



Daily Compliance Activity Report

Trade Date: 12/18/2012

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	S	132	522.25	n/a	n/a	6.60	0.0
PATTEN & PATTEN	025	AAPL	B	77	533.31	n/a	n/a	3.85	5.0
EDGEWOOD	085	AGN	S	399	93.30	n/a	17-Dec	19.96	0.0
PATTEN & PATTEN	025	AGU	B	50	98.12	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	AIG	B	12,750	35.31	n/a	n/a	637.50	5.0
HOLLIS CAPITAL	033	ALR	S	10,000	19.16	n/a	n/a	500.00	5.0
TIDE POINT CAPITAL	034	ALV	B	5,000	64.83	n/a	24-Oct	150.00	3.0
PATTEN & PATTEN	025	AML	S	1,250	15.98	n/a	n/a	62.50	5.0
HOLLIS CAPITAL	033	AMRN	S	5,000	8.60	n/a	n/a	250.00	5.0
EDGEWOOD	085	AMT	S	824	76.83	n/a	n/a	41.20	0.0
EDGEWOOD	085	AMZN	S	255	257.20	n/a	n/a	12.75	0.0
PATTEN & PATTEN	025	APA	S	1,050	79.98	n/a	6-Dec	52.50	5.0
HIGHBRIDGE CAP	041	ATI	SS	17,000	29.44	n/a	11-Dec	510.00	3.0
CAISSE DEPOT PLACEMENT Q	257	AVGO	B	15,000	32.29	n/a	n/a	750.00	5.0
KINGDON ASSET MGMT	041	AXP	S	250,000	57.95	n/a	17-Dec	10,000.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AXP	B	5,300	57.98	n/a	17-Dec	265.00	5.0
PATTEN & PATTEN	025	BA	B	1,900	75.39	n/a	18-Dec	95.00	5.0
ACK ASSET	028	BDE	S	3,500	8.01	n/a	n/a	105.00	0.0
M&I FUNDS	047	BEAV	S	17,239	48.19	n/a	11-Dec	689.56	3.5
PZENA INV ADV	044	BEN	S	325	128.30	n/a	2-Mar	11.38	0.0
J. GOLDMAN	028	BLMN	S	5,000	16.70	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	BRCM	S	50	33.51	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	BTO	B	1,450	17.49	n/a	n/a	72.50	5.0
BRIGADE CAPITAL MGMT	029	BYD	S	125,000	6.69	n/a	n/a	6,250.00	0.0
TUDOR INVESTORS	028	CAKE	SS	25,000	33.76	n/a	25-Oct	750.00	3.0
PATTEN & PATTEN	025	CBI	B	65	42.65	n/a	n/a	3.25	5.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			CEB	B	12,127	47.91	n/a	n/a	363.81 0.0
EDGEWOOD	085	CELG	S	920	80.08	n/a	n/a	46.00	0.0
HIGHBRIDGE CAP	041	CF	S	3,550	203.94	n/a	n/a	106.50	3.0
SCOPUS FUND	041	CHS	SS	25,000	18.93	n/a	5-Feb	1,000.00	4.0
TUDOR INVESTORS	028	CHS	B	50,000	18.92	n/a	5-Feb	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	CMCSA	S	151,000	38.04	n/a	n/a	4,530.00	0.0
EDGEWOOD	085	CME	S	1,021	51.79	n/a	28-Apr	51.05	0.0
EDGEWOOD	085	CMG	S	228	292.19	n/a	19-Oct	11.40	0.0
EDGEWOOD	085	COH	S	1,038	58.88	n/a	5-Nov	51.90	0.0
PATTEN & PATTEN	025	CSCO	B	2,050	20.37	n/a	14-Dec	102.50	5.0
CARDINAL CAPITAL	044	CSE	B	92,500	7.46	n/a	n/a	4,625.00	0.0
EDGEWOOD	085	CTSH	S	1,292	73.31	n/a	n/a	64.60	0.0
ROSEDALE CAPITAL	046	CTXS	S	5,000	67.33	n/a	n/a	250.00	5.0
MADISON ST PARTNERS LLC	046	C	B	15,000	38.98	n/a	17-Dec	750.00	5.0
PZENA INV ADV	044	C	S	475	39.37	n/a	17-Dec	16.63	0.0
LATEEF MGMT	035	DAL	S	1,000	11.54	n/a	17-Dec	70.00	7.0
PATTEN & PATTEN	025	DBA	S	400	28.43	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	DD	S	200	44.85	n/a	14-Dec	10.00	5.0
Õ Jill Rosenberg		DEO	S	150118.9700		n/a	n/a	0.00	0.0
M&I FUNDS	047	DFS	S	23,586	40.32	n/a	17-Dec	943.44	4.0
PATTEN & PATTEN	025	DIS	B	100	50.27	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	DLPH	S	15,000	34.23	n/a	n/a	450.00	3.0
