



## Daily Compliance Activity Report

Trade Date: 11/06/2012

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	5	580.28	n/a	n/a	0.25	5.0
PATTEN & PATTEN	025	AA	S	2,700	8.68	n/a	n/a	135.00	5.0
APEX CAPITAL MGMT.	261	AKRX	B	80,000	12.14	n/a	n/a	3,200.00	0.0
PATTEN & PATTEN	025	ALL	S	100	39.19	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	APA	B	40	82.55	n/a	11-Oct	2.00	5.0
LATEEF MGMT	035	ATI	B	350	28.42	n/a	18-Oct	42.00	12.0
PATTEN & PATTEN	025	AXP	B	100	57.15	n/a	2-Nov	5.00	5.0
PATTEN & PATTEN	025	BA	B	30	72.09	n/a	18-Oct	1.50	5.0
SAC CHICAGO ANDREW	031	BBBY	S	10,000	58.77	n/a	n/a	350.00	3.5
BESSEMER INVESTMENT	085	BRKB	S	500	87.12	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	BTFG	S	1,095	2.80	n/a	n/a	43.80	4.0
PATTEN & PATTEN	025	BTO	B	150	18.28	n/a	n/a	7.50	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	CB	B	29,263	75.71	n/a	n/a	936.42	0.0
LATEEF MGMT	035	CCK	S	250	38.70	n/a	n/a	37.50	15.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	CCL	S	300	38.75	n/a	n/a	12.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CHS	S	50,000	19.59	n/a	5-Feb	1,750.00	3.5
PATTEN & PATTEN	025	CL	B	20	105.72	n/a	26-Oct	1.00	5.0
PATTEN & PATTEN	025	CNR	S	40	88.14	n/a	n/a	2.00	5.0
SANDLER O'NEILL ASSET	031	C	S	15,000	38.38	n/a	5-Nov	750.00	5.0
COPIA CAPITAL	031	DAL	S	100,000	9.96	n/a	31-Oct	3,500.01	0.0
PATTEN & PATTEN	025	DD	S	150	44.72	n/a	23-Oct	7.50	5.0
SCOPUS FUND	041	DG	S	59,519	48.12	n/a	5-Sep	2,380.76	4.0
WINSLOW CAPITAL	030	DG	B	222,900	48.11	n/a	5-Sep	6,687.00	0.0
BESSEMER INVESTMENT	085	DIS	S	50	50.38	n/a	n/a	2.00	4.0
PATTEN & PATTEN	025	DKS	B	50	51.08	n/a	17-Sep	2.50	5.0
PATTEN & PATTEN	025	DLR	B	175	60.49	n/a	n/a	8.75	5.0
SAC CHICAGO ANDREW	031	DLTR	B	1,200	38.95	n/a	12-Oct	42.00	3.5
<b>OTTER CREEK MGMT</b>	<b>093</b>	<b>DVN</b>	<b>B</b>	<b>4,900</b>	<b>58.40</b>	<b>n/a</b>	<b>11-Oct</b>	<b>196.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	EWC	S	1,150	28.53	n/a	n/a	57.50	5.0
PATTEN & PATTEN	025	EXC	S	100	31.90	n/a	n/a	5.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	FDO	B	50,000	66.28	n/a	4-Oct	1,500.00	3.0
PATTEN & PATTEN	025	GD	B	75	69.36	n/a	18-Oct	3.75	5.0
BALYASNY ASSET MGMT	044	GM	B	22,229	25.59	n/a	2-Nov	1,111.45	0.0
PATTEN & PATTEN	025	HON	S	75	63.44	n/a	22-Oct	3.75	5.0
PATTEN & PATTEN	025	INTC	S	200	21.65	n/a	n/a	10.00	5.0
BALYASNY ASSET MGMT	044	IP	S	40,000	35.71	n/a	25-Oct	2,000.00	0.0
BESSEMER INVESTMENT	085	IP	S	75	35.49	n/a	25-Oct	3.00	4.0
PATTEN & PATTEN	025	IP	B	60	35.62	n/a	25-Oct	3.00	5.0
PATTEN & PATTEN	025	JCI	S	1,600	26.95	n/a	31-Oct	80.00	5.0
NOKOMIS PARTNERS	031	JCP	B	134,590	23.65	n/a	13-Aug	4,037.70	0.0
SIGMA CAPITAL ASSOCIATES	041	JWN	S	25,000	57.79	n/a	5-Nov	875.00	3.5
BESSEMER INVESTMENT	085	KRFT	S	43	45.09	n/a	n/a	1.72	4.0
J. GOLDMAN	028	KSS	S	120,000	54.96	n/a	5-Nov	4,800.00	4.0
NEW JERSEY DIV OF INV.	030	KSU	S	10,000	82.19	n/a	n/a	400.00	4.0
SAC TRADING TOM LEDDY	035	LOW	B	50,000	33.24	n/a	20-Aug	1,750.00	3.5
BNP PARIBAS SEC	040	LPX	S	10,000	15.84	n/a	15-Oct	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST (CEREDEX)	273	LVS	S	46,756	44.66	n/a	13-Jun	1,496.20	0.0
SAC CHICAGO ANDREW	031	MCD	SS	50,000	87.87	n/a	6-Nov	1,750.00	3.5
OHIO PERS	047	MHP	S	24,000	52.76	n/a	n/a	720.00	0.0
PATTEN & PATTEN	025	MIC	B	250	44.20	n/a	n/a	12.50	5.0
RIDGECREST INV MGMT LLC	028	MLI	B	5,000	46.32	n/a	25-Oct	200.00	4.0
