



## Daily Compliance Activity Report

Trade Date: 09/02/2011

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	AAN	SS	2,700	26.02	n/a	n/a	135.00	5.0
PATTEN & PATTEN	025	AGG	B	2,000	109.99	n/a	n/a	100.00	5.0
APEX CAPITAL MGMT.	261	ALKS	B	1,000	16.78	n/a	n/a	40.00	4.0
PATTEN & PATTEN	025	APD	S	125	80.55	n/a	1-Sep	6.25	5.0
APEX CAPITAL MGMT.	261	BEN	C	2,100	114.18	n/a	2-Mar	84.00	4.0
PATTEN & PATTEN	025	CWB	S	1,550	37.17	n/a	n/a	77.50	5.0
PATTEN & PATTEN	025	DD	S	75	46.89	n/a	1-Sep	3.75	5.0
BMO NESBITT BURNS	041	DG	B	2,000	35.55	n/a	30-Aug	80.00	4.0
PATTEN & PATTEN	025	DOV	S	666	55.27	n/a	n/a	33.30	5.0
PATTEN & PATTEN	025	DOW	S	125	27.03	n/a	1-Sep	6.25	5.0
PATTEN & PATTEN	025	EFG	S	505	55.40	n/a	n/a	25.25	5.0
PATTEN & PATTEN	025	EMR	S	200	44.44	n/a	n/a	10.00	5.0
STANDARD PACIFIC CAPITAL	040	EMR	SS	115,000	44.20	n/a	n/a	5,750.00	5.0
PATTEN & PATTEN	025	ETN	S	200	40.92	n/a	31-Aug	10.00	5.0
PATTEN & PATTEN	025	EWC	S	2,450	29.47	n/a	n/a	122.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	EWG	S	1,500	19.87	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	EWJ	S	3,000	9.61	n/a	n/a	150.00	5.0
PATTEN & PATTEN	025	EWL	S	2,150	24.50	n/a	n/a	107.50	5.0
PATTEN & PATTEN	025	FCX	S	100	45.38	n/a	n/a	5.00	5.0
LATEFF MGMT	035	FL	B	500	19.76	n/a	19-Aug	50.00	10.0
BMO NESBITT BURNS	041	FRED	SS	2,000	10.90	n/a	n/a	80.00	4.0
LATEFF MGMT	035	F	B	2,000	10.52	n/a	2-Sep	200.00	10.0
PATTEN & PATTEN	025	GE	S	300	15.74	n/a	n/a	15.00	5.0
APEX CAPITAL MGMT.	261	GIII	B	800	27.46	n/a	n/a	32.00	4.0
LATEFF MGMT	035	GIS	S	250	37.52	n/a	n/a	50.00	20.0
PATTEN & PATTEN	025	GLD	B	35	182.45	n/a	n/a	1.75	5.0
TRELLUS PARTNERS LP	028	GM	SS	35,000	22.31	n/a	2-Sep	1,750.00	5.0
FRIESS MGMT	033	GSM	S	59,500	16.02	n/a	n/a	2,380.00	4.0
PATTEN & PATTEN	025	GVI	B	50	111.36	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	HDV	B	50	50.32	n/a	n/a	2.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	HNT	B	700	24.07	n/a	n/a	28.00	4.0
PATTEN & PATTEN	025	HON	S	50	45.95	n/a	18-Aug	2.50	5.0
KACELA CAPITAL	034	HPQ	SS	90,000	24.64	n/a	n/a	3,600.00	4.0
APEX CAPITAL MGMT.	261	ITMN	B	2,200	25.37	n/a	n/a	88.00	4.0
APEX CAPITAL MGMT.	261	JPM	B	800	34.88	n/a	31-Aug	32.00	4.0
LATEFF MGMT	035	KMB	S	500	68.52	n/a	25-Jul	85.00	17.0
TUDOR INVESTORS	028	KSS	S	50,000	43.95	n/a	2-Sep	1,500.00	3.0
APEX CAPITAL MGMT.	261	LAMR	B	1,000	20.12	n/a	n/a	40.00	4.0
LATEFF MGMT	035	LOW	B	2,000	19.38	n/a	15-Aug	200.00	10.0
CHESAPEAKE PARTNERS	028	LSTZA	S	1,900	67.65	n/a	n/a	57.00	3.0
APEX CAPITAL MGMT.	261	LTD	B	2,500	36.06	n/a	n/a	100.00	4.0
