



## Daily Compliance Activity Report

Trade Date: 12/28/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
EDGEWOOD	085	AAPL	S	460	512.64	n/a	n/a	23.00 0.0
EDGEWOOD	085	AGN	B	1,304	91.13	n/a	26-Dec	65.20 0.0
EDGEWOOD	085	AGN	S	1,507	90.90	n/a	26-Dec	75.35 0.0
EDGEWOOD	085	AMT	S	3,138	76.39	n/a	n/a	156.90 0.0
EDGEWOOD	085	AMZN	S	1,039	246.38	n/a	n/a	51.95 0.0
PATTEN & PATTEN	025	BAC	B	1,500	11.44	n/a	20-Dec	75.00 5.0
PATTEN & PATTEN	025	BBT	B	50	29.06	n/a	n/a	2.50 5.0
LATEEF MGMT	035	BDN	B	900	12.10	n/a	n/a	72.00 8.0
PLATTE RIVER CAPITAL	240	CB	S	12,000	74.68	n/a	n/a	480.00 0.0
LATEEF MGMT	035	CCK	B	250	36.62	n/a	n/a	37.50 15.0
EDGEWOOD	085	CELG	S	3,451	78.28	n/a	n/a	172.55 0.0
M&I FUNDS	047	CLH	S	10,144	52.37	n/a	n/a	405.76 4.0
EDGEWOOD	085	CME	S	3,794	50.41	n/a	28-Apr	189.70 0.0
EDGEWOOD	085	CMG	S	903	292.15	n/a	19-Oct	45.16 0.0
EDGEWOOD	085	COH	S	4,181	54.68	n/a	5-Nov	209.05 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CSCO	B	825	19.54	n/a	14-Dec	41.25	5.0
EDGEWOOD	085	CTSH	S	4,982	72.63	n/a	n/a	249.10	0.0
LATEEF MGMT	035	DD	B	150	44.93	n/a	14-Dec	30.00	20.0
PATTEN & PATTEN	025	DKS	S	75	44.69	n/a	21-Dec	3.75	5.0
EDGEWOOD	085	ECL	S	2,444	71.45	n/a	18-Dec	122.20	0.0
PATTEN & PATTEN	025	EEM	B	850	43.74	n/a	n/a	42.50	5.0
PATTEN & PATTEN	025	FCX	B	1,020	33.39	n/a	n/a	51.00	5.0
ARMATURE CAPITAL	041	F	S	100,000	12.62	n/a	28-Dec	4,000.00	0.0
DEVENNY CAP LLC/MILLENIU	044	F	S	6,300	12.81	n/a	28-Dec	189.00	0.0
MACELLUM CAPITAL	086	GES	SS	55,747	24.23	n/a	29-Nov	1,672.41	3.0
EDGEWOOD	085	GILD	S	1,333	72.50	n/a	n/a	66.65	0.0
EDGEWOOD	085	GOOG	S	404	705.23	n/a	n/a	20.21	0.0
LONG OAR GLOBAL INV	040	GRA	S	11,300	66.67	n/a	n/a	452.00	4.0
HIGHBRIDGE CAP	041	HFC	B	5,000	44.80	n/a	n/a	150.00	3.0
LATEEF MGMT	035	HPQ	B	300	13.75	n/a	n/a	30.00	10.0
EDGEWOOD	085	IHS	S	2,477	96.31	n/a	n/a	123.85	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	ILMN	S	4,569	55.01	n/a	n/a	228.45	0.0
PATTEN & PATTEN	025	INTC	S	50	20.41	n/a	n/a	2.50	5.0
EDGEWOOD	085	ISRG	S	452	484.33	n/a	n/a	22.60	0.0
HIGHBRIDGE CAP	041	LPX	B	14,000	18.60	n/a	28-Dec	420.00	3.0
WATERFRONT CAP	028	MGM	B	23,000	11.46	n/a	13-Jun	920.00	0.0
EDGEWOOD	085	MJN	S	2,754	65.87	n/a	n/a	137.70	0.0
PATTEN & PATTEN	025	MSFT	S	500	26.81	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	OXY	B	200	75.98	n/a	n/a	10.00	5.0
DAVIDSON KEMPNER ADVISOR	040	PENN	B	9,201	48.38	n/a	n/a	276.03	0.0
LATEEF MGMT	035	PG	B	900	67.37	n/a	13-Dec	120.00	16.0
NOKOMIS PARTNERS	031	PRGS	S	15,980	20.86	n/a	n/a	438.48	1.5
EDGEWOOD	085	PX	B	25,287	108.70	n/a	13-Dec	1,264.35	0.0
EDGEWOOD	085	PX	S	1,279	109.00	n/a	13-Dec	63.95	0.0
EDGEWOOD	085	QCOM	S	4,002	61.09	n/a	n/a	200.10	0.0
HIGHBRIDGE CAP	041	ROC	S	11,000	47.75	n/a	n/a	330.00	3.0
PATTEN & PATTEN	025	SNI	B	25	56.81	n/a	n/a	1.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	SPY	B	125	141.09	n/a	n/a	6.25	5.0
DAVIDSON KEMPNER ADVISOR	040	STZ	C	69,686	34.58	n/a	n/a	2,090.58	0.0
PATTEN & PATTEN	025	TFM	B	100	47.57	n/a	n/a	5.00	5.0
EDGEWOOD	085	TROW	S	3,613	64.54	n/a	n/a	180.65	0.0
HIGHBRIDGE CAP	041	TSO	B	2,500	42.81	n/a	n/a	75.00	3.0
HIGHBRIDGE CAP	041	USG	B	10,000	27.04	n/a	22-Oct	300.00	3.0
EDGEWOOD	085	VIAB	S	4,100	52.17	n/a	n/a	205.00	0.0
PATTEN & PATTEN	025	VTI	B	171	72.55	n/a	n/a	8.55	5.0
EDGEWOOD	085	V	S	1,995	149.64	n/a	20-Dec	99.75	0.0
PATTEN & PATTEN	025	WFC	B	203	34.18	n/a	21-Dec	10.15	5.0
WATERFRONT CAP	028	WY	B	21,000	27.67	n/a	28-Dec	840.00	0.0
EDGEWOOD	085	YUM	S	2,888	65.08	n/a	7-Dec	144.40	0.0
<b>TOTAL (Trade Date) :</b>								<b>17,731.28</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									17,731.28
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									17,731.28

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