PATTEN & PATTEN	025	DLR	B	635	66.39	n/a	n/a	31.75	5.0
CASTLEROCK	040	DRI	SS	2,500	46.98	n/a	17-Dec	100.00	0.0
PATTEN & PATTEN	025	D	B	100	52.13	n/a	n/a	5.00	5.0
EDGEWOOD	085	ECL	S	707	71.11	n/a	18-Dec	35.35	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035			EGP	B	15,622	52.89	n/a	n/a	468.66 0.0
HIGHBRIDGE CAP	041	EMN	S	8,000	66.19	n/a	n/a	240.00	3.0
LATEEF MGMT	035	ENR	S	250	81.06	n/a	13-Dec	50.00	20.0
PATTEN & PATTEN	025	ETN	B	200	54.00	n/a	4-Dec	10.00	5.0
PATTEN & PATTEN	025	EXC	S	4,005	30.52	n/a	n/a	200.25	5.0
PATTEN & PATTEN	025	FCX	B	525	33.92	n/a	n/a	26.25	5.0
PATTEN & PATTEN	025	FEU	B	100	33.75	n/a	n/a	5.00	5.0
PERRY PARTNERS	085	FMCN	SS	200,000	23.98	n/a	n/a	10,000.00	5.0
LAKEWOOD CAPITAL MGMT	085	FNGN	C	10,000	27.47	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	F	S	3,700	11.63	n/a	4-Dec	185.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACELLUM CAPITAL	086	GES	B	47,000	25.58	n/a	29-Nov	1,410.00	3.0
M&I FUNDS	047	GE	S	12,816	21.57	n/a	n/a	512.64	4.0
TUDOR INVESTORS	028	GGC	SS	5,000	44.45	n/a	n/a	150.00	3.0
EDGEWOOD	085	GILD	S	357	75.22	n/a	n/a	17.86	0.0
PATTEN & PATTEN	025	GLD	B	25	161.31	n/a	n/a	1.25	5.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040			GLD	B	30,000	161.72	n/a	n/a	900.00 3.0
DELTEC ASSET MGMT.	040	GNC	B	10,000	34.72	n/a	n/a	500.00	5.0
EDGEWOOD	085	GOOG	S	107	718.89	n/a	n/a	5.35	0.0
PATTEN & PATTEN	025	HON	S	50	63.88	n/a	12-Dec	2.50	5.0
Õ Michael Ehrlich		HOV	S	650	6.0310	n/a	n/a	0.00	0.0
STELLIAM INV ADV	034	HOV	S	50,000	6.05	n/a	n/a	1,000.00	2.0
PATTEN & PATTEN	025	IGM	S	10	68.59	n/a	n/a	0.50	5.0
EDGEWOOD	085	IHS	S	664	92.95	n/a	n/a	33.21	0.0
EDGEWOOD	085	ILMN	S	1,195	51.55	n/a	n/a	59.75	0.0
M&I FUNDS	047	INTC	S	4,304	20.90	n/a	n/a	172.16	4.0
PATTEN & PATTEN	025	INTC	S	3,350	20.96	n/a	n/a	167.50	5.0
LATEEF MGMT	035	IP	S	1,000	38.49	n/a	18-Dec	100.00	10.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	IP	B	550	38.87	n/a	18-Dec	27.50	5.0
TUDOR INVESTORS	028	IP	SS	13,000	38.69	n/a	18-Dec	390.00	3.0
EDGEWOOD	085	ISRG	S	116	546.65	n/a	n/a	5.81	0.0
M&I FUNDS	047	JPM	S	4,874	43.68	n/a	17-Dec	194.96	4.0
PATTEN & PATTEN	025	JPM	S	150	43.69	n/a	17-Dec	7.50	5.0
PATTEN & PATTEN	025	JWN	B	1,200	52.12	n/a	30-Nov	60.00	5.0
BRONSON POINT	036	KO	S	25,000	37.43	n/a	22-Oct	750.00	0.0
PATTEN & PATTEN	025	KRE	S	1,450	28.33	n/a	n/a	72.50	5.0
PATTEN & PATTEN	025	KRFT	B	67	46.51	n/a	n/a	3.35	5.0
LATEEF MGMT	035	K	S	550	56.55	n/a	n/a	66.00	12.0
STELLIAM INV ADV	034	LEN	S	13,500	39.13	n/a	n/a	540.00	4.0
PATTEN & PATTEN	025	LLY	B	625	49.50	n/a	n/a	31.25	5.0
SHEFFIELD ASSET MGMT	031	LOW	S	108,700	35.82	n/a	6-Dec	4,348.00	4.0
SENATOR INVESTMENT GROUP	036	LUV	SS	120,000	10.50	n/a	17-Dec	3,600.00	3.0
COOPER CREEK PART	028	MATX	B	10,000	24.43	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	MDLZ	B	50	25.85	n/a	n/a	2.50	5.0
BRANDWINE	028	MET	B	172,500	32.42	n/a	n/a	6,900.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MASTERS CAPITAL MANAGE	025	MET	S	50,000	32.55	n/a	n/a	2,000.00	0.0
