



Daily Compliance Activity Report

Trade Date: 12/19/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	65	530.19	n/a	n/a	3.25	5.0
PATTEN & PATTEN	025	AA	B	12,000	8.67	n/a	n/a	600.00	5.0
PATTEN & PATTEN	025	AA	S	2,500	8.67	n/a	n/a	125.00	5.0
PZENA INV ADV	044	AIG	B	425	35.54	n/a	n/a	14.88	0.0
PZENA INV ADV	044	AIZ	B	39,275	35.62	n/a	n/a	1,374.63	0.0
HOLLIS CAPITAL	033	ALR	S	5,000	19.21	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	AML	S	4,400	16.04	n/a	n/a	220.00	5.0
RIVERPARK CAPITAL	025	AMTD	B	35,000	16.88	n/a	n/a	1,750.00	0.0
PATTEN & PATTEN	025	APA	S	350	80.36	n/a	6-Dec	17.50	5.0
DSG CAPITAL	030	ARO	B	25,000	14.03	n/a	n/a	750.00	0.0
TUDOR INVESTORS	028	ARO	SS	100,000	14.02	n/a	n/a	3,000.00	0.0
BTG PACTUAL	040	AXL	B	20,000	10.76	n/a	13-Dec	600.00	3.0
GEORGE WEISS	034	AXL	S	27,687	10.72	n/a	13-Dec	1,107.48	0.0
SCOPUS FUND	041	AXL	S	50,000	10.80	n/a	13-Dec	2,000.00	4.0
TROUBH PART	070	AXL	B	25,000	10.66	n/a	13-Dec	1,250.00	5.0
PATTEN & PATTEN	025	AXP	B	550	57.20	n/a	17-Dec	27.50	5.0
PATTEN & PATTEN	025	BAB	B	200	30.06	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Jill Rosenberg		BA	S	66	75.7500	n/a	18-Dec	0.00	0.0
SCOPUS FUND	041	BBBY	B	19,264	60.38	n/a	n/a	770.56	4.0
PATTEN & PATTEN	025	BDX	S	40	78.76	n/a	n/a	2.00	5.0
BTG PACTUAL	040	BLMN	B	3,546	16.61	n/a	n/a	106.38	3.0
SYMPHONY ASSET	033	BRKR	B	28,590	15.55	n/a	n/a	857.70	0.0
CAMBIAR CAP	046	CBT	S	40,000	40.55	n/a	6-Dec	1,600.00	0.0
PATTEN & PATTEN	025	CIU	S	20	111.07	n/a	n/a	1.00	5.0
PATTEN & PATTEN	025	CL	B	100	106.95	n/a	26-Oct	5.00	5.0
WINSLOW CAPITAL	030	COG	B	220,500	49.77	n/a	4-Dec	6,615.00	0.0
TEMAGAMI CAPITAL	041	CRS	S	21,700	51.66	n/a	n/a	868.00	4.0
PATTEN & PATTEN	025	CSCO	B	100	20.40	n/a	14-Dec	5.00	5.0
LATEEF MGMT	035	CTB	S	750	25.37	n/a	n/a	75.00	10.0
PATTEN & PATTEN	025	CWB	B	250	40.62	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	DIA	S	400	133.43	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	DKS	B	200	46.35	n/a	13-Nov	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	DLR	B	475	67.69	n/a	n/a	23.75	5.0
FRONTIER	029	DNDN	S	670,930	5.35	n/a	n/a	20,127.90	0.0
SMITH MGMT/ALDEN GLOBAL	029	DNDN	B	659,340	5.32		n/a	n/a	19,780.20 0.0
CRAMER ROSENTHAL	070	DSW	B	98,088	65.65	n/a	11-Feb	3,923.52	0.0
SAC TRADING TOM LEDDY	035	DSW	S	35,000	65.49	n/a	11-Feb	1,225.00	0.0
PATTEN & PATTEN	025	DUK	B	250	65.00	n/a	n/a	12.50	5.0
TUDOR INVESTORS	028	EBAY	B	25,000	51.88	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	EEM	B	100	43.68	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	EFA	B	225	56.62	n/a	n/a	11.25	5.0
FARALLON CAP MGMT	040	EMC	B	100,000	26.06	n/a	4-Dec	4,000.00	4.0
PATTEN & PATTEN	025	ETN	B	325	54.41	n/a	4-Dec	16.25	5.0
BRONSON POINT	036	FCX	SS	50,000	33.86	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	FCX	B	2,650	33.97	n/a	n/a	132.50	5.0
ACK ASSET	028	FDX	SS	34,000	94.56	n/a	n/a	1,020.00	0.0
PATTEN & PATTEN	025	FRC	S	1,000	33.59	n/a	n/a	50.00	5.0
