



# Daily Compliance Activity Report

Trade Date: 07/29/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ACL	B	4,000	128.80	16-Jul	27-Jul	200.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	25,000	14.40	25-Jun	10-Jul	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>20,000</b>	<b>28.40</b>	<b>3-Jun</b>	<b>10-Jul</b>	<b>800.00</b>	<b>4.0</b>
ROYCE TRADING	216	AOS	B	32,000	39.13	17-Jul	17-Jul	1,600.00	5.0
ROCKEFELLER & CO.	045	AVY	B	350,000	29.61	28-Apr	9-Jul	10,500.00	3.0
MILLENNIUM-ANDEW	031	AXE	S	15,000	33.21	28-Jul	28-Jul	900.00	6.0
FIRST NY SEC/CHRIS	041	AXL	B	25,000	1.53	n/a	9-Jul	1,000.00	4.0
LAGRANGE CAP ADV	048	AXL	S	30,000	1.96	n/a	9-Jul	900.00	3.0
SCHOTTENFELD ASSOC	041	AXL	B	50,000	1.69	n/a	9-Jul	1,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>50,000</b>	<b>37.17</b>	<b>n/a</b>	<b>27-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	BBY	B	150	36.95	n/a	27-Jul	7.50	5.0
PATTEN & PATTEN	067	BDX	B	12,350	73.73	n/a	22-Apr	617.50	5.0
CAVU CAP ADV	028	BWA	B	2,100	34.64	10-Jun	16-Jul	105.00	5.0
HUNTER GLOBAL INVESTOR	067	BWA	S	75,000	32.81	10-Jun	16-Jul	3,750.00	5.0
SCOPUS FUND	041	BWA	B	10,000	34.80	10-Jun	16-Jul	500.00	5.0
PATTEN & PATTEN	067	CGW	B	29,200	16.19	n/a	n/a	1,460.00	5.0
PATTEN & PATTEN	067	CL	S	4,200	75.49	8-Jun	8-Jun	210.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	S	160,000	28.75	n/a	29-Jul	6,400.00	4.0
PATTEN & PATTEN	067	CTXS	S	2,000	35.77	n/a	n/a	100.00	5.0
MARINER/TRICADIA	041	CXW	B	100,000	17.29	n/a	n/a	5,000.00	5.0
STRONG/MARK GRONET	030	DAL	B	25,000	6.69	n/a	n/a	750.00	3.0
PATTEN & PATTEN	067	DNN	S	1,000	1.64	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	DOV	S	6,500	33.26	n/a	n/a	325.00	5.0
PATTEN & PATTEN	067	DOW	B	500	20.21	n/a	19-Jun	25.00	5.0
NEUBERGER BERMAN	036	DWA	B	78,000	30.36	n/a	n/a	3,510.00	4.5
PATTEN & PATTEN	067	D	B	200	33.75	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	ECL	B	100	40.94	28-Jul	28-Jul	5.00	5.0
CASTLE ARK	031	EMR	S	73,100	36.03	n/a	n/a	4,386.00	6.0
PATTEN & PATTEN	067	EPP	S	900	34.15	n/a	n/a	45.00	5.0
HIGHBRIDGE CAPITAL	038	EQIX	SS	3,000	78.35	n/a	n/a	120.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.45	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	EWC	B	1,375	23.11	n/a	n/a	68.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	EWG	S	2,500	19.57	n/a	n/a	125.00	5.0
PATTEN & PATTEN	067	FHN	B	2,000	12.53	n/a	n/a	100.00	5.0
HIGHFIELDS CAP MGMT	039	FITB	S	200,000	8.94	n/a	n/a	6,000.00	3.0
SASCO	038	FL	S	98,450	11.27	27-Apr	26-Jun	3,938.00	4.0
SADC	038	FL	S	1,550	11.27	27-Apr	26-Jun	62.00	4.0
BMO NESBITT BURNS	041	F	SS	50,000	7.31	n/a	29-Jul	2,500.00	5.0
HARVEST MGMT	039	F	B	103,000	7.25	n/a	29-Jul	3,090.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>43,800</b>	<b>20.23</b>	<b>n/a</b>	<b>10-Jan</b>	<b>1,752.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>28.65</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
COOPER CREEK PART	028	GPI	SS	5,000	27.39	n/a	29-Jul	200.00	4.0
NUMERIC	060	HAS	B	133,200	26.18	n/a	n/a	3,996.00	3.0
PATTEN & PATTEN	067	HD	S	250	25.39	12-May	20-May	12.50	5.0
CAVU CAP ADV	028	HPQ	B	20,000	41.91	n/a	n/a	1,000.00	5.0
BASIX	033	HSC	SS	19,000	29.58	29-Jul	29-Jul	570.00	3.0
PATTEN & PATTEN	067	IAT	S	1,000	18.34	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	IJH	B	800	61.86	n/a	n/a	40.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	IJR	B	400	48.09	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	ILF	B	200	36.53	n/a	n/a	10.00	5.0
HOLLIS CAPITAL	033	IRM	B	4,000	31.73	n/a	n/a	200.00	5.0
PATTEN & PATTEN	067	IXP	S	775	49.84	n/a	n/a	38.75	5.0
PATTEN & PATTEN	067	IYW	B	400	48.13	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	JAVA	S	15,000	9.14	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	JWN	S	56,000	25.37	n/a	10-Jul	2,800.00	5.0