Õ Jill Rosenberg		MHY	S	500	6.1400	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	MIC	B	150	44.96	n/a	n/a	7.50	5.0
PATTEN & PATTEN	025	MIC	S	700	44.93	n/a	n/a	35.00	5.0
EDGEWOOD	085	MJN	S	786	66.15	n/a	n/a	39.31	0.0
Õ Jill Rosenberg		MO	S	150	32.4000	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	MS	S	300	19.00	n/a	11-Dec	15.00	5.0
Õ Jill Rosenberg		MUJ	S	500	16.6500	n/a	n/a	0.00	0.0
CHARTER OAK	033	MYL	S	50,000	28.22	n/a	17-Dec	2,500.00	5.0
PATTEN & PATTEN	025	NEE	B	650	70.95	n/a	n/a	32.50	5.0
PZENA INV ADV	044	NOC	S	15,875	67.77	n/a	11-Dec	555.63	0.0
HIGHBRIDGE CAP	041	NOV	B	7,500	67.82	n/a	n/a	225.00	3.0
PATTEN & PATTEN	025	NSC	S	200	62.57	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	NSRGY	B	50	65.86	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	NUAN	S	50	22.91	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	NUE	S	4,100	43.62	n/a	n/a	205.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	NUE	B	5,000	43.05	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	OSK	S	2,000	30.09	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	OXY	S	240	78.26	n/a	n/a	12.00	5.0
PATTEN & PATTEN	025	PHB	B	500	19.28	n/a	n/a	25.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	37.01	n/a	18-Dec	1,000.00	5.0
PATTEN & PATTEN	025	PL	S	500	28.97	n/a	n/a	25.00	5.0
• Jill Rosenberg		PM	S	71	86.2600	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	PPG	B	2,000	132.64	n/a	14-Dec	60.00	3.0
NOKOMIS PARTNERS	031	PRGS	S	42,300	21.05	n/a	n/a	1,269.00	3.0
PATTEN & PATTEN	025	PRU	S	2,500	52.91	n/a	n/a	125.00	5.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		PRXL	B		7,037	31.94	n/a	n/a	211.11 0.0
PATTEN & PATTEN	025	PSX	B	50	53.16	n/a	n/a	2.50	5.0
ASCEND PARTNERS	033	PVH	S	47,948	111.64	n/a	29-Nov	1,438.44	0.0
HARVEST MGMT (JMP)	029	PVH	B	5,000	112.12	n/a	29-Nov	200.00	4.0
EDGEWOOD	085	PX	S	266	107.68	n/a	13-Dec	13.30	0.0
EDGEWOOD	085	QCOM	S	1,149	62.44	n/a	n/a	57.45	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	QCOM	B	185	63.26	n/a	n/a	9.25	5.0
PATTEN & PATTEN	025	QCOM	S	25	63.24	n/a	n/a	1.25	5.0
Õ Jill Rosenberg		QQQ	S	66	66.0600	n/a	n/a	0.00	0.0
FEDERATED INV/KAUFMAN	029	RVBD	S	283,674	19.32	n/a	n/a	14,183.70	0.0
COBALT	041	RYN	B	35,878	50.44	n/a	31-Oct	1,435.12	4.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040		SFI	S	100,000	8.01	n/a	n/a	3,000.00 3.0
PATTEN & PATTEN	025	SIRO	B	100	62.87	n/a	n/a	5.00	5.0
ACK ASSET	028	SMRT	S	13,331	7.26	n/a	n/a	399.93	0.0
PATTEN & PATTEN	025	SNI	B	395	59.37	n/a	n/a	19.75	5.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035		SPNC	B	19,530	13.73	n/a	n/a	585.90 0.0
TUDOR INVESTORS	028	SPW	S	5,000	63.87	n/a	n/a	150.00	3.0
RIDGECREST INV MGMT LLC	028	SPY	S	15,000	143.98	n/a	n/a	600.00	4.0
PATTEN & PATTEN	025	SRZ	S	3,616	14.38	n/a	n/a	180.80	5.0
ACK ASSET	028	ST	B	50,000	31.84	n/a	n/a	1,500.00	0.0
HIGHBRIDGE CAP	041	SWC	SS	42,000	11.93	n/a	n/a	1,260.00	3.0
PATTEN & PATTEN	025	SWN	S	1,100	33.82	n/a	10-Dec	55.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.			