LATEEF MGMT	035	GIS	S	500	41.39	n/a	n/a	50.00	10.0
CAERUS GLOBAL	041	GM	B	5,000	27.06	n/a	19-Dec	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	GM	B	10,000	27.56	n/a	19-Dec	500.00	5.0
HALCYON LLC	041	GM	B	75,000	27.40	n/a	19-Dec	2,250.00	3.0
PHILADELPHIA FINANCIAL	033	GM	S	145,107	27.43	n/a	19-Dec	5,804.28	0.0
PATTEN & PATTEN	025	HDV	B	45	59.95	n/a	n/a	2.25	5.0
KOLV	025	HLSS	S	1,000	18.78	n/a	n/a	30.00	3.0
PATTEN & PATTEN	025	IAU	B	200	16.25	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	IEF	S	110	107.35	n/a	n/a	5.50	5.0
PATTEN & PATTEN	025	IEV	B	100	39.35	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	IGM	S	75	68.53	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	IJR	B	35	78.06	n/a	n/a	1.75	5.0
PATTEN & PATTEN	025	ILF	B	150	43.76	n/a	n/a	7.50	5.0
CENTURION PARTNERS	041	INTC	B	10,000	21.12	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	IVV	B	125	144.79	n/a	n/a	6.25	5.0
PATTEN & PATTEN	025	IYT	S	200	95.16	n/a	n/a	10.00	5.0
BNP PARIBAS SEC	040	JCI	B	20,000	29.88	n/a	18-Dec	600.00	3.0
J. GOLDMAN	028	JWN	S	30,000	52.95	n/a	30-Nov	1,200.00	4.0
PATTEN & PATTEN	025	JWN	B	525	53.13	n/a	30-Nov	26.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMAS CAPITAL	040	KMX	S	50,000	34.99	n/a	n/a	1,500.00	3.0
SANDLER CAPITAL	028	KORS	B	130,000	53.95	n/a	14-Nov	6,500.00	0.0
PATTEN & PATTEN	025	KRFT	B	75	46.39	n/a	n/a	3.75	5.0
TUDOR INVESTORS	028	LOW	B	12,500	35.26	n/a	6-Dec	375.00	3.0
PATTEN & PATTEN	025	LQD	B	50	120.80	n/a	n/a	2.50	5.0
HOTCHKIS & WILEY	035	LUV	S	135,000	10.46	n/a	17-Dec	5,400.00	0.0
BNP PARIBAS SEC	040	MDLZ	B	50,000	26.03	n/a	n/a	1,500.00	3.0
PATTEN & PATTEN	025	MDR	S	300	10.95	n/a	n/a	15.00	5.0
RIVERPARK CAPITAL	025	MON	B	6,308	92.04	n/a	8-Oct	315.40	0.0
J. GOLDMAN	028	MTW	B	65,000	15.81	n/a	11-Jul	2,600.00	4.0
PATTEN & PATTEN	025	MUNI	S	100	54.24	n/a	n/a	5.00	5.0
FRONTIER	029	MXIM	B	146,810	30.28	n/a	n/a	5,872.40	0.0
ROSEDALE CAPITAL	046	NAV	B	25,600	20.91	n/a	11-Jul	1,280.00	5.0
ROSEDALE CAPITAL	046	NAV	S	15,600	21.75	n/a	11-Jul	780.00	5.0
PATTEN & PATTEN	025	NEE	B	100	70.59	n/a	n/a	5.00	5.0
PZENA INV ADV	044	NOC	S	225	69.07	n/a	11-Dec	7.88	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PATTEN & PATTEN	025	NOK	B	1,500	4.19	n/a	n/a	75.00	5.0	
HIGHBRIDGE CAP	041	NOV	S	22,000	68.77	n/a	n/a	660.00	3.0	
PATTEN & PATTEN	025	NSC	S	100	62.49	n/a	n/a	5.00	5.0	
LATEEF MGMT	035	NUE	S	500	43.48	n/a	n/a	60.00	12.0	
DAVIDSON KEMPNER ADVISOR	040	NXY	B	46,000	26.74	n/a	n/a	1,380.00	0.0	
LATEEF MGMT	035	OLN	S	500	21.24	n/a	n/a	50.00	0.0	
PZENA INV ADV	044	OMC	S	1,200	50.77	n/a	n/a	42.00	0.0	
ALLIANZ/NICOLAS APPLGATE	084	ORCL	B	100,000	34.02		n/a	n/a	2,000.00	0.0
PATTEN & PATTEN	025	OXY	B	100	78.83	n/a	n/a	5.00	5.0	
HIGHBRIDGE CAP	041	PBF	S	38,000	27.10	n/a	n/a	1,140.00	3.0	
HIGHBRIDGE CAP	041	PBR	B	50,000	20.11	n/a	n/a	1,500.00	3.0	
STANDARD PACIFIC CAPITAL	084	PHM	S	150,000	18.24	n/a	n/a	7,500.00	0.0	
PATTEN & PATTEN	025	PKB	B	400	17.46	n/a	n/a	20.00	5.0	