PATTEN & PATTEN	067	KMB	B	1,175	58.34	27-Jul	27-Jul	58.75	5.0
MACKLOWE ASSET MGMT	041	KR	B	125,000	21.10	n/a	n/a	5,000.00	4.0
PATTEN & PATTEN	067	LAZ	S	3,500	34.99	n/a	21-Jul	175.00	5.0
PATTEN & PATTEN	067	LQD	B	200	102.12	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	MBI	S	1,000	4.14	n/a	n/a	50.00	5.0
MERRILL ASSET/BLACKROCK	214	MIC	S	50,000	3.55	n/a	n/a	2,250.00	4.5
PATTEN & PATTEN	067	MOO	S	500	36.87	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	MS	B	3,400	26.69	11-May	23-Jul	170.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	MWV	B	178,700	19.74	n/a	29-Jul	7,148.00	4.0
NEW JERSEY DIV OF INV.	030	MWV	S	250,000	19.75	n/a	29-Jul	10,000.00	4.0
WASHINGTON ASSET	048	MWV	B	8,000	19.72	n/a	29-Jul	400.00	5.0
BARCLEYS CAP (OLD LEHM)	041	M	B	50,000	13.31	n/a	10-Jul	2,000.00	4.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>NVDA</b>	<b>S</b>	<b>184,000</b>	<b>12.77</b>	<b>n/a</b>	<b>n/a</b>	<b>7,360.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	NVS	S	1,960	43.50	n/a	n/a	98.00	5.0
TRUST CO OF THE WEST/NY	040	ONNN	B	100,190	7.32	n/a	n/a	4,007.60	4.0
TRUST CO/COWEN/CALF.	040	ONNN	B	44,700	7.32	n/a	n/a	1,788.00	4.0
PATTEN & PATTEN	067	ORCL	B	500	21.93	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	OXY	S	4,700	69.16	n/a	n/a	235.00	5.0
COOPER CREEK PART	028	PAG	SS	10,000	19.21	n/a	16-Jul	400.00	4.0
PERMIAN/BAYPIONT	028	PAG	SS	60,000	19.21	n/a	16-Jul	2,400.00	4.0
PATTEN & PATTEN	067	PBW	S	3,000	10.41	n/a	n/a	150.00	5.0
PATTEN & PATTEN	067	PGN	B	100	39.07	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	PG	S	900	55.78	5-Jun	5-Jun	45.00	5.0
PATTEN & PATTEN	067	PHO	B	30,200	15.43	n/a	n/a	1,510.00	5.0
MERRILL ASSET/BLACKROCK	214	PLCE	B	25,200	28.95	19-Mar	10-Jul	1,134.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>34.88</b>	<b>28-Jul</b>	<b>28-Jul</b>	<b>800.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	PX	B	200	73.56	5-Jun	29-Jul	10.00	5.0
NEUBERGER BERMAN	036	RCL	S	310,600	14.65	22-Apr	24-Apr	13,977.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>40,000</b>	<b>13.71</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,600.00</b>	<b>4.0</b>
NEWCASTLE FUNDS	255	SMG	S	18,500	40.66	10-Jun	9-Jul	740.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	25,000	20.98	n/a	27-Jul	1,000.00	4.0
<b>Ö Ted Wheeler</b>		<b>TENNECO</b>	<b>S</b>	<b>400850.2500</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	214	TEX	B	8,000	14.22	n/a	24-Jul	360.00	4.5
PATTEN & PATTEN	067	T	S	2,000	25.90	n/a	4-Jan	100.00	5.0
PATTEN & PATTEN	067	UTX	S	1,000	53.23	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	WFC	S	597	24.43	n/a	n/a	29.85	5.0
TRELLUS PARTNERS LP	028	WY	SS	30,000	34.62	n/a	20-Jul	1,500.00	5.0
PATTEN & PATTEN	067	X	B	100	38.18	n/a	n/a	5.00	5.0
JMP ASSET MGMT	210	ZAGG	S	8,000	6.73	n/a	n/a	320.00	4.0

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**TOTAL (Trade Date):**

**143,355.20**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/28	KARSCH CAPITAL (KARSCREDTS)	034	BMY	B	129,710	21.16	n/a	n/a	3891.30 3.0
AO,	07/28	KARSCH CAPITAL (KARSKBL)	034	BMY	B	2,050	21.16	n/a	n/a	61.50 3.0
AO,	07/28	KARSCH CAPITAL (KARSMORGAN)	034	BMY	B	510	21.16	n/a	n/a	15.30 3.0
AO,	07/28	KARSCH CAPITAL (KARSGOLDMA)	034	BMY	B	17,730	21.16	n/a	n/a	531.90 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>4,500.00</b>
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TOTAL (Trade Date) :	143,355.20
TOTAL (AO, CXL, CRT) :	4,500.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>147,855.20</b>
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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