



Daily Compliance Activity Report

Trade Date: 08/29/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AAPL	B	25	494.01	n/a	n/a	1.25	5.0
PATTEN & PATTEN	025	AA	S	600	7.92	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	ABBV	B	100	42.98	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	ABT	B	100	33.84	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	AIG	B	125	46.88	n/a	n/a	6.25	5.0
PRIMECAP MGMT	084	AMGN	S	8,000	109.41	n/a	n/a	320.00	4.0
PATTEN & PATTEN	025	APC	B	70	92.37	n/a	n/a	3.50	5.0
PATTEN & PATTEN	025	AXP	B	100	72.49	9-Aug	29-Aug	5.00	5.0
COHE & STEERS	041	BEE	S	103,872	8.33	n/a	n/a	2,077.44	2.0
LISTED ERR	099	BEE	S	1,100	8.26	n/a	n/a	0.00	0.0
GEORGE WEISS	278	BHP	B	22,100	63.09	n/a	n/a	663.00	3.0
B BUCK CAPITAL MGMT		BIG	C	20,000	34.59	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	281	BKE	SS	10,000	51.91	n/a	n/a	500.00	5.0
1798 CAP/LOMBARD ASSET	040	BONT	S	25,000	11.10	23-Aug	22-Aug	1,250.00	5.0
BERYLSON CAPITAL	030	BONT	B	44,800	11.10	23-Aug	22-Aug	1,344.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL ALEXANDER SM	FID	BRKB	S	120	112.01	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	BTU	B	50	17.65	n/a	n/a	0.00	0.0
PROVIDENCE EQUITY CAP. MKTS.040	CBB		S	194,000	3.03	n/a	n/a	3,880.00	2.0
f JENNIFER CORWIN GLIC	FID	CBK	B	3000	5.71	n/a	n/a	0.00	0.0
KEY ASSET MGMT/VICTORY	220	CCE	S	15,850	36.73	n/a	n/a	634.00	4.0
PATTEN & PATTEN	025	CL	B	100	57.46	n/a	29-Aug	5.00	5.0
f MARC PAUL LUCHANSKY	FID	CMG	S	10	407.44	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	CNI	S	100	94.53	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	CP	B	100	118.54	n/a	n/a	5.00	5.0
BRIGADE CAPITAL MGMT	029	CWH	S	25,000	24.62	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	DD	B	100	56.81	n/a	n/a	5.00	5.0
MACELLUM CAPITAL	086	DECK	B	17,000	59.11	n/a	n/a	510.00	3.0
MERRILL ASSET/BLACKROCK	085	DFT	S	1,650	22.70	n/a	n/a	66.00	4.0
BNP PARIBAS SEC	040	DHI	S	20,000	17.80	n/a	n/a	600.00	3.0
PATTEN & PATTEN	025	DIS	B	100	61.41	n/a	n/a	5.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	281	DKS	S	39,800	46.67	21-Aug	28-Aug	1,990.00	5.0
FIFTH THIRD BANK/FREEMAN	047	DOV	B	4,566	86.02	n/a	n/a	182.64	4.0
PATTEN & PATTEN	025	DOW	S	200	37.35	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	EEM	B	200	37.75	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	EFG	B	175	64.21	n/a	n/a	8.75	5.0
PATTEN & PATTEN	025	EMR	B	100	60.90	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	ETN	B	100	64.14	n/a	5-Aug	5.00	5.0
PATTEN & PATTEN	025	EWG	S	400	25.85	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	EZU	B	500	35.07	n/a	n/a	25.00	5.0
f MICHAEL ALEXANDER SM	FID	FAIRX	S	371	37.33	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	FCX	B	375	30.55	n/a	n/a	18.75	5.0
f MICHAEL ALEXANDER SM	FID	FIGRX	S	656	36.03	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	085	FII	S	1,790	27.60	n/a	n/a	71.60	4.0
