



Daily Compliance Activity Report

Trade Date: 12/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	B	1,500	12.69	n/a	n/a	75.00	5.0
ST OF MICHIAN	047	ABT	S	325,000	54.47	n/a	n/a	9,750.00	3.0
PATTEN & PATTEN	067	AB	S	1,850	25.48	n/a	1-Dec	92.50	5.0
PATTEN & PATTEN	067	ACL	B	1,250	149.42	n/a	30-Nov	62.50	5.0
PATTEN & PATTEN	067	ADM	S	11,200	31.64	n/a	27-Nov	560.00	5.0
PATTEN & PATTEN	067	AEE	S	200	26.24	n/a	n/a	10.00	5.0
FIRST NY SEC/CHRIS	041	AEO	B	10,000	15.43	n/a	1-Dec	500.00	5.0
PATTEN & PATTEN	067	AGN	S	1,500	58.77	n/a	30-Nov	75.00	5.0
BAIRD INVESTMENT	047	ALTR	S	61,927	22.02	n/a	n/a	3,096.35	5.0
SANDLER O'NEILL ASSET	031	AMG	B	5,000	64.67	n/a	24-Nov	250.00	5.0
RWC PARTNERS LTD	067	AN	B	153,400	17.88	n/a	30-Oct	4,602.00	3.0
SOROS	036	AN	B	100,000	17.86	n/a	30-Oct	4,000.00	4.0
PATTEN & PATTEN	067	AVY	S	700	37.79	n/a	27-Oct	35.00	5.0
BALYASNY ASSET MGMT	044	AXL	S	20,000	6.61	n/a	2-Nov	800.00	4.0
TRELLUS PARTNERS LP	028	AXL	B	130,000	6.50	n/a	2-Nov	3,900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	AXP	S	200	41.44	n/a	30-Nov	10.00	5.0
PATTEN & PATTEN	067	BAC	S	400	15.87	n/a	24-Nov	20.00	5.0
PATTEN & PATTEN	067	BBT	S	1,300	25.20	n/a	n/a	65.00	5.0
BUCK CAPITAL MGMT	001	BIG	S	40,000	23.33	n/a	1-Dec	1,600.00	4.0
HUTCHIN HILL CAPITAL LP	233	BIG	SS	36,752	23.48	n/a	1-Dec	1,102.56	3.0
PATTEN & PATTEN	067	BP	B	2,675	58.45	n/a	n/a	133.75	5.0
PATTEN & PATTEN	067	BRKB	S	203,352.05		n/a	n/a	1.00	5.0
BMO NESBITT BURNS	041	BZ	S	25,000	5.10	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	CAG	S	5,300	22.47	n/a	n/a	265.00	5.0
GLENHILL CAPITAL	212	CAT	SS	95,000	59.57	n/a	21-Oct	4,750.00	5.0
GREEN ARROW DOUG	040	CBRL	B	15,000	37.43	n/a	n/a	750.00	5.0
ROTHSCHILD ASSET	040	CBS	B	10,366	13.25	n/a	n/a	466.48	4.5
GLENHILL CAPITAL	212	CHRW	SS	120,000	56.48	n/a	n/a	6,000.00	5.0
PATTEN & PATTEN	067	CNI	S	300	53.60	n/a	n/a	15.00	5.0
ROTHSCHILD ASSET	040	COH	S	1,490	35.48	n/a	21-Oct	67.05	4.5
GEORGE WEISS	034	CREE	C	17,200	50.43	n/a	n/a	516.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AAD CAPITAL	048	CTRP	SS	3,000	75.35	n/a	n/a	120.00	4.0
DIAMONDBACK CAP MGMT	232	CVS	S	25,000	31.14	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	CVS	S	300	31.30	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	CVX	S	700	79.03	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	CWB	B	1,200	36.99	n/a	n/a	60.00	5.0
WAGONHOUND/NIC	048	DECK	S	81	94.51	n/a	n/a	3.24	4.0
BUCK CAPITAL MGMT	001	DLM	SS	50,000	10.47	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	DLM	S	20,000	10.48	n/a	n/a	1,000.00	5.0
