



Daily Compliance Activity Report

Trade Date: 12/27/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|--------|-----|----------|--------------|-----|
| PATTEN & PATTEN | 025 | AA | S | 1,000 | 8.79 | n/a | n/a | 50.00 | 5.0 |
| PATTEN & PATTEN | 025 | ABT | S | 200 | 56.21 | n/a | n/a | 10.00 | 5.0 |
| HARVEST MGMT | 029 | AEO | B | 20,000 | 15.22 | n/a | 2-Dec | 800.00 | 4.0 |
| PATTEN & PATTEN | 025 | AGG | B | 500 | 109.79 | n/a | n/a | 25.00 | 5.0 |
| PATTEN & PATTEN | 025 | AML | S | 750 | 16.45 | n/a | n/a | 37.50 | 5.0 |
| PATTEN & PATTEN | 025 | APC | B | 250 | 76.64 | n/a | 22-Dec | 12.50 | 5.0 |
| PATTEN & PATTEN | 025 | APC | S | 100 | 77.39 | n/a | 22-Dec | 5.00 | 5.0 |
| PATTEN & PATTEN | 025 | BAC | S | 1,400 | 5.54 | n/a | 22-Dec | 70.00 | 5.0 |
| PATTEN & PATTEN | 025 | BAM | S | 200 | 27.47 | n/a | n/a | 10.00 | 5.0 |
| HARVEST MGMT | 029 | BBBY | S | 10,000 | 57.25 | n/a | n/a | 400.00 | 4.0 |
| PATTEN & PATTEN | 025 | BBY | S | 400 | 23.36 | n/a | n/a | 20.00 | 5.0 |
| PATTEN & PATTEN | 025 | BP | S | 600 | 43.17 | n/a | n/a | 30.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | CHD | S | 5,100 | 46.00 | n/a | 14-Dec | 204.00 | 4.0 |
| SIMMONS VENTURES | 041 | CROX | B | 5,000 | 15.60 | n/a | n/a | 200.00 | 4.0 |
| PATTEN & PATTEN | 025 | DD | B | 350 | 46.33 | n/a | 27-Dec | 17.50 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| PATTEN & PATTEN | 025 | DD | S | 100 | 46.40 | n/a | 27-Dec | 5.00 | 5.0 |
| M&I FUNDS | 047 | DLTR | S | 5,800 | 84.11 | n/a | 22-Nov | 232.00 | 4.0 |
| PATTEN & PATTEN | 025 | DOW | S | 800 | 28.98 | n/a | 14-Dec | 40.00 | 5.0 |
| PATTEN & PATTEN | 025 | DVY | S | 600 | 54.17 | n/a | n/a | 30.00 | 5.0 |
| PATTEN & PATTEN | 025 | EEM | S | 475 | 38.20 | n/a | n/a | 23.75 | 5.0 |
| PATTEN & PATTEN | 025 | EFG | S | 700 | 51.81 | n/a | n/a | 35.00 | 5.0 |
| PATTEN & PATTEN | 025 | EPP | S | 150 | 39.41 | n/a | n/a | 7.50 | 5.0 |
| PATTEN & PATTEN | 025 | EWI | S | 2,000 | 15.36 | n/a | n/a | 100.00 | 5.0 |
| SCOPUS FUND | 041 | FCN | B | 13,650 | 43.22 | n/a | n/a | 546.00 | 4.0 |
| PATTEN & PATTEN | 025 | FHN | B | 100 | 7.98 | n/a | n/a | 5.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | FNB | B | 95,100 | 11.42 | n/a | n/a | 3,804.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | FNH | B | 70,500 | 16.36 | n/a | n/a | 2,820.00 | 4.0 |
| HARVEST MGMT | 029 | FOSL | B | 6,150 | 87.62 | n/a | n/a | 246.00 | 4.0 |
| PATTEN & PATTEN | 025 | GE | S | 200 | 18.08 | n/a | n/a | 10.00 | 5.0 |
| PATTEN & PATTEN | 025 | GLW | B | 300 | 13.30 | n/a | 27-Dec | 15.00 | 5.0 |
| PATTEN & PATTEN | 025 | HD | S | 400 | 42.39 | n/a | 8-Dec | 20.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|-----|----------|--------------|------|
| MERRILL ASSET/BLACKROCK | 297 | HHS | S | 10,372 | 9.66 | n/a | n/a | 414.88 | 4.0 |
| PATTEN & PATTEN | 025 | HON | S | 100 | 55.06 | n/a | 15-Dec | 5.00 | 5.0 |
| PATTEN & PATTEN | 025 | HPQ | B | 3,400 | 25.82 | n/a | n/a | 170.00 | 5.0 |
| PATTEN & PATTEN | 025 | IAT | S | 1,300 | 21.32 | n/a | n/a | 65.00 | 5.0 |
| PATTEN & PATTEN | 025 | INTC | S | 525 | 24.67 | n/a | n/a | 26.25 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | INT | S | 43,000 | 42.22 | n/a | n/a | 1,720.00 | 4.0 |
| PATTEN & PATTEN | 025 | JNJ | S | 150 | 66.05 | n/a | n/a | 7.50 | 5.0 |
