



## Daily Compliance Activity Report

Trade Date: 12/19/2011

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AGG	B	500	110.17	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	AGG	S	300	110.15	n/a	n/a	15.00	5.0
BROADARCH CAP/OLD NEWC	070	AGN	B	2,000	84.64	n/a	19-Dec	80.00	4.0
PATTEN & PATTEN	025	AGN	B	100	84.64	n/a	19-Dec	5.00	5.0
BROADARCH CAP/OLD NEWC	070	ALTR	SS	4,000	34.14	n/a	n/a	160.00	4.0
PATTEN & PATTEN	025	AML	B	1,000	16.22	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	APA	S	150	85.69	n/a	13-Dec	7.50	5.0
PATTEN & PATTEN	025	APC	B	65	71.39	n/a	13-Dec	3.25	5.0
BROADARCH CAP/OLD NEWC	070	APH	B	2,000	41.04	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	APKT	S	1,000	30.46	n/a	n/a	40.00	4.0
TALPION LLC	040	ARCO	S	3,000	19.81	n/a	31-Oct	120.00	4.0
BROADARCH CAP/OLD NEWC	070	ASH	SS	1,000	54.82	n/a	12-Dec	40.00	4.0
TUDOR INVESTORS	028	ASH	B	3,000	53.43	n/a	12-Dec	90.00	3.0
BALYASNY ASSET MGMT	044	AXL	SS	25,000	9.10	n/a	31-Oct	1,000.00	4.0
HOPLITE MGMT	025	BAC	SS	100,000	5.02	n/a	15-Dec	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	BBBY	B	1,000	61.21	n/a	n/a	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	BBY	S	750	22.50	n/a	n/a	37.50	5.0
BROADARCH CAP/OLD NEWC	070	BDX	SS	500	70.65	n/a	n/a	20.00	4.0
PATTEN & PATTEN	025	BHP	S	100	67.38	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	BP	S	400	40.78	n/a	n/a	20.00	5.0
BROADARCH CAP/OLD NEWC	070	BRCM	S	1,800	28.20	n/a	n/a	72.00	4.0
PATTEN & PATTEN	025	BTO	B	500	13.14	n/a	n/a	25.00	5.0
BROADARCH CAP/OLD NEWC	070	BWLD	S	4,000	64.18	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	CAT	SS	2,000	86.95	n/a	25-Oct	80.00	4.0
BROADARCH CAP/OLD NEWC	070	CAT	S	820	88.35	n/a	25-Oct	32.80	4.0
PATTEN & PATTEN	025	CB	B	100	66.55	n/a	n/a	5.00	5.0
BROADARCH CAP/OLD NEWC	070	CCL	B	820	32.78	n/a	n/a	32.80	4.0
TALPION LLC	040	CCL	C	5,000	32.74	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	CF	SS	500	129.56	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	CHRW	B	1,500	65.48	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CHSI	S	3,000	49.71	n/a	n/a	120.00	4.0
TALPION LLC	040	CLGX	B	8,667	12.17	n/a	n/a	346.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	CMCSA	S	104,200	23.06	n/a	n/a	3,126.00	3.0
PATTEN & PATTEN	025	CNI	S	150	72.92	n/a	n/a	7.50	5.0
SANDLER O'NEILL ASSET	031	COF	B	100,000	41.98	n/a	15-Dec	5,000.00	5.0
PENNANT CAP MGMT	029	COL	S	100,000	53.57	n/a	5-Dec	3,000.00	3.0
PROSPECTOR PARTNERS LLC	036	CVC	B	10,000	13.11	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	CWB	B	200	36.09	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	DD	S	200	43.12	n/a	14-Dec	10.00	5.0
BROADARCH CAP/OLD NEWC	070	DIA	B	1,000	118.11	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	DKS	B	1,000	35.44	n/a	16-Nov	50.00	5.0
PATTEN & PATTEN	025	DOW	S	300	25.71	n/a	14-Dec	15.00	5.0
BROADARCH CAP/OLD NEWC	070	DUK	B	3,000	20.96	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	EAT	B	1,000	24.63	n/a	26-Oct	40.00	4.0