GREEN ARROW DOUG	040	DLTR	S	15,000	48.78	n/a	1-Dec	750.00	5.0
WAGONHOUND/NIC	048	DRI	S	5,142	31.47	n/a	25-Nov	205.68	4.0
LONG OAR GLOBAL INV	040	DV	SS	6,200	53.59	n/a	n/a	248.00	4.0
MORTAR ROCK	033	EBIX	B	7,500	53.86	n/a	n/a	300.00	4.0
PATTEN & PATTEN	067	EP	S	3,000	9.63	n/a	n/a	150.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	20,000	1.67	n/a	n/a	1,200.00	6.0
PATTEN & PATTEN	067	EXC	B	400	48.77	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	FSGI	B	5,000	2.92	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	F	B	500,000	9.00	n/a	30-Nov	20,000.00	4.0
PATTEN & PATTEN	067	F	B	500	8.87	n/a	30-Nov	25.00	5.0
TRELLUS PARTNERS LP	028	F	B	350,000	9.00	n/a	30-Nov	10,500.00	3.0
BUCK CAPITAL MGMT	001	GES	S	20,000	41.64	n/a	n/a	800.00	4.0
GREEN ARROW DOUG	040	GE	B	25,000	16.07	n/a	n/a	1,250.00	5.0
STERLING JOHNSTON	035	GIL	B	9,800	20.16	n/a	n/a	392.00	4.0
PATTEN & PATTEN	067	GLW	B	1,000	17.05	n/a	24-Nov	50.00	5.0
PATTEN & PATTEN	067	GLW	S	1,980	17.04	n/a	24-Nov	99.00	5.0
BAIRD INVESTMENT	047	GS	B	1,373	168.09	n/a	18-Nov	68.65	5.0
PATTEN & PATTEN	067	GS	B	600	167.61	n/a	18-Nov	30.00	5.0
GREEN ARROW DOUG	040	GYMB	S	3,301	40.98	n/a	1-Dec	165.05	5.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	24.01	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	HCF	B	1,200	6.34	n/a	n/a	60.00	5.0
PATTEN & PATTEN	067	HCF	S	900	6.33	n/a	n/a	45.00	5.0
MORTAR ROCK	033	HLF	B	3,300	43.28	n/a	n/a	132.00	4.0
ROTHSCHILD ASSET	040	HST	B	11,250	10.49	n/a	n/a	506.26	4.5
GLOBAL 56 LLC	060	HXL	B	3,000	10.58	n/a	n/a	90.00	3.0
PATTEN & PATTEN	067	IAT	S	3,700	20.91	n/a	n/a	185.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	B	40,000	25.98	n/a	28-Oct	2,000.00	5.0
OZ MGMT	040	IP	B	50,000	26.04	n/a	28-Oct	1,500.00	3.0
PATTEN & PATTEN	067	ITT	B	300	52.14	n/a	23-Nov	15.00	5.0
MATLIN PATTERSON	046	IWM	B	250,000	58.95	n/a	n/a	2,500.00	1.0
PATTEN & PATTEN	067	JPM	B	800	41.90	n/a	24-Nov	40.00	5.0
PATTEN & PATTEN	067	KMB	B	600	66.88	n/a	26-Oct	30.00	5.0
PATTEN & PATTEN	067	KO	B	600	57.68	n/a	n/a	30.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	150,000	17.36	n/a	n/a	6,000.00	4.0
PATTEN & PATTEN	067	MIC	S	300	9.18	n/a	n/a	15.00	5.0
GREEN ARROW DOUG	040	MPEL	S	25,000	4.48	n/a	18-Nov	1,250.00	5.0
PATTEN & PATTEN	067	MS	B	500	31.70	n/a	18-Nov	25.00	5.0
PATTEN & PATTEN	067	MS	S	400	31.54	n/a	18-Nov	20.00	5.0
TRUSTCO/SUNTRUST	040	MTW	S	16,200	9.97	n/a	3-Nov	631.80	3.9
PATTEN & PATTEN	067	NOK	S	800	13.47	n/a	n/a	40.00	5.0
COUGAR TRADING	044	OZM	B	10,000	11.89	n/a	1-Dec	500.00	5.0
DSG CAPITAL	225	OZM	B	40,000	11.98	n/a	1-Dec	1,400.00	3.5
