



Daily Compliance Activity Report

Trade Date: 12/31/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UBS OCONNOR	031	AMG	S	18,981	67.38	n/a	18-Dec	569.43	3.0
GRANITE CAPITAL	045	AN	S	8,300	19.15	n/a	30-Oct	415.00	5.0
UBS OCONNOR	031	BEN	C	40,000	105.90	n/a	21-Dec	1,200.00	3.0
RBC CAPITAL MARKETS	040	CAKE	SS	10,000	21.69	n/a	21-Dec	400.00	4.0
CLOVIS CAPITAL	012	CAT	SS	75,000	57.27	n/a	21-Oct	3,000.00	4.0
GRANITE CAPITAL	045	CSCO	S	24,000	24.08	n/a	n/a	1,200.00	5.0
MORGAN BANK /JPM	070	C	B	58,080	3.35	n/a	17-Dec	1,742.40	3.0
PZENA INV ADV	044	DELL	B	3,825	14.45	n/a	n/a	133.88	3.5
GRANITE CAPITAL	045	ETFC	S	20,500	1.76	n/a	n/a	1,025.00	5.0
WEISS PECK	040	FL	S	23,010	11.24	n/a	17-Dec	1,150.50	5.0
BNP PARIBAS SEC	040	F	B	10,000	10.00	n/a	2-Dec	400.00	4.0
BNP PARIBAS SEC	040	GNTX	SS	17,000	17.99	n/a	22-Oct	680.00	4.0
SPAR	035	GYMB	B	15,000	43.83	n/a	4-Dec	450.00	3.0
UBS OCONNOR	031	IVZ	S	58,523	23.52	n/a	18-Dec	1,755.69	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	226	JNS	S	1,500	13.55	n/a	21-Dec	75.00	5.0
EXIS CAPITAL	044	JPM	S	40,000	41.67	n/a	14-Dec	2,000.00	5.0
GRANITE CAPITAL	045	JPM	S	8,200	41.83	n/a	14-Dec	410.00	5.0
GRANITE CAPITAL	045	MNKD	S	8,000	8.79	n/a	n/a	400.00	5.0
ROTHSCHILD ASSET	040	OIS	B	31,660	39.39	n/a	n/a	1,424.70	4.5
MATLIN PATTERSON	046	PFE	S	200,000	18.29	n/a	n/a	6,000.00	3.0
ROARING BLUE LION MGMT	012	RL	SS	4,730	81.07	n/a	4-Nov	189.20	4.0
GRANITE CAPITAL	045	TGT	S	2,300	48.91	n/a	22-Dec	115.00	5.0
OHIO PERS	047	THO	B	38,600	31.48	n/a	n/a	1,158.00	3.0
SANDLER O'NEILL ASSET	031	TROW	B	1,600	53.60	n/a	18-Dec	80.00	5.0
BNP PARIBAS SEC	040	TRW	B	17,000	23.95	n/a	n/a	680.00	4.0
GRANITE CAPITAL	045	TWX	S	7,200	29.21	n/a	n/a	360.00	5.0
UBS OCONNOR	031	WDR	S	30,853	30.76	n/a	18-Dec	925.59	3.0
RBC CAPITAL MARKETS	040	WMT	B	5,000	53.79	n/a	1-Dec	200.00	4.0
WEISS PECK	040	WYNN	SS	3,730	58.77	n/a	11-Nov	186.50	5.0

TOTAL (Trade Date):

28,325.89

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	AA	B	200	16.10	n/a	n/a	10.00	5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	AA	B	300	16.10	n/a	n/a	15.00	5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	AA	B	100	16.10	n/a	n/a	5.00	5.0
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	APC	B	60	63.11	n/a	29-Dec	3.00	5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	APC	B	140	63.11	n/a	29-Dec	7.00	5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	APC	B	80	63.11	n/a	29-Dec	4.00	5.0
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	BAC	B	200	15.01	n/a	15-Dec	10.00	5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	BAC	B	800	15.01	n/a	15-Dec	40.00	5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	BAC	B	600	15.01	n/a	15-Dec	30.00	5.0
AO,	12/30	PATTEN & PATTEN (PATTPERSHI)	067	DVY	B	75	44.46	n/a	n/a	3.75	5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	DVY	B	575	44.46	n/a	n/a	28.75	5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	DVY	B	500	44.46	n/a	n/a	25.00	5.0
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	EPP	B	100	41.34	n/a	n/a	5.00	5.0
AO,	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	EPP	B	175	41.34	n/a	n/a	8.75	5.0
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	F	B	250	9.93	n/a	2-Dec	12.50	5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	F	B	750	9.93	n/a	2-Dec	37.50	5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	F	B	500	9.93	n/a	2-Dec	25.00	5.0
AO,	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	MOO	S	500	43.93	n/a	n/a	25.00	5.0
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	OSK	B	100	37.82	n/a	n/a	5.00	5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	OSK	B	150	37.82	n/a	n/a	7.50	5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	OSK	B	50	37.82	n/a	n/a	2.50	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	PGX	B	500	13.50	n/a	n/a	25.00 5.0
AO,	12/30	PATTEN & PATTEN (PATTPERSHI)	067	PGX	B	200	13.50	n/a	n/a	10.00 5.0
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	RIMM	B	25	67.18	n/a	n/a	1.25 5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	RIMM	B	175	67.18	n/a	n/a	8.75 5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	RIMM	B	150	67.18	n/a	n/a	7.50 5.0
AO,	12/30	PATTEN & PATTEN (PATTMERR)	067	TEVA	B	65	55.36	n/a	28-Dec	3.25 5.0
AO,CXL	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	TEVA	B	165	55.36	n/a	28-Dec	8.25 5.0
AO,CRT	12/30	PATTEN & PATTEN (PATTSCHWAB)	067	TEVA	B	100	55.36	n/a	28-Dec	5.00 5.0
TOTAL (AO, CXL, CRT) :										73.75

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