LOMAS CAPITAL	040	MPC	S	22,200	56.89	n/a	n/a	666.00	3.0
PATTEN & PATTEN	025	MSI	S	357	53.89	n/a	n/a	17.85	5.0
BASSWOOD PARTNERS	267	MS	B	19,200	18.13	n/a	5-Nov	768.00	0.0
NEW JERSEY DIV OF INV.	030	NEE	S	40,000	69.26	n/a	n/a	1,600.00	4.0
BESSEMER INVESTMENT	085	NOV	S	25	71.96	n/a	n/a	1.00	4.0
IRIDIAN ASSET MGMT.	036	OC	S	112,220	34.87	n/a	n/a	5,611.00	0.0
LATEEF MGMT	035	OI	B	250	19.71	n/a	n/a	30.00	12.0
BESSEMER INVESTMENT	085	PFE	S	100	24.64	n/a	n/a	4.00	4.0
BESSEMER INVESTMENT	085	QCOM	S	25	60.38	n/a	n/a	1.00	4.0
PATTEN & PATTEN	025	QCOM	B	50	60.28	n/a	n/a	2.50	5.0
LATEEF MGMT	035	RDSB	B	150	71.50	n/a	n/a	37.50	25.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	RE	S	18,400	107.48	n/a	n/a	736.00	0.0
HOPLITE MGMT	025	RIMM	SS	75,000	9.00	n/a	n/a	2,250.00	0.0
SENATOR INVESTMENT GROUP	036	ROC	B	100,000	47.00	n/a	n/a	3,000.00	3.0
TRUSTCO/SUNTRUST (CEREDEX)	273	ROST	S	41,446	57.40	n/a	5-Nov	1,326.27	0.0
TOCQUEVILLE	035	SEE	S	50,000	16.94	n/a	2-Jun	2,500.00	0.0
PATTEN & PATTEN	025	SRZ	S	12,500	14.39	n/a	n/a	625.00	5.0
ROSEDALE CAPITAL	046	STJ	B	10,000	38.59	n/a	n/a	500.00	5.0
TRUST CO/COWEN/CALF.	040	STT	B	65,225	46.50	n/a	5-Nov	3,261.25	0.0
NEW JERSEY DIV OF INV.	030	TE	S	100,000	17.87	n/a	n/a	4,000.00	4.0
ASCEND PARTNERS	033	TGT	B	75,170	63.60	n/a	1-Nov	2,255.10	0.0
PATTEN & PATTEN	025	TOL	B	50	33.14	n/a	n/a	2.50	5.0
S.A.C. CAPITAL	044	TOL	SS	50,000	33.19	n/a	n/a	1,750.00	3.5
CRAMER ROSENTHAL	070	TWX	S	283,770	42.78	n/a	n/a	11,350.80	0.0
BESSEMER INVESTMENT	085	T	S	900	34.79	n/a	n/a	36.00	4.0
LEVIN CAPITAL STRATEGIES	041	URBN	C	9,000	37.17	n/a	n/a	270.00	0.0
PATTEN & PATTEN	025	UTX	B	475	80.17	n/a	n/a	23.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGADE CAPITAL MGMT	029	WAC	B	25,000	41.98	n/a	n/a	750.00	0.0
SCOPUS FUND	041	WRC	S	30,586	71.42	n/a	6-Nov	1,223.44	4.0
PATTEN & PATTEN	025	WY	S	371	27.41	n/a	31-Oct	18.55	5.0
SENATOR INVESTMENT GROUP	036	XLU	SS	200,000	35.63	n/a	n/a	6,000.00	3.0
PATTEN & PATTEN	025	XLV	B	125	40.23	n/a	n/a	6.25	5.0
<b>TOTAL (Trade Date):</b>								<b>91,871.82</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/05	NEW JERSEY DIV OF INV. (NEWJ5162)	030	BBBY	B	20,000	57.55	n/a	n/a	600.00 3.0
AO,CXL	11/05	NEW JERSEY DIV OF INV. (NEWJ5140)	030	BBBY	B	20,000	57.55	n/a	n/a	600.00 3.0
AO,	10/24	COLUMBUS CIRCLE (COLC1370)	036	CTXS	S	2,000	64.05	n/a	n/a	80.00 0.0
AO,CRT	11/01	CASTLEROCK (CASTMERRIL)	040	LL	B	559	57.02	n/a	n/a	22.36 4.0
AO,CXL	11/01	CASTLEROCK (CASTUBS)	040	LL	B	559	57.02	n/a	n/a	22.36 4.0
AO,CXL	11/05	PARKWEST (PARWGSBULK)	084	SLCA	S	100,000	14.47	n/a	n/a	3000.00 3.0
AO,CRT	11/05	PARKWEST (PARWGSBULK)	084	SLCA	S	100,000	14.47	n/a	n/a	4000.00 4.0
AO,	11/02	EATON VANCE MGMT (EATOFJ7G)	029	VOD	S	402,310	27.02	n/a	n/a	12069.30 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224011)	029	VOD	S	3,864	27.02	n/a	n/a	115.92 0.0
AO,	11/02	EATON VANCE MGMT (EATO224011)	029	VOD	S	4,584	27.02	n/a	n/a	137.52 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223984)	029	VOD	S	1,785	27.02	n/a	n/a	53.55 0.0
AO,	11/02	EATON VANCE MGMT (EATO223984)	029	VOD	S	1,977	27.02	n/a	n/a	59.31 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223965)	029	VOD	S	3,109	27.02	n/a	n/a	93.27 0.0
AO,	11/02	EATON VANCE MGMT (EATO223965)	029	VOD	S	2,162	27.02	n/a	n/a	64.86 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223831)	029	VOD	S	419	27.02	n/a	n/a	12.57 0.0