ROSEDALE CAPITAL	046	OZM	B	20,000	11.99	n/a	1-Dec	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	PAG	B	15,000	15.34	n/a	2-Nov	450.00	3.0
PATTEN & PATTEN	067	PALAF	S	1,000	3.84	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	PBW	S	1,000	10.24	n/a	n/a	50.00	5.0
GLENHILL CAPITAL	212	PCAR	SS	150,000	37.83	n/a	18-Nov	7,500.00	5.0
PATTEN & PATTEN	067	PDN	B	1,000	22.20	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	PDN	S	1,000	21.79	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	PFF	B	150	34.93	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	PHO	S	3,500	16.21	n/a	n/a	175.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	S	4,000	21.08	n/a	22-Oct	160.00	4.0
MORTAR ROCK	033	PM	B	30,000	48.92	n/a	n/a	1,200.00	4.0
DENVER INST. ADV	046	PRGO	B	27,664	40.78	n/a	30-Nov	1,106.56	4.0
MORTAR ROCK	033	PSA	B	12,500	80.04	n/a	n/a	500.00	4.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.85	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	RF	S	1,398	5.74	n/a	n/a	69.90	5.0
TROUBH PART	067	RRI	S	50,000	4.97	n/a	n/a	2,500.00	5.0
UBS OCONNOR	031	RTN	SS	61,978	51.67	n/a	22-Oct	1,859.34	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	SBUX	SS	10,000	21.91	n/a	6-Nov	500.00	5.0
PATTEN & PATTEN	067	SE	S	5,261	19.54	n/a	n/a	263.05	5.0
NEUBERGER BERMAN	036	SHO	S	10,300	8.06	n/a	n/a	309.00	3.0
PATTEN & PATTEN	067	SLB	B	200	65.29	n/a	n/a	10.00	5.0
PARTNER REINSURANCE	033	SPLS	S	17,300	24.75	n/a	n/a	692.00	4.0
EXIS CAPITAL	044	TEN	B	20,000	14.69	n/a	n/a	1,000.00	5.0
BMO NESBITT BURNS	041	TIN	SS	50,000	19.11	n/a	22-Oct	2,500.00	5.0
FIRST INV MGMT CO	029	TIN	B	33,200	19.10	n/a	22-Oct	1,660.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	3,300	19.33	n/a	22-Oct	132.00	4.0
OZ MGMT	040	TIN	B	33,050	18.65	n/a	22-Oct	991.50	3.0
OZ MGMT	040	TIN	S	33,050	18.73	n/a	22-Oct	991.50	3.0
BUCK CAPITAL MGMT	001	TJX	S	30,000	38.54	n/a	1-Dec	1,200.00	4.0
PATTEN & PATTEN	067	T	S	1,507	27.08	n/a	n/a	75.35	5.0
FIRST NY SEC/CHRIS	041	UAUA	B	5,000	7.88	n/a	n/a	250.00	5.0
AAD CAPITAL	048	UFS	SS	1,500	57.89	n/a	n/a	60.00	4.0
MORTAR ROCK	033	UNG	B	100,000	8.98	n/a	n/a	4,000.00	4.0
JP MORGAN VENTURES	046	VFC	S	10,000	74.02	n/a	27-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	VLO	S	1,400	16.06	n/a	n/a	70.00	5.0
PATTEN & PATTEN	067	VMC	S	300	48.78	n/a	n/a	15.00	5.0
GLENHILL CAPITAL	212	WAB	SS	42,500	39.22	n/a	n/a	2,125.00	5.0
PATTEN & PATTEN	067	WAG	B	6,950	39.05	n/a	n/a	347.50	5.0
PATTEN & PATTEN	067	WFR	B	500	12.24	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	WFR	S	1,000	12.23	n/a	n/a	50.00	5.0
