



# Daily Compliance Activity Report

Trade Date: 12/30/2011

Potential ANALYST TRADE Violations: 1

Watch List ACTIVITY ALERT: 0

| Account                    | RR# | Symbol     | B/S      | Shares        | Price        | MRI        | Research   | Comm. ¢/Shr.   |            |
|----------------------------|-----|------------|----------|---------------|--------------|------------|------------|----------------|------------|
| PATTEN & PATTEN            | 025 | AAPL       | S        | 300           | 403.51       | n/a        | n/a        | 15.00          | 5.0        |
| LATEFF MGMT                | 035 | AA         | B        | 400           | 8.61         | n/a        | n/a        | 40.00          | 10.0       |
| PATTEN & PATTEN            | 025 | AA         | B        | 1,000         | 8.60         | n/a        | n/a        | 50.00          | 5.0        |
| PATTEN & PATTEN            | 025 | AGG        | B        | 500           | 110.36       | n/a        | n/a        | 25.00          | 5.0        |
| PATTEN & PATTEN            | 025 | AML        | B        | 2,350         | 16.61        | n/a        | n/a        | 117.50         | 5.0        |
| PATTEN & PATTEN            | 025 | APA        | B        | 200           | 90.74        | n/a        | 22-Dec     | 10.00          | 5.0        |
| PATTEN & PATTEN            | 025 | APD        | S        | 800           | 85.12        | n/a        | 21-Oct     | 40.00          | 5.0        |
| OHIO PERS                  | 047 | BA         | S        | 31,700        | 73.59        | n/a        | 29-Nov     | 951.00         | 3.0        |
| PATTEN & PATTEN            | 025 | BBY        | S        | 800           | 23.10        | n/a        | n/a        | 40.00          | 5.0        |
| PATTEN & PATTEN            | 025 | BDX        | S        | 385           | 74.87        | n/a        | n/a        | 19.25          | 5.0        |
| PATTEN & PATTEN            | 025 | BHK        | B        | 1,000         | 13.65        | n/a        | n/a        | 50.00          | 5.0        |
| PATTEN & PATTEN            | 025 | BTO        | B        | 500           | 13.72        | n/a        | n/a        | 25.00          | 5.0        |
| WEINTRAUB CAPITAL MGT.     | 040 | BWLD       | SS       | 7,500         | 68.04        | n/a        | n/a        | 300.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>BYI</b> | <b>C</b> | <b>30,010</b> | <b>39.49</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| PATTEN & PATTEN            | 025 | CAT        | S        | 800           | 90.72        | n/a        | 21-Dec     | 40.00          | 5.0        |

| Account                    | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.    |            |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| PATTEN & PATTEN            | 025        | CBT         | B        | 200           | 32.24        | n/a        | 12-Dec        | 10.00          | 5.0        |
| PATTEN & PATTEN            | 025        | CNQ         | S        | 800           | 36.62        | n/a        | n/a           | 40.00          | 5.0        |
| <b>Õ James Mitchell</b>    |            | <b>COF</b>  | <b>B</b> | <b>200</b>    | <b>42.51</b> | <b>n/a</b> | <b>29-Dec</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f RAVI SADARANGANI</b>  | <b>FID</b> | <b>CVGI</b> | <b>S</b> | <b>1000</b>   | <b>9.02</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| PATTEN & PATTEN            | 025        | DBA         | B        | 500           | 28.84        | n/a        | n/a           | 25.00          | 5.0        |
| LATEFF MGMT                | 035        | DD          | B        | 100           | 45.88        | n/a        | 27-Dec        | 30.00          | 30.0       |
| PATTEN & PATTEN            | 025        | DKS         | B        | 300           | 36.96        | n/a        | 16-Nov        | 15.00          | 5.0        |
| PATTEN & PATTEN            | 025        | DOW         | S        | 600           | 28.75        | n/a        | 14-Dec        | 30.00          | 5.0        |
| <b>f EDWARD W WHEELER</b>  | <b>FID</b> | <b>ETG</b>  | <b>B</b> | <b>5000</b>   | <b>12.25</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| PATTEN & PATTEN            | 025        | EWY         | B        | 100           | 52.40        | n/a        | n/a           | 5.00           | 5.0        |
| PATTEN & PATTEN            | 025        | EXC         | B        | 100           | 43.47        | n/a        | n/a           | 5.00           | 5.0        |
| <b>f EDWARD W WHEELER</b>  | <b>FID</b> | <b>EXG</b>  | <b>B</b> | <b>5000</b>   | <b>8.21</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>EXPR</b> | <b>B</b> | <b>20,000</b> | <b>20.05</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| PATTEN & PATTEN            | 025        | FCX         | B        | 100           | 36.88        | n/a        | n/a           | 5.00           | 5.0        |
| PATTEN & PATTEN            | 025        | FHN         | B        | 4,450         | 7.93         | n/a        | n/a           | 222.50         | 5.0        |