f MICHAEL ALEXANDER SM	FID	FOCPX	S	443	79.20	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	FRAN	S	50,000	24.44	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	FSLCX	S	1435	19.66	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FUSVX	S	488	58.25	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	FWRD	S	3,000	37.20	n/a	n/a	120.00	4.0
GEORGE WEISS	278	F	SS	10,000	16.46	n/a	27-Aug	300.00	3.0
TUDOR INVESTORS	028	F	SS	35,000	16.51	n/a	27-Aug	1,050.00	3.0
B BUCK CAPITAL MGMT		GCO	B	20,000	63.33	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GCO	B	25,000	62.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	B	28,800	61.93	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		GCO	B	5,300	63.52	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GCO	B	5,900	63.34	n/a	n/a	non-brg	0.8
MACELLUM CAPITAL	086	GCO	SS	7,862	63.50	n/a	n/a	235.86	3.0
B BUCK CAPITAL MGMT		GES	SS	170,000	30.58	29-Aug	29-Aug	non-brg	4.0
CASTLEROCK	040	GES	SS	26,303	30.67	29-Aug	29-Aug	1,052.12	4.0
CORTEX CAPITAL	031	GES	SS	25,000	30.44	29-Aug	29-Aug	750.00	3.0
OZ MGMT	040	GES	SS	90,962	30.45	29-Aug	29-Aug	2,728.86	3.0
PATTEN & PATTEN	025	GE	B	500	23.20	n/a	n/a	25.00	5.0
ARDSLEY PARTNERS	280	GRMN	B	50,000	41.90	n/a	n/a	2,500.00	5.0
KEY ASSET MGMT/VICTORY	220	HOLX	S	8,950	21.50	n/a	n/a	358.00	4.0
PATTEN & PATTEN	025	HON	B	75	80.28	n/a	12-Aug	3.75	5.0
PATTEN & PATTEN	025	IJH	B	100	119.45	n/a	n/a	5.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	IXN	B	100	72.57	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	IYG	B	160	73.01	n/a	n/a	8.00	5.0
DEPRINCE, RACE & ZOLLO	093	JBLU	B	50,000	6.24	n/a	29-Aug	2,000.00	4.0
PATTEN & PATTEN	025	KO	B	315	38.19	n/a	29-Aug	15.75	5.0
PATTEN & PATTEN	025	KRE	B	325	35.72	n/a	n/a	16.25	5.0
f MARC PAUL LUCHANSKY	FID	LCC	S	500	16.06	n/a	29-Aug	0.00	0.0
STRONG/MARK GRONET	030	LCC	B	15,000	16.03	n/a	29-Aug	600.00	4.0
TUDOR INVESTORS	028	LEA	B	5,000	69.19	n/a	16-Aug	150.00	3.0
BNP PARIBAS SEC	040	LEN	S	25,000	32.88	n/a	n/a	750.00	3.0
BNP PARIBAS SEC	040	LOW	B	20,000	46.69	n/a	n/a	600.00	3.0
PATTEN & PATTEN	025	LOW	B	250	46.72	n/a	n/a	12.50	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	LPX	B	50,000	15.26	n/a	28-Aug	1,500.00	3.0
PARKWEST	084	LRN	SS	17,500	36.13	n/a	n/a	700.00	4.0
KEY ASSET MGMT/VICTORY	220	LSI	S	26,400	7.51	n/a	n/a	1,056.00	4.0
PATTEN & PATTEN	025	MCD	B	60	95.02	n/a	8-Aug	3.00	5.0
PATTEN & PATTEN	025	MIC	S	100	53.33	n/a	n/a	5.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GEORGE WEISS	278	MKC	B	30,000	67.56	n/a	n/a	900.00	3.0
PATTEN & PATTEN	025	MMM	B	50	113.55	n/a	n/a	2.50	5.0
NEUBERGER BERMAN	036	MMS	B	5,700	37.89	n/a	n/a	228.00	4.0
GEORGE WEISS	278	MT	SS	80,000	13.01	n/a	n/a	2,400.00	3.0
ARDSLEY PARTNERS	280	MU	B	50,000	13.45	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		MVRX	SS	100,000	297.55	n/a	n/a	non-brg	23.8
PATTEN & PATTEN	025	MWV	B	325	36.32	n/a	30-Jul	16.25	5.0
ADAGE CAPITAL MGMT	030	M	B	65,768	44.61	15-Aug	14-Aug	1,973.04	3.0
