



## Daily Compliance Activity Report

Trade Date: 01/10/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	50	424.40	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	AMZN	B	15	181.83	n/a	n/a	0.75	5.0
SCOUT/UMB	047	ATI	B	54,205	49.48	n/a	28-Nov	1,626.15	3.0
DEVENNY CAP LLC	044	AXE	S	8,900	63.46	n/a	4-Jan	267.00	3.0
PATTEN & PATTEN	025	BAC	S	1,800	6.47	n/a	6-Jan	90.00	5.0
CYPRESS CAP MGMT LLC	040	BBY	SS	8,700	24.62	n/a	n/a	348.00	4.0
PATTEN & PATTEN	025	BDX	S	200	73.71	n/a	n/a	10.00	5.0
KLEINHEINZ CAP PART	031	BIG	B	50,000	38.60	n/a	2-Dec	2,500.00	5.0
KAYNE ANDERSON ADV	084	BLKB	B	13,500	29.02	n/a	n/a	540.00	4.0
PATTEN & PATTEN	025	BTO	B	3,000	15.19	n/a	n/a	150.00	5.0
CATAPULT	040	CCK	SS	5,000	33.97	n/a	n/a	200.00	4.0
TALPION LLC	040	CECO	S	5,000	8.32	n/a	n/a	150.00	3.0
MTB INV ADV	034	CLH	S	1,000	64.34	n/a	n/a	50.00	5.0
KAYNE ANDERSON ADV	084	CNS	B	16,500	30.25	n/a	n/a	660.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	CODE	S	2,035	8.42	n/a	n/a	61.05	3.0
TALPION LLC	040	CSGS	S	6,163	15.43	n/a	n/a	246.52	4.0
COUGAR TRADING	044	DAN	B	10,000	14.00	n/a	1-Dec	500.00	5.0
COUGAR TRADING	044	DAN	S	10,000	14.21	n/a	1-Dec	500.00	5.0
PATTEN & PATTEN	025	DBA	B	500	28.98	n/a	n/a	25.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	DENN	B	15,000	3.99	n/a	n/a	450.00	3.0
MOORE CAPITAL	041	DKS	B	41,250	36.31	n/a	4-Jan	1,237.50	3.0
VERITION	028	DPZ	B	20,000	33.96	n/a	6-Jan	600.00	3.0
WATERFRONT CAP	028	DRE	B	50,000	12.22	n/a	n/a	2,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	EQT	S	40,000	54.52	n/a	n/a	2,000.00	5.0
PATTEN & PATTEN	025	EWZ	B	1,200	61.28	n/a	n/a	60.00	5.0
PATTEN & PATTEN	025	FCX	B	100	40.73	n/a	n/a	5.00	5.0
MTB INV ADV	034	GBX	S	13,325	25.98	n/a	n/a	666.25	5.0
BALYASNY ASSET MGMT	044	GM	SS	75,000	23.13	n/a	6-Jan	3,750.00	5.0
OHIO PERS	047	HON	B	49,926	56.71	n/a	9-Jan	1,497.78	3.0
COLUMBUS CIRCLE	036	HS	S	15,479	54.64	n/a	n/a	619.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	ILF	B	150	44.58	n/a	n/a	7.50	5.0
DELTEC ASSET MGMT.	040	JCI	S	14,000	34.25	n/a	4-Jan	700.00	5.0
MTB INV ADV	034	KEX	S	8,200	67.33	n/a	n/a	410.00	5.0
SCOPUS FUND	041	KSS	B	29,800	46.00	n/a	9-Jan	1,192.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	LEA	B	3,000	41.24	n/a	6-Jan	150.00	5.0
DISIPLINED GROWTH INV.	030	LTD	S	1,500	38.83	n/a	n/a	75.00	5.0
LATEFF MGMT	035	LUK	S	6,250	25.01	n/a	n/a	437.50	7.0
RBC CAPITAL MARKETS	040	MAR	B	10,000	32.75	n/a	13-Jun	400.00	4.0
OHIO PERS	047	MMM	S	33,301	84.72	n/a	3-Jan	999.03	3.0