| Account                       | RR#        | Symbol       | B/S       | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.    |            |
|-------------------------------|------------|--------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>FINL</b>  | <b>B</b>  | <b>20,000</b> | <b>19.38</b> | <b>n/a</b> | <b>22-Dec</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>f</b> MITCHELL JAMES SPEIS | <b>FID</b> | <b>FSNXX</b> | <b>B</b>  | <b>70000</b>  | <b>1.00</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| PATTEN & PATTEN               | 025        | GE           | B         | 400           | 17.93        | n/a        | n/a           | 20.00          | 5.0        |
| PATTEN & PATTEN               | 025        | GE           | S         | 400           | 17.97        | n/a        | n/a           | 20.00          | 5.0        |
| PATTEN & PATTEN               | 025        | GLD          | S         | 50            | 152.32       | n/a        | n/a           | 2.50           | 5.0        |
| PATTEN & PATTEN               | 025        | GOV          | B         | 100           | 22.70        | n/a        | n/a           | 5.00           | 5.0        |
| PATTEN & PATTEN               | 025        | INTC         | B         | 800           | 24.33        | n/a        | n/a           | 40.00          | 5.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>IP</b>    | <b>S</b>  | <b>17,000</b> | <b>29.65</b> | <b>n/a</b> | <b>27-Oct</b> | <b>non-brg</b> | <b>4.0</b> |
| CSFB GLOBAL PROPRIETARY       | 041        | IP           | S         | 30,000        | 29.55        | n/a        | 27-Oct        | 1,500.00       | 5.0        |
| PATTEN & PATTEN               | 025        | JCI          | B         | 1,900         | 31.05        | n/a        | 21-Nov        | 95.00          | 5.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>KBH</b>   | <b>S</b>  | <b>20,000</b> | <b>6.63</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>3.0</b> |
| WEINTRAUB CAPITAL MGT.        | 040        | KIRK         | S         | 40,000        | 13.34        | n/a        | n/a           | 1,600.00       | 4.0        |
| PATTEN & PATTEN               | 025        | KMB          | S         | 1,000         | 73.50        | n/a        | 25-Oct        | 50.00          | 5.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>KSS</b>   | <b>SS</b> | <b>10,000</b> | <b>49.41</b> | <b>n/a</b> | <b>2-Dec</b>  | <b>non-brg</b> | <b>4.0</b> |
| PATTEN & PATTEN               | 025        | LLY          | B         | 500           | 41.68        | n/a        | n/a           | 25.00          | 5.0        |
| CSFB GLOBAL PROPRIETARY       | 041        | LPX          | B         | 65,000        | 8.21         | n/a        | 7-Nov         | 3,250.00       | 5.0        |

