



# Daily Compliance Activity Report

Trade Date: 12/29/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	20	404.89	n/a	n/a	1.00	5.0
PATTEN & PATTEN	025	AA	S	2,330	8.63	n/a	n/a	116.50	5.0
PATTEN & PATTEN	025	ABT	S	80	56.13	n/a	n/a	4.00	5.0
THE JAY GOLDMAN	028	AEO	S	15,000	15.35	n/a	2-Dec	600.00	4.0
PATTEN & PATTEN	025	AGU	B	245	66.70	n/a	n/a	12.25	5.0
PATTEN & PATTEN	025	AGU	S	200	66.65	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	AML	B	6,960	16.58	n/a	n/a	348.00	5.0
PATTEN & PATTEN	025	APA	B	200	88.87	n/a	22-Dec	10.00	5.0
PATTEN & PATTEN	025	APA	S	100	88.82	n/a	22-Dec	5.00	5.0
PATTEN & PATTEN	025	APC	B	160	75.73	n/a	22-Dec	8.00	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>ARUN</b>	<b>B</b>	<b>400</b>	<b>18.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	ASCA	S	18,318	17.51	n/a	13-Jan	732.72	4.0
PATTEN & PATTEN	025	A	S	3	34.55	n/a	n/a	0.15	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>1500</b>	<b>5.44</b>	<b>n/a</b>	<b>22-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	BAC	S	660	5.38	n/a	22-Dec	33.00	5.0
PATTEN & PATTEN	025	BA	B	905	74.08	n/a	29-Nov	45.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	BBY	S	1,325	22.98	n/a	n/a	66.25	5.0
PATTEN & PATTEN	025	BDX	S	100	74.23	n/a	n/a	5.00	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>BEE</b>	<b>S</b>	<b>4000</b>	<b>5.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	BRCM	B	75	29.44	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	BTO	B	2,750	13.60	n/a	n/a	137.50	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>BUFHX</b>	<b>B</b>	<b>137</b>	<b>10.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CCL</b>	<b>B</b>	<b>10,000</b>	<b>32.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	CHD	B	250	46.34	n/a	14-Dec	12.50	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>CMCSA</b>	<b>S</b>	<b>1000</b>	<b>23.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CMI</b>	<b>B</b>	<b>1000</b>	<b>89.15</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	COF	B	500	42.00	n/a	29-Dec	25.00	5.0
PATTEN & PATTEN	025	COST	B	65	83.99	n/a	n/a	3.25	5.0
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>CRMBW</b>	<b>S</b>	<b>3500</b>	<b>0.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>B</b>	<b>20,000</b>	<b>14.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
PATTEN & PATTEN	025	CSCO	S	300	18.17	n/a	n/a	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CVE	S	200	32.34	n/a	n/a	10.00	5.0
<b>f ANGELO CHRISTOS EFST</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>200</b>	<b>8.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANGELOS EFSTATHIOU</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>200</b>	<b>8.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>800</b>	<b>8.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>C</b>	<b>S</b>	<b>250</b>	<b>26.72</b>	<b>n/a</b>	<b>22-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	DBA	B	1,800	28.64	n/a	n/a	90.00	5.0
TALPION LLC	040	DCIX	S	300	5.34	n/a	n/a	6.00	2.0
LATEFF MGMT	035	DD	B	400	45.75	n/a	27-Dec	88.00	22.0
PATTEN & PATTEN	025	DD	B	275	45.81	n/a	27-Dec	13.75	5.0
PATTEN & PATTEN	025	DKS	B	2,125	37.08	n/a	16-Nov	106.25	5.0
PATTEN & PATTEN	025	DMND	B	50	31.52	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	DOW	S	100	28.63	n/a	14-Dec	5.00	5.0
PATTEN & PATTEN	025	DVN	S	150	61.78	n/a	22-Dec	7.50	5.0
PATTEN & PATTEN	025	ECA	S	200	18.35	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	ECL	B	100	57.33	n/a	12-Dec	5.00	5.0
PATTEN & PATTEN	025	EPP	S	150	38.86	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	EQT	B	300	54.79	n/a	n/a	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	ETN	B	50	43.75	n/a	24-Oct	2.50	5.0
PATTEN & PATTEN	025	EWA	S	500	21.29	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	EWC	B	560	26.18	n/a	n/a	28.00	5.0