BROADARCH CAP/OLD NEWC	070	EDZ	S	6,000	22.15	n/a	n/a	240.00	4.0
BROADARCH CAP/OLD NEWC	070	ESRX	S	600	43.86	n/a	n/a	24.00	4.0
SCOPUS FUND	041	ETH	B	25,000	22.11	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	EWA	S	450	21.33	n/a	n/a	22.50	5.0
RAINIER INV MGMT	035	EWBC	B	100,000	18.43	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	EWG	S	250	25.37	n/a	n/a	12.50	5.0
BROADARCH CAP/OLD NEWC	070	FBR	B	4,000	6.77	n/a	n/a	160.00	4.0
LEVIN CAPITAL STRATEGIES	041	FL	B	8,300	23.36	n/a	18-Nov	249.00	3.0
BROADARCH CAP/OLD NEWC	070	GE	B	13,000	16.95	n/a	n/a	520.00	4.0
PATTEN & PATTEN	025	GLW	S	650	12.60	n/a	12-Dec	32.50	5.0
BROADARCH CAP/OLD NEWC	070	GM	B	9,190	19.93	n/a	2-Dec	367.60	4.0
BROADARCH CAP/OLD NEWC	070	GWW	S	3,000	182.45	n/a	12-Dec	120.00	4.0
BROADARCH CAP/OLD NEWC	070	HON	B	3,000	53.45	n/a	15-Dec	120.00	4.0
PATTEN & PATTEN	025	HPQ	B	400	25.33	n/a	n/a	20.00	5.0
BROADARCH CAP/OLD NEWC	070	HSC	B	2,000	19.58	n/a	31-Oct	80.00	4.0
SIMMONS VENTURES	041	HWD	B	5,000	10.20	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	HYG	B	250	87.44	n/a	n/a	12.50	5.0
HOPLITE MGMT	025	INTC	SS	50,000	23.41	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	IP	B	300	27.31	n/a	27-Oct	15.00	5.0
CATAPULT	040	ITB	B	8,345	11.15	n/a	n/a	333.80	4.0
TUDOR INVESTORS	028	ITW	B	5,000	45.99	n/a	5-Dec	150.00	3.0
TALPION LLC	040	JAKK	B	18,000	14.00	n/a	n/a	720.00	4.0
COPIA CAPITAL	031	JBLU	SS	50,000	5.23	n/a	n/a	1,750.01	3.5
PATTEN & PATTEN	025	JCI	B	250	28.38	n/a	21-Nov	12.50	5.0
BROADARCH CAP/OLD NEWC	070	JNJ	B	4,000	64.15	n/a	n/a	160.00	4.0
PATTEN & PATTEN	025	JNJ	B	50	63.40	n/a	n/a	2.50	5.0
MFP INVESTORS	085	JNS	B	15,000	5.83	n/a	n/a	600.00	4.0
CAERUS GLOBAL	041	JNY	S	5,600	9.58	n/a	27-Oct	224.00	4.0
PATTEN & PATTEN	025	JPM	S	125	30.67	n/a	15-Dec	6.25	5.0
BROADARCH CAP/OLD NEWC	070	KSS	S	180	49.00	n/a	2-Dec	7.20	4.0
PATTEN & PATTEN	025	LLY	B	500	40.67	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	LQD	B	250	113.33	n/a	n/a	12.50	5.0
BROADARCH CAP/OLD NEWC	070	LVS	S	1,000	41.77	n/a	13-Jun	40.00	4.0
BROADARCH CAP/OLD NEWC	070	LYB	B	1,500	31.62	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	MMP	S	31,300	65.52	n/a	n/a	1,252.00	4.0
BROADARCH CAP/OLD NEWC	070	MSM	S	1,000	68.15	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	MTD	B	500	144.08	n/a	n/a	20.00	4.0
PATTEN & PATTEN	025	MUNI	B	900	53.00	n/a	n/a	45.00	5.0
TUDOR INVESTORS	028	MWV	B	5,000	28.15	n/a	26-Oct	150.00	3.0
BROADARCH CAP/OLD NEWC	070	M	B	1,500	30.52	n/a	2-Dec	60.00	4.0
BROADARCH CAP/OLD NEWC	070	M	SS	2,000	30.88	n/a	2-Dec	80.00	4.0
LEVIN CAPITAL STRATEGIES	041	M	S	129,365	30.54	n/a	2-Dec	3,880.95	3.0
TUDOR INVESTORS	028	NAV	B	5,000	37.23	n/a	14-Sep	150.00	3.0
TALPION LLC	040	NKE	S	4,000	93.67	n/a	19-Dec	160.00	4.0
BROADARCH CAP/OLD NEWC	070	ORCL	S	2,000	28.99	n/a	n/a	80.00	4.0
MACQUARIE INVESTMENT MGMT.	040	PCAR	B	15,000	36.11	n/a	26-Oct	0.00	0.0