| Account                       | RR#        | Symbol      | B/S      | Shares      | Price        | MRI        | Research      | Comm.¢/Shr. |            |
|-------------------------------|------------|-------------|----------|-------------|--------------|------------|---------------|-------------|------------|
| BROOKSIDE CAPITAL PART        | 029        | LYB         | S        | 60,000      | 32.57        | n/a        | n/a           | 2,400.00    | 4.0        |
| PATTEN & PATTEN               | 025        | MCD         | S        | 1,200       | 100.35       | n/a        | 8-Dec         | 60.00       | 5.0        |
| MERRILL ASSET/BLACKROCK       | 297        | MFRM        | S        | 24,703      | 22.95        | n/a        | n/a           | 988.12      | 4.0        |
| <b>f CHRISTOPHER ARTHUR K</b> | <b>FID</b> | <b>MWA</b>  | <b>S</b> | <b>12</b>   | <b>2.43</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b> | <b>0.0</b> |
| <b>f RAVI SADARANGANI</b>     | <b>FID</b> | <b>MWW</b>  | <b>S</b> | <b>1000</b> | <b>7.93</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b> | <b>0.0</b> |
| PATTEN & PATTEN               | 025        | NSC         | S        | 1,200       | 72.85        | n/a        | n/a           | 60.00       | 5.0        |
| LATEFF MGMT                   | 035        | NYB         | B        | 125         | 12.39        | n/a        | 7-Dec         | 31.25       | 25.0       |
| MERRILL ASSET/BLACKROCK       | 297        | OFC         | B        | 28,000      | 21.52        | n/a        | n/a           | 1,120.00    | 4.0        |
| ARMATURE CAPITAL              | 041        | OI          | B        | 80,000      | 19.27        | n/a        | n/a           | 3,200.00    | 4.0        |
| LATEFF MGMT                   | 035        | OI          | S        | 150         | 19.26        | n/a        | n/a           | 30.00       | 20.0       |
| PATTEN & PATTEN               | 025        | OXY         | S        | 600         | 93.32        | n/a        | n/a           | 30.00       | 5.0        |
| <b>f RAVI SADARANGANI</b>     | <b>FID</b> | <b>PCAR</b> | <b>S</b> | <b>500</b>  | <b>37.68</b> | <b>n/a</b> | <b>21-Dec</b> | <b>0.00</b> | <b>0.0</b> |
| CSFB GLOBAL PROPRIETARY       | 041        | PCH         | B        | 10,000      | 31.21        | n/a        | 6-Dec         | 500.00      | 5.0        |
| PATTEN & PATTEN               | 025        | PHO         | S        | 600         | 16.76        | n/a        | n/a           | 30.00       | 5.0        |
| CSFB GLOBAL PROPRIETARY       | 041        | PKG         | S        | 15,000      | 25.22        | n/a        | 18-Oct        | 750.00      | 5.0        |
| LATEFF MGMT                   | 035        | PKG         | B        | 150         | 25.24        | n/a        | 18-Oct        | 30.00       | 20.0       |