AO,	11/02	EATON VANCE MGMT (EATO223831)	029	VOD	S	421	27.02	n/a	n/a	12.63 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223840)	029	VOD	S	557	27.02	n/a	n/a	16.71 0.0
AO,	11/02	EATON VANCE MGMT (EATO223840)	029	VOD	S	387	27.02	n/a	n/a	11.61 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223859)	029	VOD	S	1,089	27.02	n/a	n/a	32.67 0.0
AO,	11/02	EATON VANCE MGMT (EATO223859)	029	VOD	S	757	27.02	n/a	n/a	22.71 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223860)	029	VOD	S	701	27.02	n/a	n/a	21.03 0.0
AO,	11/02	EATON VANCE MGMT (EATO223860)	029	VOD	S	776	27.02	n/a	n/a	23.28 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223686)	029	VOD	S	469	27.02	n/a	n/a	14.07 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/02	EATON VANCE MGMT (EATO223686)	029	VOD	S	470	27.02	n/a	n/a	14.10 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO239520)	029	VOD	S	7,133	27.02	n/a	n/a	213.99 0.0
AO,	11/02	EATON VANCE MGMT (EATO239520)	029	VOD	S	7,896	27.02	n/a	n/a	236.88 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO99456)	029	VOD	S	8,985	27.02	n/a	n/a	269.55 0.0
AO,	11/02	EATON VANCE MGMT (EATO99456)	029	VOD	S	9,026	27.02	n/a	n/a	270.78 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO99357)	029	VOD	S	4,725	27.02	n/a	n/a	141.75 0.0
AO,	11/02	EATON VANCE MGMT (EATO99357)	029	VOD	S	5,230	27.02	n/a	n/a	156.90 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO88503)	029	VOD	S	7,701	27.02	n/a	n/a	231.03 0.0
AO,	11/02	EATON VANCE MGMT (EATO88503)	029	VOD	S	8,292	27.02	n/a	n/a	248.76 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223736)	029	VOD	S	260	27.02	n/a	n/a	7.80 0.0
AO,	11/02	EATON VANCE MGMT (EATO223736)	029	VOD	S	280	27.02	n/a	n/a	8.40 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223794)	029	VOD	S	530	27.02	n/a	n/a	15.90 0.0
AO,	11/02	EATON VANCE MGMT (EATO223794)	029	VOD	S	552	27.02	n/a	n/a	16.56 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223837)	029	VOD	S	3,572	27.02	n/a	n/a	107.16 0.0
AO,	11/02	EATON VANCE MGMT (EATO223837)	029	VOD	S	2,483	27.02	n/a	n/a	74.49 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO223838)	029	VOD	S	906	27.02	n/a	n/a	27.18 0.0
AO,	11/02	EATON VANCE MGMT (EATO223838)	029	VOD	S	1,003	27.02	n/a	n/a	30.09 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224435)	029	VOD	S	7,749	27.02	n/a	n/a	232.47 0.0
AO,	11/02	EATON VANCE MGMT (EATO224435)	029	VOD	S	5,406	27.02	n/a	n/a	162.18 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224432)	029	VOD	S	16,806	27.02	n/a	n/a	504.18 0.0
AO,	11/02	EATON VANCE MGMT (EATO224432)	029	VOD	S	16,884	27.02	n/a	n/a	506.52 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224421)	029	VOD	S	9,427	27.02	n/a	n/a	282.81 0.0
AO,	11/02	EATON VANCE MGMT (EATO224421)	029	VOD	S	10,114	27.02	n/a	n/a	303.42 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224413)	029	VOD	S	4,064	27.02	n/a	n/a	121.92 0.0
AO,	11/02	EATON VANCE MGMT (EATO224413)	029	VOD	S	4,078	27.02	n/a	n/a	122.34 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224202)	029	VOD	S	1,013	27.02	n/a	n/a	30.39 0.0
AO,	11/02	EATON VANCE MGMT (EATO224202)	029	VOD	S	1,086	27.02	n/a	n/a	32.58 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224195)	029	VOD	S	5,426	27.02	n/a	n/a	162.78 0.0
AO,	11/02	EATON VANCE MGMT (EATO224195)	029	VOD	S	3,794	27.02	n/a	n/a	113.82 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO229002)	029	VOD	S	1,119	27.02	n/a	n/a	33.57 0.0