PATTEN & PATTEN	025	EWL	S	150	22.38	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	EWZ	B	150	56.73	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	FCX	B	100	36.26	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	FCX	S	400	36.25	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	FHN	B	4,283	7.96	n/a	n/a	214.15	5.0
PATTEN & PATTEN	025	FSYS	S	450	16.21	n/a	n/a	22.50	5.0
PEAK INV LLC	084	F	S	200,000	10.64	n/a	2-Dec	8,000.00	4.0
PATTEN & PATTEN	025	GE	B	3,575	18.09	n/a	n/a	178.75	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>200</b>	<b>0.18</b>	<b>n/a</b>	<b>27-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	GLW	B	2,000	13.03	n/a	27-Dec	100.00	5.0
PATTEN & PATTEN	025	GLW	S	2,800	13.02	n/a	27-Dec	140.00	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>GMCR</b>	<b>S</b>	<b>200</b>	<b>45.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	GOV	B	500	22.71	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	GOV	S	1,000	22.70	n/a	n/a	50.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	HBI	S	10,000	22.00	n/a	30-Nov	400.00	4.0
PATTEN & PATTEN	025	HDV	B	640	55.55	n/a	n/a	32.00	5.0
PATTEN & PATTEN	025	HPQ	B	875	25.52	n/a	n/a	43.75	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>HRS</b>	<b>S</b>	<b>300</b>	<b>36.06</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>HWCC</b>	<b>S</b>	<b>300</b>	<b>1.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	IFN	S	400	18.81	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	ILF	S	175	42.03	n/a	n/a	8.75	5.0
PATTEN & PATTEN	025	INTC	B	2,725	24.55	n/a	n/a	136.25	5.0
PATTEN & PATTEN	025	IP	B	135	29.65	n/a	27-Oct	6.75	5.0
PATTEN & PATTEN	025	ITT	S	107	19.55	n/a	n/a	5.35	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>6000</b>	<b>30.98</b>	<b>n/a</b>	<b>21-Nov</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	JCI	B	1,235	30.92	n/a	21-Nov	61.75	5.0
PATTEN & PATTEN	025	JCI	S	350	30.78	n/a	21-Nov	17.50	5.0
PATTEN & PATTEN	025	JNJ	B	100	65.79	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	JPM	S	1,180	33.39	n/a	22-Dec	59.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>25,000</b>	<b>27.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	KRE	B	550	24.55	n/a	n/a	27.50	5.0
PATTEN & PATTEN	025	LLY	B	1,800	41.45	n/a	n/a	90.00	5.0
PATTEN & PATTEN	025	LOW	S	400	25.59	n/a	7-Dec	20.00	5.0
T. ROWE PRICE	033	LOW	S	140,000	25.22	n/a	7-Dec	5,600.00	4.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>LPX</b>	<b>S</b>	<b>2000</b>	<b>8.11</b>	<b>n/a</b>	<b>7-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>LUK</b>	<b>B</b>	<b>5000</b>	<b>22.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	LYV	S	50,000	8.37	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	025	MCK	B	20	77.58	n/a	n/a	1.00	5.0
BALLAST CAP	040	MET	B	8,600	31.24	n/a	n/a	430.00	5.0
MERRILL ASSET/BLACKROCK	297	MFRM	S	42,514	22.78	n/a	n/a	1,700.56	4.0
PATTEN & PATTEN	025	MIC	B	200	28.25	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	MMC	S	25	31.97	n/a	n/a	1.25	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MMM</b>	<b>B</b>	<b>2000</b>	<b>81.99</b>	<b>n/a</b>	<b>27-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	MMM	S	50	81.76	n/a	27-Dec	2.50	5.0
LATEFF MGMT	035	MRK	S	150	37.66	n/a	n/a	22.50	15.0
PATTEN & PATTEN	025	MRK	B	450	37.68	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	MSFT	B	200	26.00	n/a	n/a	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	MS	S	420	15.16	n/a	22-Dec	21.00	5.0
PATTEN & PATTEN	025	MUNI	B	1,800	53.02	n/a	n/a	90.00	5.0
PATTEN & PATTEN	025	MXI	S	135	56.40	n/a	n/a	6.75	5.0
PATTEN & PATTEN	025	NUAN	B	1,450	25.05	n/a	n/a	72.50	5.0
LATEFF MGMT	035	NYB	S	300	12.34	n/a	7-Dec	36.00	12.0
PATTEN & PATTEN	025	ORCL	S	2,000	25.74	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	OXY	B	365	92.79	n/a	n/a	18.25	5.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	10,000	31.31	n/a	6-Dec	500.00	5.0
PATTEN & PATTEN	025	PCH	B	30	31.37	n/a	6-Dec	1.50	5.0