|          | Account                     | RR#        | Symbol      | B/S       | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.        |
|----------|-----------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|--------------------|
| <b>B</b> | <b>BUCK CAPITAL MGMT</b>    |            | <b>PLCE</b> | <b>SS</b> | <b>20,000</b> | <b>53.39</b> | <b>n/a</b> | <b>22-Nov</b> | <b>non-brg 4.0</b> |
|          | WEINTRAUB CAPITAL MGT.      | 040        | PPC         | S         | 50,000        | 5.81         | n/a        | n/a           | 2,000.00 4.0       |
|          | WEINTRAUB CAPITAL MGT.      | 040        | PXD         | S         | 25,000        | 89.30        | n/a        | 22-Dec        | 1,000.00 4.0       |
|          | PATTEN & PATTEN             | 025        | QCOM        | B         | 250           | 54.83        | n/a        | n/a           | 12.50 5.0          |
| <b>Ö</b> | <b>James Mitchell</b>       |            | <b>RF</b>   | <b>S</b>  | <b>2000</b>   | <b>4.32</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00 0.0</b>    |
| <b>B</b> | <b>BUCK CAPITAL MGMT</b>    |            | <b>RGC</b>  | <b>B</b>  | <b>20,000</b> | <b>11.96</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg 4.0</b> |
|          | CSFB GLOBAL PROPRIETARY     | 041        | RKT         | B         | 25,000        | 57.73        | n/a        | 10-Nov        | 1,250.00 5.0       |
|          | MERRILL ASSET/BLACKROCK     | 297        | RLI         | S         | 1,798         | 73.92        | n/a        | n/a           | 71.92 4.0          |
|          | SONTERRA CAP                | 041        | RTI         | SS        | 15,000        | 23.25        | n/a        | n/a           | 600.00 4.0         |
| <b>f</b> | <b>FRANCIS MICHAEL MCCA</b> | <b>FID</b> | <b>SDS</b>  | <b>S</b>  | <b>250</b>    | <b>19.18</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00 0.0</b>    |
| <b>B</b> | <b>BUCK CAPITAL MGMT</b>    |            | <b>SHOO</b> | <b>B</b>  | <b>10,000</b> | <b>34.52</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg 4.0</b> |
|          | PATTEN & PATTEN             | 025        | SNE         | S         | 50            | 18.00        | n/a        | n/a           | 2.50 5.0           |
|          | PATTEN & PATTEN             | 025        | STI         | B         | 200           | 17.71        | n/a        | n/a           | 10.00 5.0          |
| <b>f</b> | <b>FRANCIS MICHAEL MCCA</b> | <b>FID</b> | <b>TEX</b>  | <b>S</b>  | <b>250</b>    | <b>13.52</b> | <b>n/a</b> | <b>21-Dec</b> | <b>0.00 0.0</b>    |
|          | CSFB GLOBAL PROPRIETARY     | 041        | TIN         | SS        | 20,000        | 31.75        | n/a        | 19-Oct        | 1,000.00 5.0       |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm. ¢/Shr.     |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|------------|------------------|------------|
| <b>f MARK DEVEREAUX KAICH</b> | <b>FID</b> | <b>TIVO</b> | <b>S</b> | <b>200</b>    | <b>8.89</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| <b>ß BUCK CAPITAL MGMT</b>    |            | <b>TPX</b>  | <b>B</b> | <b>20,000</b> | <b>52.76</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>4.0</b> |
| <b>ß BUCK CAPITAL MGMT</b>    |            | <b>TPX</b>  | <b>B</b> | <b>20,000</b> | <b>52.83</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>4.0</b> |
| PATTEN & PATTEN               | 025        | TSCO        | B        | 400           | 70.46        | n/a        | n/a        | 20.00            | 5.0        |
| OHIO PERS                     | 047        | TXT         | B        | 126,690       | 18.48        | n/a        | n/a        | 3,800.70         | 3.0        |
| <b>f JASON ERIC COHEN</b>     | <b>FID</b> | <b>USO</b>  | <b>B</b> | <b>3</b>      | <b>1.05</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| PATTEN & PATTEN               | 025        | UTX         | S        | 1,000         | 73.86        | n/a        | n/a        | 50.00            | 5.0        |
| WEINTRAUB CAPITAL MGT.        | 040        | VC          | B        | 10,000        | 49.85        | n/a        | n/a        | 400.00           | 4.0        |
| PATTEN & PATTEN               | 025        | V           | S        | 700           | 103.20       | n/a        | 20-Dec     | 35.00            | 5.0        |
| <b>f STEFFANIE CARMELA CA</b> | <b>FID</b> | <b>WINN</b> | <b>S</b> | <b>750</b>    | <b>9.36</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| LATEFF MGMT                   | 035        | WRIPRF      | B        | 150           | 25.23        | n/a        | n/a        | 30.00            | 20.0       |
| <b>f RAVI SADARANGANI</b>     | <b>FID</b> | <b>YUII</b> | <b>S</b> | <b>1728</b>   | <b>0.70</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| <b>TOTAL (Trade Date) :</b>   |            |             |          |               |              |            |            | <b>28,229.74</b> |            |