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AO,	11/02	EATON VANCE MGMT (EATO229002)	029	VOD	S	1,200	27.02	n/a	n/a	36.00 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224065)	029	VOD	S	2,525	27.02	n/a	n/a	75.75 0.0
AO,	11/02	EATON VANCE MGMT (EATO224065)	029	VOD	S	2,718	27.02	n/a	n/a	81.54 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATO224066)	029	VOD	S	3,222	27.02	n/a	n/a	96.66 0.0
AO,	11/02	EATON VANCE MGMT (EATO224066)	029	VOD	S	3,567	27.02	n/a	n/a	107.01 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATOFJ3X)	029	VOD	S	2,373	27.02	n/a	n/a	71.19 0.0
AO,	11/02	EATON VANCE MGMT (EATOFJ3X)	029	VOD	S	2,547	27.02	n/a	n/a	76.41 0.0
AO,CXL	11/02	EATON VANCE MGMT (EATOFJ7G)	029	VOD	S	400,471	27.02	n/a	n/a	12014.13 0.0

**TOTAL (AO, CXL, CRT) :** **1,080.00**

TOTAL (Trade Date): 91,871.82  
TOTAL (AO, CXL, CRT): 1,080.00

**TOTAL (RUN DATE) / NFS:** **92,951.82**

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