



## Daily Compliance Activity Report

Trade Date: 12/17/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	S	898	505.52	n/a	n/a	44.91	0.0
PATTEN & PATTEN	025	AA	S	150	8.70	n/a	n/a	7.50	5.0
NEWLAND CAPITAL MGT	025	ACCO	B	10,000	6.94	n/a	n/a	300.00	3.0
CENTURION PARTNERS	041	ADT	S	15,000	45.79	n/a	n/a	600.00	4.0
EDGEWOOD	085	AGN	S	3,109	92.40	n/a	17-Dec	155.45	0.0
CENTURION PARTNERS	041	AIG	B	15,000	34.75	n/a	n/a	600.00	4.0
MASTERS CAPITAL MANAGE	025	AIG	S	50,000	34.81	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	025	AIG	B	5,000	34.69	n/a	n/a	250.00	5.0
CENTURION PARTNERS	041	ALL	B	15,000	40.83	n/a	n/a	600.00	4.0
EDGEWOOD	085	AMT	S	6,298	76.47	n/a	n/a	314.90	0.0
EDGEWOOD	085	AMZN	S	1,717	250.42	n/a	n/a	85.85	0.0
PATTEN & PATTEN	025	APA	S	1,850	77.47	n/a	6-Dec	92.50	5.0
Õ Doug Rogers		APC	S	100	75.0990	n/a	6-Dec	0.00	0.0
Õ Doug Rogers		APC	S	189	74.8020	n/a	6-Dec	0.00	0.0
PATTEN & PATTEN	025	AXP	B	5,300	57.24	n/a	17-Dec	265.00	5.0
PATTEN & PATTEN	025	BA	B	1,100	74.29	n/a	11-Dec	55.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARCHON CAPITAL	035	BBBY	B	41,400	58.97	n/a	n/a	1,242.00	3.0
SIMMONS VENTURES	041	BDE	B	15,000	7.90	n/a	n/a	600.00	4.0
CASTLEROCK	040	BKW	SS	12,500	16.72	n/a	n/a	500.00	0.0
CR INTRINIC INVESTMENT	044	BKW	SS	19,000	16.87	n/a	n/a	665.00	3.5
J. GOLDMAN	028	BKW	B	55,000	16.85	n/a	n/a	2,200.00	4.0
BTG PACTUAL	040	BLMN	B	10,000	16.63	n/a	n/a	300.00	1.5
J. GOLDMAN	028	BLMN	S	5,000	16.56	n/a	n/a	200.00	0.0
PATTEN & PATTEN	025	BP	S	2,400	41.57	n/a	n/a	120.00	5.0
PATTEN & PATTEN	025	BTU	S	775	26.70	n/a	n/a	38.75	5.0
EDGEWOOD	085	CELG	S	6,740	79.68	n/a	n/a	337.00	0.0
LOMAS CAPITAL	040	CHRW	S	24,000	61.77	n/a	n/a	720.00	3.0
EDGEWOOD	085	CME	S	7,424	51.21	n/a	28-Apr	371.20	0.0
EDGEWOOD	085	CMG	S	1,777	280.13	n/a	19-Oct	88.85	0.0
PATTEN & PATTEN	025	CNR	S	63	91.28	n/a	n/a	3.15	5.0
EDGEWOOD	085	COH	S	5,947	56.75	n/a	5-Nov	297.35	0.0
PATTEN & PATTEN	025	CSCO	B	200	19.89	n/a	14-Dec	10.00	5.0
EDGEWOOD	085	CTSH	S	9,415	72.74	n/a	n/a	470.75	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OHIO PERS	047	CTXS	B	38,500	65.71	n/a	n/a	1,155.00	0.0
PROSPECTOR PARTNERS LLC	036	DD	B	5,000	44.46	n/a	14-Dec	200.00	4.0
CASTLEROCK	040	DRI	SS	7,500	46.62	n/a	17-Dec	300.00	0.0
J. GOLDMAN	028	EAT	B	10,000	31.69	n/a	25-Oct	400.00	4.0
EDGEWOOD	085	ECL	S	6,062	70.44	n/a	31-Oct	303.10	0.0
PATTEN & PATTEN	025	EEM	B	500	43.31	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	EWC	S	50	28.59	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	EWJ	S	1,200	9.43	n/a	n/a	60.00	5.0
PATTEN & PATTEN	025	EXC	S	700	29.83	n/a	n/a	35.00	5.0
HEIGHTS CAPITAL	251	EXPD	S	96,887	38.28	n/a	n/a	3,875.48	0.0
PATTEN & PATTEN	025	FCX	B	1,500	33.51	n/a	n/a	75.00	5.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			FEIC	S	27,840	52.47	n/a	n/a	835.20 0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	15.90	n/a	8-Nov	400.00	4.0
CENTURION PARTNERS	041	FRC	B	10,000	32.60	n/a	n/a	400.00	4.0
HIGHFIELDS CAP MGMT	030	F	SS	200,000	11.20	n/a	4-Dec	8,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	F	S	1,000	11.35	n/a	4-Dec	50.00	5.0
HEIGHTS CAPITAL	251	GD	SS	54,890	67.99	n/a	11-Dec	2,195.60	0.0
EDGEWOOD	085	GILD	S	2,603	73.70	n/a	n/a	130.15	0.0
EDGEWOOD	085	GOOG	S	773	710.73	n/a	n/a	38.66	0.0
HARVEST MGMT (JMP)	029	GPS	SS	10,000	31.49	n/a	n/a	400.00	4.0
STELLIAM INV ADV	034	HOV	S	50,000	5.77	n/a	n/a	1,000.00	2.0
HEIGHTS CAPITAL	251	HUBB	S	28,146	82.45	n/a	n/a	1,125.84	0.0
EDGEWOOD	085	IHS	S	4,828	92.36	n/a	n/a	241.40	0.0
