



Daily Compliance Activity Report

Trade Date: 09/11/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	ACC	B	1,270	35.15	n/a	n/a	50.80	4.0
CYRUS CAPITAL	025	AMBC	B	10,000	18.58	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	ANF	B	125,000	37.35	n/a	n/a	5,000.00	4.0
LATEEF MGMT	033	ATI	S	550	29.25	n/a	10-Sep	55.00	10.0
f DOUGLAS R ROGERS	FID	BACPRD	S	1000	23.96	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	BAC	B	10,000	14.64	n/a	10-Sep	500.00	5.0
PRIMECAP MGMT	084	BIIB	S	4,000	231.28	n/a	n/a	160.00	4.0
f MARC PAUL LUCHANSKY	FID	BONT	B	500	11.88	23-Aug	22-Aug	0.00	0.0
SCHOTTENFELD ASSOC	041	BZ	B	18,500	9.14	n/a	n/a	555.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CLDT	S	3,200	19.90	n/a	n/a	96.00	3.0
f DAVID GEORGE BUCK	FID	C	S	1000	50.34	n/a	10-Sep	0.00	0.0
LATEEF MGMT	033	DAL	S	550	22.40	n/a	10-Sep	55.00	10.0
COHE & STEERS	041	DDR	S	28,031	15.76	n/a	n/a	840.93	3.0
MACELLUM CAPITAL	086	DECK	SS	35,000	59.75	n/a	n/a	1,050.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	DFZ	B	500	19.15	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ED	B	500	54.89	n/a	n/a	0.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	ETN		B	5,000	67.98	n/a	6-Sep	150.00	3.0
f JOSEPH CIRO AMATURO	FID	FBIOX	B	15	171.42	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	FDX	S	20,120	110.13	n/a	16-Aug	804.80	4.0
ROYSTONE CAPITAL	040	FLT	S	20,000	108.42	n/a	n/a	600.00	3.0
f JOSEPH CIRO AMATURO	FID	FSPHX	B	14	179.34	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	F	SS	10,000	17.42	n/a	5-Sep	300.00	3.0
KEY ASSET MGMT/VICTORY	220	GD	S	90,832	86.66	26-Aug	n/a	3,633.28	4.0
TUDOR INVESTORS	028	GM	B	5,000	36.31	n/a	11-Sep	150.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	GREK	S	500	18.63	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HDS	B	25,000	22.05	n/a	n/a	non-brg	3.0
PIMCO	084	HON	S	65,000	84.00	n/a	10-Sep	1,300.00	2.0
TUDOR INVESTORS	028	IP	SS	5,000	49.51	n/a	11-Sep	150.00	3.0
B BUCK CAPITAL MGMT		JOY	S	5,000	54.18	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	JPM	S	300	53.37	n/a	10-Sep	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	JPM	S	200	53.35	n/a	10-Sep	0.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	KEX	B	12,800	85.11	n/a	n/a	384.00	3.0	
GUGGENHEIM GLOBAL TRADING (GGT)251	LAMR	B	10,000	43.60	n/a	n/a	300.00	3.0	
HERRING CREEK CAPITAL MGMT LLC040	LEA	B	10,200	71.40	n/a	16-Aug	306.00	3.0	
CAPITAL WORLD	084 LUV	S	250,000	13.83	n/a	n/a	8,750.00	4.0	
SUFFOLK CAPITAL MGMT	040 MCD	B	8,150	97.04	5-Sep	10-Sep	326.00	4.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	MNRO	S	23,925	44.68	n/a	n/a	717.75	3.0	
f EDWARD W WHEELER	FID	MRC	B	2000	27.22	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MWA	S	5000	7.99	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084 NKTR	B	4,100	13.30	n/a	n/a	164.00	4.0	
PRIMECAP MGMT	084 NVS	S	5,000	76.46	n/a	n/a	200.00	4.0	
LISTED ERR	099	NX	S	2,000	19.06	n/a	n/a	0.00	0.0
LATEEF MGMT	033 OI	B	1,000	30.30	n/a	n/a	100.00	10.0	
f CHRISTY FRANK	FID	ONNN	B	1500	7.59	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)251	PLCM	B	40,000	10.69	n/a	n/a	1,200.00	3.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	TUDOR INVESTORS	028	PNR	SS	5,000	64.08	n/a	n/a	150.00	3.0	
B	BUCK CAPITAL MGMT		PVH	B	10,000	121.74	n/a	11-Sep	non-brg	4.0	
f	CHRISTOPHER ROBERT C	FID	P	S	300	21.21	n/a	n/a	0.00	0.0	
	SUFFOLK CAPITAL MGMT	040	SBUX	B	6,850	75.41	n/a	n/a	274.00	4.0	
	MERRILL ASSET/BLACKROCK	085	SF	B	29,500	42.92	n/a	n/a	1,180.00	4.0	
f	CHRISTY FRANK	FID	SWKS	B	400	25.84	n/a	n/a	0.00	0.0	
	TUDOR INVESTORS	028	TEX	B	5,000	30.89	n/a	n/a	150.00	3.0	
	GUGGENHEIM GLOBAL TRADING	(GGT)251	TFSL	S	10,000	11.44		n/a	n/a	300.00	3.0
	LATEEF MGMT	033	UN	B	500	38.16	n/a	n/a	50.00	10.0	
f	FRANCIS MICHAEL MCCA	FID	USG	S	600	26.31	n/a	n/a	0.00	0.0	
f	DAVID GEORGE BUCK	FID	VOD	B	1000	33.10	n/a	n/a	0.00	0.0	
f	MATTHEW FRANCIS BUCK	FID	VOD	B	200	33.11	n/a	n/a	0.00	0.0	
	SANDLER CAPITAL	028	WLK	S	102,700	102.10	n/a	n/a	5,135.00	5.0	
	THOMPSON SIEGAL&WALMSLEY	029	WNC	B	13,300	11.45	n/a	n/a	399.00	3.0	
	COHE & STEERS	041	WRI	B	22,145	28.82	n/a	n/a	664.35	3.0	
f	JONATHAN RICHARD HAR	FID	WTSL	B	2000	3.75	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	ZMH	S	3,500	81.11	n/a	n/a	140.00	4.0