COOPER CREEK PART	028	SWY	B	59,800	18.07	n/a	n/a	2,392.00	4.0		
IVORY CAPITAL	034	S	S	145,000	5.47	n/a	n/a	7,250.00	0.0		
PATTEN & PATTEN	025	TEVA	S	1,000	38.43	n/a	17-Dec	50.00	5.0		
J. GOLDMAN	028	TGT	SS	10,000	62.26	n/a	29-Nov	400.00	4.0		
PATTEN & PATTEN	025	TRN	B	1,675	36.03	n/a	n/a	83.75	5.0		
EDGEWOOD	085	TROW	S	975	65.50	n/a	n/a	48.75	0.0		
OHIO PERS	047	TWX	B	119,200	48.30	n/a	n/a	3,576.00	0.0		
LATEEF MGMT	035	UAL	S	750	23.64	n/a	17-Dec	75.00	10.0		
PATTEN & PATTEN	025	UNM	S	1,500	21.18	n/a	n/a	75.00	5.0		
LATEEF MGMT	035	UN	S	500	38.62	n/a	n/a	60.00	12.0		
ARMATURE CAPITAL	041	UTX	B	50,000	82.26	n/a	n/a	2,000.00	0.0		
EDGEWOOD	085	VIAB	S	1,045	52.98	n/a	n/a	52.25	0.0		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE			035	VOLC	S	69,270	23.61	n/a	n/a	2,078.10	0.0
M&I FUNDS	047	VZ	S	5,677	43.74	n/a	n/a	227.08	4.0		
EDGEWOOD	085	V	S	537	149.02	n/a	12-Dec	26.85	0.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	V	S	25	151.21	n/a	12-Dec	1.25	5.0
NEWLAND CAPITAL MGT	025	WERN	S	10,000	21.04	n/a	n/a	400.00	4.0
Õ Jill Rosenberg		WMB	S	150	31.7000	n/a	n/a	0.00	0.0
J. GOLDMAN	028	WMT	B	10,000	69.59	n/a	15-Nov	400.00	4.0
PATTEN & PATTEN	025	WPX	B	400	15.83	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	XLK	S	500	29.40	n/a	n/a	25.00	5.0
M&I FUNDS	047	XOM	S	4,897	89.11	n/a	n/a	195.88	4.0
PATTEN & PATTEN	025	XOM	B	170	89.38	n/a	n/a	8.50	5.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC040			X	B	5,000	24.44	n/a	n/a	150.00 3.0
TUDOR INVESTORS	028	X	B	5,000	24.16	n/a	n/a	150.00	3.0
EDGEWOOD	085	YUM	S	773	69.89	n/a	7-Dec	38.66	0.0
TOTAL (Trade Date):							123,989.24		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/17	CR INTRINIC INVESTMENT (CRINJPM)	044	BKW	SS	19,000	16.87	n/a	n/a	665.00	3.5
AO,CRT	12/17	CR INTRINSIC/CHRIS C (CRICCITI)	044	BKW	SS	19,000	16.87	n/a	n/a	665.00	3.5
AO,CRT	12/17	PATTEN & PATTEN (PATTMERR)	025	CNI	S	13	91.28	n/a	n/a	0.65	5.0
AO,CRT	12/17	PATTEN & PATTEN (PATTMERR)	025	CNI	S	50	91.11	n/a	n/a	2.50	5.0
AO,CXL	12/17	PATTEN & PATTEN (PATTMERR)	025	CNR	S	13	91.28	n/a	n/a	0.65	5.0
AO,CXL	12/17	PATTEN & PATTEN (PATTMERR)	025	CNR	S	50	91.11	n/a	n/a	2.50	5.0
AO,CXL	12/17	STELLIAM INV ADV (STLLGSBULK)	034	HOV	S	50,000	5.77	n/a	n/a	1000.00	2.0
AO,CRT	12/17	STELLIAM INV ADV (STLLGSBULK)	034	HOV	S	3,200	5.77	n/a	n/a	64.00	2.0
AO,	12/17	STELLIAM INV ADV (STLLMSEXEC)	034	HOV	S	46,800	5.77	n/a	n/a	936.00	0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	123,989.24
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TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (RUN DATE) / NFS :	123,989.24
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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