EDGEWOOD	085	ILMN	S	9,234	51.09	n/a	n/a	461.70	0.0
PATTEN & PATTEN	025	INTC	S	800	20.43	n/a	n/a	40.00	5.0
EDGEWOOD	085	ISRG	S	889	537.34	n/a	n/a	44.45	0.0
HEIGHTS CAPITAL	251	JBHT	B	77,662	57.44	n/a	n/a	3,106.48	0.0
PATTEN & PATTEN	025	JCI	S	500	28.41	n/a	31-Oct	25.00	5.0
TUDOR INVESTORS	028	JCI	S	10,000	28.44	n/a	31-Oct	300.00	3.0
PATTEN & PATTEN	025	JWN	B	200	52.19	n/a	30-Nov	10.00	5.0
SCOPUS FUND	041	KMX	S	20,000	34.70	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	KRE	B	400	27.92	n/a	n/a	20.00	5.0
OSKIE CAPITAL MGMT	224	LEA	B	10,000	44.94	n/a	7-Dec	500.00	5.0
Õ Doug Rogers		LGND	B	100	20.5050	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	200	20.5000	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	370	20.3590	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	389	20.5050	n/a	n/a	0.00	0.0
DISCIPLINED GROWTH INV.	030	LTD	S	9,400	51.26	n/a	n/a	470.00	0.0
EDGEWOOD	085	MJN	S	5,378	65.64	n/a	n/a	268.90	0.0
PATTEN & PATTEN	025	MMM	S	12	92.85	n/a	12-Dec	0.60	5.0
CHARTER OAK	033	MYL	S	25,000	27.99	n/a	17-Dec	1,250.00	5.0
PZENA INV ADV	044	NOC	S	20,000	67.15	n/a	11-Dec	700.01	0.0
PATTEN & PATTEN	025	NUE	S	450	42.37	n/a	n/a	22.50	5.0
LAKEWOOD CAPITAL MGMT	085	NWSA	C	45,000	24.82	n/a	n/a	1,350.00	0.0
PATTEN & PATTEN	025	PCH	S	200	38.35	n/a	14-Dec	10.00	5.0
PATTEN & PATTEN	025	PG	S	200	69.70	n/a	13-Dec	10.00	5.0
EDGEWOOD	085	PX	S	2,840	107.60	n/a	13-Dec	142.00	0.0
EDGEWOOD	085	QCOM	S	7,809	60.88	n/a	n/a	390.45	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HEIGHTS CAPITAL	251	RBC	B	30,670	68.65	n/a	n/a	1,226.80	0.0
DISIPLINED GROWTH INV.	030	RCL	S	10,800	34.45	n/a	n/a	540.00	0.0
PATTEN & PATTEN	025	RF	S	500	6.80	n/a	n/a	25.00	5.0
CENTURION PARTNERS	041	RGC	S	10,000	13.39	n/a	n/a	400.00	4.0
HEIGHTS CAPITAL	251	RTN	B	82,437	57.87	n/a	11-Dec	3,297.48	0.0
HIGHBRIDGE CAP	041	SDRL	S	27,500	36.89	n/a	n/a	825.00	3.0
PATTEN & PATTEN	025	SE	S	600	27.49	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	SHY	B	110	84.45	n/a	n/a	5.50	5.0
PATTEN & PATTEN	025	SRZ	S	2,500	14.39	n/a	n/a	125.00	5.0
BNP PARIBAS SEC	040	SWN	B	40,000	32.94	n/a	10-Dec	1,200.00	3.0
PATTEN & PATTEN	025	SWN	B	350	32.99	n/a	10-Dec	17.50	5.0
PATTEN & PATTEN	025	TEVA	S	200	38.26	n/a	17-Dec	10.00	5.0
DISIPLINED GROWTH INV.	030	TJX	S	9,300	43.26	n/a	30-Nov	465.00	0.0
EDGEWOOD	085	TROW	S	8,347	65.00	n/a	n/a	417.35	0.0
PATTEN & PATTEN	025	T	S	400	34.02	n/a	n/a	20.00	5.0
HARVEST MGMT (JMP)	029	URBN	B	10,000	39.14	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA/ANGEL LANE PRINCIPAL	040	UTX	SS	40,000	79.66	n/a	n/a	1,200.00	3.0
EDGEWOOD	085	VIAB	S	7,447	53.36	n/a	n/a	372.35	0.0
NEWLAND CAPITAL MGT	025	VMC	B	10,000	52.13	n/a	n/a	400.00	4.0
EDGEWOOD	085	V	S	3,903	147.68	n/a	12-Dec	195.15	0.0
PATTEN & PATTEN	025	WY	S	200	27.47	n/a	14-Dec	10.00	5.0
FARALLON CAP MGMT	040	YHOO	S	250,000	19.59	n/a	n/a	7,500.00	0.0
EDGEWOOD	085	YUM	S	5,497	68.44	n/a	7-Dec	274.85	0.0
<b>TOTAL (Trade Date) :</b>								<b>63,662.16</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/14	GALT INVESTMENT (GALTGS)	041	ZIP	S	40,000	8.40	n/a	n/a	2000.00 5.0
AO,CRT	12/14	GALT INVESTMENT (GALTGS)	041	ZIP	S	40,000	8.40	n/a	n/a	1200.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-800.00</b>
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TOTAL (Trade Date) :	63,662.16
TOTAL (AO, CXL, CRT) :	-800.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>62,862.16</b>
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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