PZENA INV ADV	044	PPG	S	1,800	131.51	n/a	14-Dec	63.00	0.0	
PZENA INV ADV	044	PRE	S	1,100	81.93	n/a	n/a	38.50	0.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PRGO	S	150	103.58	n/a	17-Dec	7.50	5.0
CAERUS GLOBAL	041	PVH	B	6,940	112.56	n/a	19-Dec	277.60	4.0
PATTEN & PATTEN	025	SLB	B	200	71.15	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	SNI	B	275	59.13	n/a	n/a	13.75	5.0
PATTEN & PATTEN	025	SNY	B	75	46.90	n/a	n/a	3.75	5.0
PZENA INV ADV	044	SPLS	S	6,600	12.16	n/a	n/a	231.00	0.0
PZENA INV ADV	044	STT	S	1,250	46.76	n/a	19-Dec	43.75	0.0
CR INTRINIC INVESTMENT	044	ST	S	15,000	32.00	n/a	n/a	525.00	3.5
PATTEN & PATTEN	025	TFM	B	1,000	50.75	n/a	n/a	50.00	5.0
SAC TRADING TOM LEDDY	035	TGT	B	25,000	61.87	n/a	29-Nov	875.00	3.5
SYMPHONY ASSET	033	TMO	S	6,770	65.11	n/a	n/a	203.10	0.0
BRONSON POINT	036	TPX	SS	25,000	31.50	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	TRN	B	1,175	36.10	n/a	n/a	58.75	5.0
J. GOLDMAN	028	TWI	B	49,100	21.87	n/a	n/a	1,964.00	4.0
BRONSON POINT	036	T	SS	200,000	34.09	n/a	n/a	6,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	UBS	S	5,400	16.95	n/a	n/a	189.00	0.0
BALYASNY ASSET MGMT	044	URBN	S	25,000	40.43	n/a	n/a	1,250.00	0.0
HIGHBRIDGE CAP	041	USG	B	18,000	28.18	n/a	22-Oct	540.00	3.0
CENTURION PARTNERS	041	WFC	S	15,000	34.87	n/a	19-Dec	600.00	4.0
PATTEN & PATTEN	025	WOOD	B	50	44.61	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	XLE	S	100	73.17	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	XLF	B	250	16.58	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	XLI	B	200	38.46	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	XLK	B	100	29.46	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	XLV	B	400	40.86	n/a	n/a	20.00	5.0
PZENA INV ADV	044	XOM	S	3,250	89.30	n/a	n/a	113.75	0.0
SAC TRADING TOM LEDDY	035	YUM	SS	50,000	68.56	n/a	7-Dec	1,750.00	3.5
MACELLUM CAPITAL	086	ZUMZ	B	84,047	20.17	n/a	n/a	2,521.41	3.0
TOTAL (Trade Date) :								146,471.57	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
AO,CXL	12/17	PATTEN & PATTEN (PATTBERSHI)	025	BP	S	2,400	41.57	n/a	n/a	120.00	5.0	
AO,CRT	12/17	PATTEN & PATTEN (PATTSCHWAB)	025	BP	S	2,400	41.57	n/a	n/a	120.00	5.0	
AO,CRT	12/18	PERRY PARTNERS (PERRMS)	085	FMCN	SS	200,000	23.98	n/a	n/a	10000.00	5.0	
AO,CXL	12/18	PERRY PARTNERS (PERRGOLDMA)	085	FMCN	SS	200,000	23.98	n/a	n/a	10000.00	5.0	
AO,CXL	12/18	STELLIAM INV ADV (STLLCSFB)	034	HOV	S	3,200	6.05	n/a	n/a	64.00	2.0	
AO,CRT	12/18	STELLIAM INV ADV (STLLGSBULK)	034	HOV	S	3,200	6.05	n/a	n/a	64.00	2.0	
CRT	12/19	ROSEDALE CAPITAL (ROSEJPM)	046	NAV	B	25,600	20.91	n/a	11-Jul	1280.00	5.0	
AO,CXL	12/18	PROVIDENCE EQUITY CAPITAL MARKETS LLC (PECMJPM) 040			X	B	5,000	24.44	n/a	n/a	150.00	3.0
AO,CRT	12/18	TIDE POINT CAPITAL (TIDEMS)	034	X	B	5,000	24.44	n/a	n/a	150.00	3.0	

TOTAL (AO, CXL, CRT) :**1,280.00**

TOTAL (Trade Date) :

146,471.57

TOTAL (AO, CXL, CRT) :

1,280.00

TOTAL (RUN DATE) / NFS:**147,751.57**

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