| LATEFF MGMT | 035 | KFT | S | 1,725 | 37.75 | n/a | n/a | 207.00 | 12.0 |
| PATTEN & PATTEN | 025 | KMB | S | 100 | 73.92 | n/a | 25-Oct | 5.00 | 5.0 |
| PATTEN & PATTEN | 025 | KO | S | 175 | 70.00 | n/a | 19-Oct | 8.75 | 5.0 |
| PATTEN & PATTEN | 025 | KRE | S | 200 | 24.72 | n/a | n/a | 10.00 | 5.0 |
| HARVEST MGMT | 029 | LOW | S | 20,000 | 25.43 | n/a | 7-Dec | 800.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | MFRM | S | 29,824 | 21.93 | n/a | n/a | 1,192.96 | 4.0 |
| HARVEST MGMT | 029 | M | B | 4,100 | 32.21 | n/a | 2-Dec | 164.00 | 4.0 |
| PATTEN & PATTEN | 025 | NUE | S | 100 | 40.68 | n/a | n/a | 5.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------------|------------|----------|--------------|--------------|------------|--------------|---------------|------------|
| PATTEN & PATTEN | 025 | OSK | S | 300 | 22.21 | n/a | n/a | 15.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | PAM | B | 900 | 10.30 | n/a | n/a | 36.00 | 4.0 |
| PATTEN & PATTEN | 025 | PEP | S | 50 | 66.48 | n/a | n/a | 2.50 | 5.0 |
| PATTEN & PATTEN | 025 | PG | S | 200 | 66.94 | n/a | 16-Nov | 10.00 | 5.0 |
| PATTEN & PATTEN | 025 | PHO | S | 3,400 | 16.94 | n/a | n/a | 170.00 | 5.0 |
| PATTEN & PATTEN | 025 | PIO | S | 900 | 15.56 | n/a | n/a | 45.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | PRA | S | 15,600 | 81.02 | n/a | n/a | 624.00 | 4.0 |
| EGS ASSOCIATES LP | 091 | PVH | B | 4,300 | 71.61 | n/a | 2-Dec | 258.00 | 6.0 |
| PATTEN & PATTEN | 025 | PX | S | 50 | 107.70 | n/a | 26-Oct | 2.50 | 5.0 |
| PATTEN & PATTEN | 025 | RKT | S | 75 | 58.12 | n/a | 10-Nov | 3.75 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | RLI | S | 7,713 | 74.26 | n/a | n/a | 308.52 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | SF | B | 7,997 | 32.24 | n/a | n/a | 319.88 | 4.0 |
| PATTEN & PATTEN | 025 | SLB | S | 75 | 68.99 | n/a | n/a | 3.75 | 5.0 |
| PATTEN & PATTEN | 025 | SNE | S | 300 | 17.86 | n/a | n/a | 15.00 | 5.0 |
| PATTEN & PATTEN | 025 | STI | B | 500 | 17.78 | n/a | n/a | 25.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------|--------|-----|--------|--------|-----|----------|------------------|-----|
| CHESAPEAKE PARTNERS | 028 | SUG | S | 35,394 | 42.50 | n/a | n/a | 707.88 | 2.0 |
| PATTEN & PATTEN | 025 | TEVA | S | 175 | 41.78 | n/a | 27-Dec | 8.75 | 5.0 |
| PATTEN & PATTEN | 025 | TYC | S | 125 | 46.91 | n/a | 16-Nov | 6.25 | 5.0 |
| PATTEN & PATTEN | 025 | VWO | B | 475 | 38.49 | n/a | n/a | 23.75 | 5.0 |
| PATTEN & PATTEN | 025 | VZ | S | 250 | 39.98 | n/a | n/a | 12.50 | 5.0 |
| PATTEN & PATTEN | 025 | V | S | 50 | 102.20 | n/a | 20-Dec | 2.50 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | WBS | B | 26,400 | 20.55 | n/a | n/a | 1,056.00 | 4.0 |
| PATTEN & PATTEN | 025 | WFC | S | 300 | 27.78 | n/a | 22-Dec | 15.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | WRB | B | 20,300 | 34.67 | n/a | n/a | 812.00 | 4.0 |
| PATTEN & PATTEN | 025 | XLU | S | 1,000 | 36.08 | n/a | n/a | 50.00 | 5.0 |
| PATTEN & PATTEN | 025 | XOM | S | 55 | 85.34 | n/a | n/a | 2.75 | 5.0 |
| TOTAL (Trade Date) : | | | | | | | | 19,168.37 | |

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) : | | | | | | | | | 19,168.37 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 19,168.37 |

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