ASSOCIATES LP	091	WRC	B	4,000	57.10	n/a	18-Oct	240.00	6.0
EGS ASSOCIATES LP	091	WRC	SS	100	57.21	n/a	18-Oct	6.00	6.0
PATTEN & PATTEN	067	XLK	B	350	24.08	n/a	n/a	17.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	XLU	B	300	32.07	n/a	n/a	15.00	5.0
TOTAL (Trade Date):							105,777.14		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/15	ACK ASSET (ACKAMSPB)	028	BEAV	S	12,018	32.23	n/a	12-Oct	360.54 3.0
AO,CXL	10/15	ACK ASSET (ACKABEARPB)	028	BEAV	SS	25,000	32.23	n/a	12-Oct	750.00 3.0
AO,CRT	10/15	ACK ASSET (ACKABEARPB)	028	BEAV	SS	12,982	32.23	n/a	12-Oct	389.46 3.0
AO,CXL	10/15	COOPER CREEK PART (COOPJPM)	028	BEAV	SS	569	32.06	n/a	12-Oct	28.45 5.0
AO,	10/15	COOPER CREEK PART (COOPJPM)	028	BEAV	SS	569	32.06	n/a	12-Oct	22.76 4.0
AO,CXL	10/15	COOPER CREEK PART (COOPGS)	028	BEAV	SS	9,431	32.06	n/a	12-Oct	471.55 5.0
AO,	10/15	COOPER CREEK PART (COOPGS)	028	BEAV	SS	9,431	32.06	n/a	12-Oct	377.24 4.0
AO,	10/15	COLUMBUS CIRCLE (COLC3060)	036	GOOG	B	2,600	597.46	n/a	n/a	104.00 4.0
AO,	10/15	PILOT ADV (PILOJPM)	242	HD	SS	15,000	30.48	n/a	7-Oct	450.00 3.0
AO,CXL	10/15	PILOT ADV (PILOBOFA)	242	HD	SS	1,000	30.48	n/a	7-Oct	40.00 4.0
AO,	10/15	PILOT ADV (PILOBOFA)	242	HD	SS	1,000	30.48	n/a	7-Oct	30.00 3.0
CRT	10/18	DC CAPITAL (DCCAGOLDMA)	044	LNC	S	50,000	25.56	n/a	n/a	2500.00 5.0
AO,	10/15	PILOT ADV (PILOJPM)	242	LOW	SS	24,400	21.48	n/a	16-Aug	732.00 3.0
AO,CXL	10/15	PILOT ADV (PILOBOFA)	242	LOW	SS	1,600	21.48	n/a	16-Aug	64.00 4.0
AO,	10/15	PILOT ADV (PILOBOFA)	242	LOW	SS	1,600	21.48	n/a	16-Aug	48.00 3.0
AO,CXL	10/15	COOPER CREEK PART (COOPJPM)	028	NDN	B	1,138	15.97	n/a	8-Oct	56.90 5.0
AO,	10/15	COOPER CREEK PART (COOPJPM)	028	NDN	B	1,138	15.97	n/a	8-Oct	45.52 4.0
AO,CXL	10/15	COOPER CREEK PART (COOPGS)	028	NDN	B	18,862	15.97	n/a	8-Oct	943.10 5.0
AO,	10/15	COOPER CREEK PART (COOPGS)	028	NDN	B	18,862	15.97	n/a	8-Oct	754.48 4.0
TOTAL (AO, CXL, CRT) :										3,460.00

TOTAL (Trade Date):	105,777.14
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TOTAL (RUN DATE) / NFS:	109,237.14
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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