CAVU CAP ADV	028	WFT	B	30,000	17.16	n/a	n/a	1,500.00	5.0
PILOT ROCK	028	WSM	SS	25,000	21.02	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	WY	SS	50,000	40.30	n/a	2-Nov	2,500.00	5.0
OZ MGMT	040	WY	B	26,500	39.55	n/a	2-Nov	795.00	3.0
PATTEN & PATTEN	067	WY	S	1,700	39.57	n/a	2-Nov	85.00	5.0
S.A.C. CAP/ORENSTEIN	044	XLI	SS	100,000	27.93	n/a	n/a	4,000.00	4.0
TOTAL (Trade Date) :							148,997.07		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/30	BAIRD INVESTMENT (BAIRBLCFB)	047	BAX	B	1,050	54.74	n/a	n/a	52.50	5.0
AO,	11/30	BAIRD INVESTMENT (BAIRVB515)	047	BAX	B	650	54.74	n/a	n/a	32.50	5.0
AO,CXL	11/30	BAIRD INVESTMENT (BAIRBMCFB)	047	BAX	B	1,700	54.74	n/a	n/a	85.00	5.0
AO,CRT	11/30	BAIRD INVESTMENT (BAIRBLCFB)	047	BSX	B	6,800	8.31	n/a	n/a	340.00	5.0
AO,	11/30	BAIRD INVESTMENT (BAIRVB515)	047	BSX	B	4,225	8.31	n/a	n/a	211.25	5.0
AO,CXL	11/30	BAIRD INVESTMENT (BAIRBMCFB)	047	BSX	B	11,025	8.31	n/a	n/a	551.25	5.0
AO,CRT	11/30	BAIRD INVESTMENT (BAIRBLCFB)	047	ESRX	B	625	85.41	n/a	n/a	31.25	5.0
AO,	11/30	BAIRD INVESTMENT (BAIRVB515)	047	ESRX	B	400	85.41	n/a	n/a	20.00	5.0
AO,CXL	11/30	BAIRD INVESTMENT (BAIRBMCFB)	047	ESRX	B	1,025	85.41	n/a	n/a	51.25	5.0
AO,CRT	11/25	TROOB CAPITAL (TROOBSPB)	067	ETFC	B	150,000	1.62	n/a	n/a	4500.00	3.0
AO,CXL	11/25	TROOB CAPITAL (TROOMSPB)	067	ETFC	B	150,000	1.62	n/a	n/a	4500.00	3.0
AO,	11/30	ASCEND PARTNERS (ASCEDBAB)	033	GIL	B	4,377	19.16	n/a	n/a	218.85	5.0
AO,	11/30	ASCEND PARTNERS (ASCECITI)	033	GIL	B	4,085	19.16	n/a	n/a	204.25	5.0
AO,	11/30	ASCEND PARTNERS (ASCEMSPB)	033	GIL	B	15,786	19.16	n/a	n/a	789.30	5.0
AO,	11/30	ASCEND PARTNERS (ASCEBNPC)	033	GIL	B	1,446	19.16	n/a	n/a	72.30	5.0
AO,CRT	11/30	BAIRD INVESTMENT (BAIRBLCFB)	047	GILD	B	1,600	46.07	n/a	n/a	80.00	5.0
AO,	11/30	BAIRD INVESTMENT (BAIRVB515)	047	GILD	B	650	46.07	n/a	n/a	32.50	5.0
AO,CXL	11/30	BAIRD INVESTMENT (BAIRBMCFB)	047	GILD	B	2,250	46.07	n/a	n/a	112.50	5.0
AO,CXL	11/30	MILLENIU PARTNERS (MILPINTREG)	028	M	S	100,000	16.03	n/a	1-Dec	4000.00	4.0
AO,CRT	11/30	MILLENIU PARTNERS (MILPUSE)	028	M	S	100,000	16.03	n/a	1-Dec	4000.00	4.0
AO,CRT	11/30	BAIRD INVESTMENT (BAIRBLCFB)	047	TMO	B	875	47.11	n/a	n/a	43.75	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/30	BAIRD INVESTMENT (BAIRVB515)	047	TMO	B	550	47.11	n/a	n/a	27.50 5.0
AO,CXL	11/30	BAIRD INVESTMENT (BAIRBMCFB)	047	TMO	B	1,425	47.11	n/a	n/a	71.25 5.0
TOTAL (AO, CXL, CRT) :										1,284.70

TOTAL (Trade Date):	148,997.07
TOTAL (AO, CXL, CRT):	1,284.70
TOTAL (RUN DATE) / NFS:	150,281.77

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