CATAPULT	040	MOS	SS	5,000	54.99	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	MO	B	25,000	28.88	n/a	n/a	1,000.00	4.0
FORWARD MGMT	033	NAV	B	10,000	40.26	n/a	10-Jan	400.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	22.87	n/a	3-Jan	400.00	4.0
PATTEN & PATTEN	025	NUAN	B	200	28.06	n/a	n/a	10.00	5.0
KINGDON ASSET MGMT	041	PG	SS	100,000	66.31	n/a	10-Jan	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	PRGO	S	100	97.79	n/a	9-Jan	5.00	5.0
CYPRESS CAP MGMT LLC	040	PVH	SS	5,800	73.92	n/a	9-Jan	232.00	4.0
RBC CAPITAL MARKETS	040	PVH	B	5,000	73.95	n/a	9-Jan	200.00	4.0
MTB INV ADV	034	QLTY	S	8,125	11.43	n/a	n/a	406.25	5.0
PATTEN & PATTEN	025	QQQ	B	1,000	58.24	n/a	n/a	50.00	5.0
DISCIPLINED GROWTH INV.	030	RCL	S	1,100	26.78	n/a	n/a	55.00	5.0
DAVIDSON KEMPNER ADVISOR	040	RDSB	C	23,814	77.30	n/a	n/a	1,190.70	5.0
COOPER CREEK PART	028	RUE	B	20,000	20.47	n/a	n/a	800.00	4.0
WHITE PINE CAPITAL	030	SGMS	B	31,200	11.09	n/a	n/a	1,560.00	5.0
CATAPULT	040	SON	SS	5,000	33.63	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	297	SPN	S	10,184	30.78	n/a	n/a	407.36	4.0
DEVENNY CAP LLC	044	TEN	SS	10,000	33.45	n/a	n/a	300.00	3.0
MOORE CAPITAL	041	TIF	S	12,250	60.07	n/a	n/a	367.50	3.0
DISCIPLINED GROWTH INV.	030	TJX	S	1,100	65.29	n/a	9-Jan	55.00	5.0
SUN AMERICA ASSET MGMT	030	WFM	B	18,285	73.53	n/a	n/a	731.40	4.0
PATTEN & PATTEN	025	XLU	S	2,500	35.26	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	XOP	C	6,140	55.32	n/a	n/a	307.00	5.0
<b>TOTAL (Trade Date):</b>								<b>38,185.90</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/09	BALLAST CAP (BALLJPMPB)	040	CFN	S	7,000	23.22	n/a	n/a	0.00	0.0
AO,CRT	01/09	BALLAST CAP (BALLJPMPB)	040	CFN	S	7,000	23.22	n/a	n/a	350.00	5.0
AO,CRT	01/09	MORTAR ROCK (MORTEOSJPM)	033	INTC	SS	25,000	25.50	n/a	n/a	1000.00	4.0
AO,CXL	01/09	MORTAR ROCK (MORTGSEOSP)	033	INTC	SS	25,000	25.50	n/a	n/a	1000.00	4.0
AO,CXL	01/09	BALLAST CAP (BALLJPMPB)	040	MWV	SS	13,700	29.29	n/a	26-Oct	0.00	0.0
AO,CRT	01/09	BALLAST CAP (BALLJPMPB)	040	MWV	SS	13,700	29.29	n/a	26-Oct	685.00	5.0
AO,	01/09	CRAMER ROSENTHAL/SCOTT (CRSB2176)	070	SLB	B	160	68.71	n/a	n/a	6.40	4.0
AO,CXL	01/09	CRAMER ROSENTHAL/SCOTT (CRSB2141)	070	SLB	B	160	68.71	n/a	n/a	6.40	4.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,035.00</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	38,185.90
----------------------	-----------

TOTAL (AO, CXL, CRT) :	1,035.00
------------------------	----------

---

<b>TOTAL (RUN DATE) / NFS :</b>	<b>39,220.90</b>
---------------------------------	------------------

---

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