PATTEN & PATTEN	025	MMM	S	175	79.66	n/a	1-Sep	8.75	5.0
PATTEN & PATTEN	025	MRK	B	233	32.68	n/a	n/a	11.65	5.0
APEX CAPITAL MGMT.	261	MTW	B	3,200	9.93	n/a	28-Jul	128.00	4.0
HOLLIS CAPITAL	033	NCMI	B	5,000	13.66	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	NKTR	B	2,600	5.37	n/a	n/a	78.00	3.0
KACELA CAPITAL	034	NTAP	SS	30,000	36.04	n/a	n/a	1,200.00	4.0
APEX CAPITAL MGMT.	261	NVO	C	3,500	104.75	n/a	n/a	140.00	4.0
APEX CAPITAL MGMT.	261	OIH	C	2,200	127.99	n/a	n/a	44.00	2.0
APEX CAPITAL MGMT.	261	OXY	B	900	83.57	n/a	n/a	36.00	4.0
PATTEN & PATTEN	025	PCAR	S	25	35.82	n/a	27-Jul	1.25	5.0
M&I FUNDS	047	PERY	B	4,605	21.76	n/a	n/a	184.20	4.0
FRONTIER	029	PFE	B	239,410	18.69	n/a	n/a	9,576.40	4.0
PATTEN & PATTEN	025	PGN	B	25	48.59	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	PHO	S	300	16.40	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	PRU	S	100	47.48	n/a	n/a	5.00	5.0
APEX CAPITAL MGMT.	261	PVH	B	800	62.98	n/a	1-Sep	32.00	4.0
KACELA CAPITAL	034	RHI	SS	21,400	22.68	n/a	n/a	856.00	4.0
PATTEN & PATTEN	025	SDS	B	12,500	23.88	n/a	n/a	625.00	5.0
COLUMBIA PARTNERS	028	SLE	S	63,681	17.68	n/a	n/a	2,547.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	SOA	B	3,000	16.43	n/a	n/a	120.00	4.0
LATEFF MGMT	035	SPLS	B	500	13.87	n/a	n/a	50.00	10.0
NOMURA CAPITAL	029	SPY	S	10,500	118.30	n/a	n/a	315.00	3.0
BMO NESBITT BURNS	041	SVU	SS	4,000	7.43	n/a	n/a	160.00	4.0
LATEFF MGMT	035	TEVA	B	500	40.70	n/a	22-Aug	85.00	17.0
PATTEN & PATTEN	025	TEVA	S	120	40.70	n/a	22-Aug	6.00	5.0
DAVIDSON KEMPNER ADVISOR	040	TIN	B	100,000	24.84	n/a	4-Aug	5,000.00	5.0
APEX CAPITAL MGMT.	261	TYC	B	600	39.98	n/a	18-Aug	24.00	4.0
PATTEN & PATTEN	025	UTX	S	225	71.48	n/a	n/a	11.25	5.0
KACELA CAPITAL	034	WDC	SS	83,000	27.63	n/a	n/a	3,320.00	4.0
APEX CAPITAL MGMT.	261	WPI	B	600	66.52	n/a	24-Aug	24.00	4.0
APEX CAPITAL MGMT.	261	WRC	B	600	50.58	n/a	2-Aug	24.00	4.0
BNP PARIBAS SEC	040	WRC	B	20,000	50.37	n/a	2-Aug	1,000.00	5.0
WEISS PECK	040	XLFF	B	26,700	12.75	n/a	n/a	801.00	3.0
PATTEN & PATTEN	025	XLU	B	150	33.47	n/a	n/a	7.50	5.0

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**TOTAL (Trade Date):**

**43,805.04**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/01	EMPYREAN CAPITAL (EMPYGS)	084	CHK	C	51,500	33.57	n/a	n/a	2575.00 5.0
AO,	09/01	WEISS PECK (PECKOPPVAL)	040	CQB	S	12,700	9.91	n/a	n/a	508.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,083.00</b>

TOTAL (Trade Date):	43,805.04
TOTAL (AO, CXL, CRT):	3,083.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>46,888.04</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