PATTEN & PATTEN	025	PCH	S	300	29.41	n/a	6-Dec	15.00	5.0
BROADARCH CAP/OLD NEWC	070	PENN	SS	2,500	35.94	n/a	n/a	100.00	4.0
PATTEN & PATTEN	025	PHO	S	500	16.23	n/a	n/a	25.00	5.0
BROADARCH CAP/OLD NEWC	070	PPL	B	3,000	28.80	n/a	n/a	120.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PRU	S	110	46.88	n/a	n/a	5.50	5.0
CATAPULT	040	PWR	B	4,392	20.61	n/a	n/a	175.68	4.0
BROADARCH CAP/OLD NEWC	070	PX	B	1,365	103.11	n/a	26-Oct	54.60	4.0
BROADARCH CAP/OLD NEWC	070	QQQ	B	5,400	55.09	n/a	n/a	216.00	4.0
RIDGECREST INV MGMT LLC	028	QQQ	SS	10,000	54.39	n/a	n/a	500.00	5.0
BROADARCH CAP/OLD NEWC	070	RKT	B	3,000	56.80	n/a	10-Nov	120.00	4.0
BROADARCH CAP/OLD NEWC	070	ROC	SS	1,000	37.31	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	RSG	S	300	26.39	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	RYN	B	260	41.40	n/a	26-Oct	13.00	5.0
BROADARCH CAP/OLD NEWC	070	SAP	SS	1,000	54.70	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	SDS	S	3,100	21.10	n/a	n/a	124.00	4.0
BROADARCH CAP/OLD NEWC	070	SON	B	3,000	32.98	n/a	n/a	120.00	4.0
SANDLER O'NEILL ASSET	031	STT	SS	3,933	40.00	n/a	19-Dec	196.65	5.0
BRONSON POINT	036	SWY	SS	25,000	20.46	n/a	n/a	750.00	3.0
BROADARCH CAP/OLD NEWC	070	TGT	B	2,500	51.67	n/a	2-Dec	100.00	4.0
PATTEN & PATTEN	025	TIF	S	100	62.34	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	TKR	B	3,000	37.22	n/a	n/a	90.00	3.0
PATTEN & PATTEN	025	TM	S	100	63.39	n/a	n/a	5.00	5.0
BROADARCH CAP/OLD NEWC	070	TNB	B	1,000	52.12	n/a	n/a	40.00	4.0
CATAPULT	040	TNB	B	1,647	51.96	n/a	n/a	65.88	4.0
BROADARCH CAP/OLD NEWC	070	TXN	S	911	28.09	n/a	n/a	36.44	4.0
BROADARCH CAP/OLD NEWC	070	UFS	B	2,000	76.89	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	UNP	B	2,000	99.56	n/a	n/a	80.00	4.0
THIRD POINT MGMT	044	VRA	C	15,000	31.00	n/a	n/a	600.00	4.0
PATTEN & PATTEN	025	V	S	75	98.52	n/a	29-Nov	3.75	5.0
NORTHWESTERN MUTUAL LIFE	047	WIN	S	250,000	11.58	n/a	n/a	10,000.00	4.0
BROADARCH CAP/OLD NEWC	070	WLP	B	1,000	64.70	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	WM	B	300	31.05	n/a	n/a	15.00	5.0
BROADARCH CAP/OLD NEWC	070	XLB	B	3,600	32.69	n/a	n/a	144.00	4.0
BROADARCH CAP/OLD NEWC	070	XLI	B	3,900	32.95	n/a	n/a	156.00	4.0
BROADARCH CAP/OLD NEWC	070	XLNX	B	2,000	31.22	n/a	n/a	80.00	4.0
LEVIN CAPITAL STRATEGIES	041	XOM	SS	10,000	79.61	n/a	n/a	300.00	3.0



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**TOTAL (Trade Date):**

**51,499.84**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/16	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	295	MXL	B	20,000	4.44	n/a	n/a	1000.00 5.0
AO,CRT	12/16	CAISSE DEPOT PLACEMENT Q (CDPCMAIN)	295	MXL	B	20,000	4.44	n/a	n/a	600.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-400.00</b>
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TOTAL (Trade Date) :	51,499.84
TOTAL (AO, CXL, CRT) :	-400.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>51,099.84</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