f DOUGLAS R ROGERS	FID		B	20000	102.66	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								36,640.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	09/10	PATTEN & PATTEN	025	AIG	B	250	49.55	n/a	n/a	12.50	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	AIG	B	250	49.55	n/a	n/a	12.50	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	CB	S	100	86.30	n/a	n/a	5.00	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	CB	S	100	86.30	n/a	n/a	5.00	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	CL	B	200	58.82	n/a-2013-09-11		10.00	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	CL	B	200	58.82	n/a-2013-09-11		10.00	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	DBD	B	400	29.42	n/a	n/a	20.00	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	DBD	B	400	29.42	n/a	n/a	20.00	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	GLD	S	50	131.19	n/a	n/a	2.50	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	GLD	S	50	131.19	n/a	n/a	2.50	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	HEDJ	B	250	52.56	n/a	n/a	12.50	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	HEDJ	B	250	52.56	n/a	n/a	12.50	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	IBM	S	50	186.45	n/a	n/a	2.50	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	IBM	S	50	186.45	n/a	n/a	2.50	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	IDXX	B	125	97.29	n/a	n/a	6.25	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	IDXX	B	125	97.29	n/a	n/a	6.25	0.0
AO,CRT	09/10	PATTEN & PATTEN	025	IEV	B	250	43.09	n/a	n/a	12.50	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	IEV	B	250	43.09	n/a	n/a	12.50	0.0
AO,CXL	09/10	PATTEN & PATTEN	025	IVV	S	200	169.44	n/a	n/a	10.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/10	PATTEN & PATTEN	025	IVV	S	200	169.44	n/a	n/a	10.00 0.0
AO,CXL	09/10	PATTEN & PATTEN	025	LOW	B	200	46.89	n/a	n/a	10.00 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	LOW	B	200	46.89	n/a	n/a	10.00 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	MOS	B	200	44.34	n/a	n/a	10.00 0.0
AO,CXL	09/10	PATTEN & PATTEN	025	MOS	B	200	44.34	n/a	n/a	10.00 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	MWV	B	350	38.23	n/a	n/a	17.50 0.0
AO,CXL	09/10	PATTEN & PATTEN	025	MWV	B	350	38.23	n/a	n/a	17.50 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	NVS	S	75	76.02	n/a	n/a	3.75 0.0
AO,CXL	09/10	PATTEN & PATTEN	025	NVS	S	75	76.02	n/a	n/a	3.75 0.0
AO,CXL	09/10	FIFTH THIRD BANK/FREEMAN	047	PCY	S	8,000	26.32	n/a	n/a	400.00 0.0
AO,CRT	09/10	FIFTH THIRD BANK/FREEMAN	047	PCY	S	8,000	26.32	n/a	n/a	320.00 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	RYN	S	260	56.20	n/a	n/a	13.00 0.0
AO,CXL	09/10	PATTEN & PATTEN	025	RYN	S	260	56.20	n/a	n/a	13.00 0.0
AO,CRT	09/10	DPB CAPITAL	029	SIRI	S	5,000	3.83	n/a	n/a	250.00 0.0
AO,CXL	09/10	FIRST NEW YORK NICK	029	SIRI	S	5,000	3.83	n/a	n/a	250.00 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	SPY	S	75	168.55	n/a	n/a	3.75 0.0
AO,CXL	09/10	PATTEN & PATTEN	025	SPY	S	75	168.55	n/a	n/a	3.75 0.0
AO,CRT	09/10	BLACKTHORN	047	STI	B	25,000	33.22	n/a	n/a	1250.00 0.0
AO,CXL	09/10	BLACKTHORN	047	STI	B	25,000	33.22	n/a	n/a	1250.00 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	TSCO	S	100	128.13	n/a	n/a	5.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/10	PATTEN & PATTEN	025	TSCO	S	100	128.13	n/a	n/a	5.00 0.0
AO,CRT	09/10	PATTEN & PATTEN	025	V	S	25	182.08	n/a-2013-08-21		1.25 0.0
AO,CXL	09/10	PATTEN & PATTEN	025	V	S	25	182.08	n/a-2013-08-21		1.25 0.0
AO,CXL	09/10	BLACKTHORN	047	WFC	SS	25,000	42.01	n/a-2013-09-10		1250.00 0.0
AO,CRT	09/10	BLACKTHORN	047	WFC	SS	25,000	42.01	n/a-2013-09-10		1250.00 0.0

TOTAL (AO, CXL, CRT) :	-80.00
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TOTAL (Trade Date) :	36,640.91
TOTAL (AO, CXL, CRT) :	-80.00

TOTAL (RUN DATE) / NFS:	36,560.91
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 11-Sep.
NONE

MRI Securities without Trade Activity on 11-Sep.
GPI

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

<u>Legend:</u>
Õ: Employee Trades in Outside Accounts
ß: Non-BRG BCM Trades
[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)