PATTEN & PATTEN	025	PCH	S	1,000	31.33	n/a	6-Dec	50.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PCLN</b>	<b>SS</b>	<b>2,000</b>	<b>470.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	PIO	S	1,475	15.50	n/a	n/a	73.75	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	20,000	24.96	n/a	18-Oct	1,000.00	5.0
PATTEN & PATTEN	025	PRU	B	150	50.33	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	PX	B	200	106.50	n/a	26-Oct	10.00	5.0
PATTEN & PATTEN	025	QCOM	B	1,000	54.58	n/a	n/a	50.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	RKT	B	20,000	57.57	n/a	10-Nov	1,000.00	5.0
MERRILL ASSET/BLACKROCK	297	RLI	S	4,890	74.00	n/a	n/a	195.60	4.0
SCOPUS FUND	041	RSG	SS	4,795	27.60	n/a	n/a	191.80	4.0
PATTEN & PATTEN	025	SBUX	B	50	46.24	n/a	11-Nov	2.50	5.0
PATTEN & PATTEN	025	SCJ	B	250	42.65	n/a	n/a	12.50	5.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>SDS</b>	<b>S</b>	<b>1000</b>	<b>19.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	SPY	B	115	125.72	n/a	n/a	5.75	5.0
PATTEN & PATTEN	025	SPY	S	1,000	125.71	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	SRCL	B	150	78.18	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	SRZ	B	120	6.33	n/a	n/a	6.00	5.0
PATTEN & PATTEN	025	SRZ	S	1,500	6.31	n/a	n/a	75.00	5.0
PATTEN & PATTEN	025	STI	S	500	17.62	n/a	n/a	25.00	5.0
<b>f GAVIN N CADWALLADER</b>	<b>FID</b>	<b>SWN</b>	<b>B</b>	<b>65</b>	<b>31.98</b>	<b>n/a</b>	<b>22-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>SWN</b>	<b>B</b>	<b>400</b>	<b>32.17</b>	<b>n/a</b>	<b>22-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	SWN	S	1,000	31.96	n/a	22-Dec	50.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>TEVA</b>	<b>B</b>	<b>2000</b>	<b>40.42</b>	<b>n/a</b>	<b>27-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	TEVA	S	50	40.68	n/a	27-Dec	2.50	5.0
PATTEN & PATTEN	025	TGT	B	150	51.80	n/a	2-Dec	7.50	5.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TM	S	340	64.84	n/a	n/a	17.00	5.0
PATTEN & PATTEN	025	TSCO	B	87	71.81	n/a	n/a	4.35	5.0
PATTEN & PATTEN	025	TXN	S	300	29.26	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	T	B	690	30.09	n/a	n/a	34.50	5.0
LATEFF MGMT	035	UAL	S	300	18.84	n/a	n/a	36.00	12.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	10,000	80.68	n/a	n/a	500.00	5.0
LATEFF MGMT	035	UN	S	300	34.08	n/a	n/a	45.00	15.0
SENATOR INVESTMENT GROUP	036	VAL	S	13,036	38.82	n/a	n/a	391.08	3.0
PATTEN & PATTEN	025	VZ	B	450	39.97	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	WAG	S	150	33.20	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	WMB	B	150	32.47	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	WM	S	300	32.51	n/a	n/a	15.00	5.0
SCOPUS FUND	041	WM	SS	10,000	32.66	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	WY	S	950	18.75	n/a	28-Oct	47.50	5.0
PATTEN & PATTEN	025	XLF	B	500	13.04	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	XLS	S	1,115	9.18	n/a	n/a	55.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	XLV	B	250	34.67	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	XLY	B	250	39.10	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	XYL	S	1,115	26.19	n/a	n/a	55.75	5.0
FARALLON CAP MGMT	040	YHOO	B	150,000	16.10	n/a	n/a	4,500.00	3.0
<b>TOTAL (Trade Date):</b>								<b>31,993.76</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/28	STANDARD PACIFIC CAPITAL	084	MHP	SS	70,000	44.69	n/a	n/a	3500.00 5.0
AO,CXL	12/28	STANDARD PACIFIC CAPITAL	084	MHP	SS	70,000	44.69	n/a	n/a	3500.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	31,993.76
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>31,993.76</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 29-Dec.  
NONE

MRI Securities without Trade Activity on 29-Dec.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 2%

**Legend:**

**Õ: Employee Trades in Outside Accounts**

**ß: Non-BRG BCM Trades**

**[i]: Initiation of Coverage**

**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**

**Watch List Trades**

**f: Employee Trades (Fidelity)**