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

| Type                          | Date  | Account         | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |     |
|-------------------------------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,                           | 12/29 | PATTEN & PATTEN | 025  | AGU    | B   | 100    | 66.70 | n/a | n/a      | 5.00        | 5.0 |
| AO,CRT                        | 12/29 | PATTEN & PATTEN | 025  | AGU    | B   | 145    | 66.70 | n/a | n/a      | 7.25        | 5.0 |
| AO,CXL                        | 12/29 | PATTEN & PATTEN | 025  | AGU    | B   | 245    | 66.70 | n/a | n/a      | 12.25       | 5.0 |
| AO,CRT                        | 12/29 | PATTEN & PATTEN | 025  | AGU    | S   | 100    | 66.65 | n/a | n/a      | 5.00        | 5.0 |
| AO,CXL                        | 12/29 | PATTEN & PATTEN | 025  | AGU    | S   | 100    | 66.65 | n/a | n/a      | 5.00        | 5.0 |
|                               |       |                 |      |        |     |        |       |     |          |             |     |
| AO,CXL                        | 12/29 | PATTEN & PATTEN | 025  | BTO    | B   | 250    | 13.60 | n/a | n/a      | 12.50       | 5.0 |
| AO,CRT                        | 12/29 | PATTEN & PATTEN | 025  | BTO    | B   | 250    | 13.60 | n/a | n/a      | 12.50       | 5.0 |
|                               |       |                 |      |        |     |        |       |     |          |             |     |
| AO,CRT                        | 12/29 | PATTEN & PATTEN | 025  | FCX    | S   | 100    | 36.25 | n/a | n/a      | 5.00        | 5.0 |
| AO,CXL                        | 12/29 | PATTEN & PATTEN | 025  | FCX    | S   | 100    | 36.25 | n/a | n/a      | 5.00        | 5.0 |
|                               |       |                 |      |        |     |        |       |     |          |             |     |
| AO,CRT                        | 12/29 | PATTEN & PATTEN | 025  | JCI    | S   | 200    | 30.78 | n/a | 21-Nov   | 10.00       | 5.0 |
| AO,CXL                        | 12/29 | PATTEN & PATTEN | 025  | JCI    | S   | 200    | 30.78 | n/a | 21-Nov   | 10.00       | 5.0 |
|                               |       |                 |      |        |     |        |       |     |          |             |     |
| AO,CRT                        | 12/29 | SCOPUS FUND     | 041  | LYV    | S   | 43,500 | 8.37  | n/a | n/a      | 1740.00     | 4.0 |
| AO,CXL                        | 12/29 | SCOPUS FUND     | 041  | LYV    | S   | 43,500 | 8.37  | n/a | n/a      | 1740.00     | 4.0 |
|                               |       |                 |      |        |     |        |       |     |          |             |     |
| AO,CXL                        | 12/29 | PATTEN & PATTEN | 025  | QCOM   | B   | 300    | 54.58 | n/a | n/a      | 15.00       | 5.0 |
| AO,CRT                        | 12/29 | PATTEN & PATTEN | 025  | QCOM   | B   | 300    | 54.58 | n/a | n/a      | 15.00       | 5.0 |
|                               |       |                 |      |        |     |        |       |     |          |             |     |
| AO,CRT                        | 12/29 | PATTEN & PATTEN | 025  | XLY    | B   | 250    | 39.10 | n/a | n/a      | 12.50       | 5.0 |
| AO,CXL                        | 12/29 | PATTEN & PATTEN | 025  | XLY    | B   | 250    | 39.10 | n/a | n/a      | 12.50       | 5.0 |
|                               |       |                 |      |        |     |        |       |     |          |             |     |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                 |      |        |     |        |       |     |          | <b>0.00</b> |     |

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|                     |           |
|---------------------|-----------|
| TOTAL (Trade Date): | 28,229.74 |
|---------------------|-----------|

|                       |      |
|-----------------------|------|
| TOTAL (AO, CXL, CRT): | 0.00 |
|-----------------------|------|

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|                                |                  |
|--------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS:</b> | <b>28,229.74</b> |
|--------------------------------|------------------|

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BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 30-Dec.  
NONE

MRI Securities without Trade Activity on 30-Dec.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 2%

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| <b><u>Legend:</u></b>                                  |
| <b>Õ: Employee Trades in Outside Accounts</b>          |
| <b>ß: Non-BRG BCM Trades</b>                           |
| [i]: Initiation of Coverage                            |
| 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                      |
| Watch List Trades                                      |
| f: Employee Trades (Fidelity)                          |