BALYASNY ASSET MGMT	044	M	B	150,000	44.76	15-Aug	14-Aug	7,500.00	5.0
PATTEN & PATTEN	025	M	B	160	44.86	15-Aug	14-Aug	8.00	5.0
SCOPUS FUND	041	M	B	25,000	44.47	15-Aug	14-Aug	1,000.00	4.0
STRONG/MARK GRONET	030	NCI	S	10,000	14.04	n/a	n/a	400.00	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NE	B	1,000	37.88		n/a n/a	30.00	3.0
f MARC PAUL LUCHANSKY	FID	NLY	B	500	11.49	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	NSC	B	100	72.82	n/a	n/a	5.00	5.0
CAPITAL GUARDIAN /INTN'L	084	NWL	B	59,100	25.50	n/a	n/a	2,068.50	4.0
KINGDON ASSET MGMT	041	PEP	B	15,000	79.27	n/a	n/a	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	PEP	B	75	79.26	n/a	n/a	3.75	5.0
PARKWEST	084	PETS	SS	25,000	15.68	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	025	PG	B	100	77.57	2-Aug	15-Aug	5.00	5.0
MERRILL ASSET/BLACKROCK	085	PNFP	S	16,433	28.23	n/a	n/a	657.32	4.0
CALA	041	PX	B	35,000	116.52	n/a	n/a	1,050.00	3.0
⌘ BUCK CAPITAL MGMT		RAD	B	300,000	3.44	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RAD	B	300,000	3.45	n/a	n/a	non-brg	2.0
KEY ASSET MGMT/VICTORY	220	RMD	S	4,625	48.11	n/a	n/a	185.00	4.0
PATTEN & PATTEN	025	RSG	B	175	33.12	n/a	n/a	8.75	5.0
PATTEN & PATTEN	025	SLB	B	100	81.93	n/a	n/a	5.00	5.0
ROTHSCHILD ASSET	040	SSI	S	13,900	18.86	23-Aug	22-Aug	556.00	4.0
BRANDWINE	028	STX	B	175,000	38.02	n/a	n/a	7,000.00	4.0
⌘ BUCK CAPITAL MGMT		TFM	C	28,100	49.11	n/a	n/a	non-brg	4.0
KEY ASSET MGMT/VICTORY	220	TFX	S	2,225	77.51	n/a	n/a	89.00	4.0
MERRILL ASSET/BLACKROCK	085	THG	B	2,730	54.65	n/a	n/a	109.20	4.0
PATTEN & PATTEN	025	TIF	S	200	77.01	n/a	n/a	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
BNP PARIBAS SEC	040	TMV	B	10,000	72.08	n/a	n/a	300.00	3.0	
TUDOR INVESTORS	028	TRW	B	5,000	69.52	n/a	n/a	150.00	3.0	
WALL STREET CAPITAL	084	TTS	S	43,283	26.67	n/a	n/a	1,947.74	5.0	
NEUBERGER BERMAN	036	TXRH	B	20,166	25.23	n/a	n/a	806.64	4.0	
PATTEN & PATTEN	025	UTX	B	120	100.60	n/a	n/a	6.00	5.0	
KEYGROUP/KGLT	040	VALE	SS	25,000	14.65	n/a	n/a	1,000.00	4.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	VOD	B	75,000	31.79		n/a	n/a	2,250.00	3.0
LEVIN CAPITAL STRATEGIES	041	VOD	B	32,500	31.83	n/a	n/a	975.00	3.0	
SENATOR INVESTMENT GROUP	287	VOD	B	400,000	31.80	n/a	n/a	12,000.00	3.0	
PATTEN & PATTEN	025	V	B	65	175.39	n/a	21-Aug	3.25	5.0	
B	BUCK CAPITAL MGMT	WCIC	B	15,000	15.05	n/a	n/a	non-brg	4.0	
HERRING CREEK CAPITAL MGMT LLC	040	WGO	S	6,396	23.05		n/a	n/a	191.88	3.0
f	IAN L MILLER	FID	WLT	B	45	13.05	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	WMT	B	100	72.61	15-Aug	16-Aug	5.00	5.0	
TYVOR CAPITAL LLC	031	WSM	S	675	57.20	n/a	n/a	20.25	3.0	
PATTEN & PATTEN	025	WY	B	425	27.82	n/a	28-Aug	21.25	5.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	XBI	B	100	120.50	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	XOM	S	100	88.49	n/a	n/a	5.00	5.0
TOTAL (Trade Date) :								83,069.59	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	08/28	FINDLAY PARK PART	085	BK	B	156,000	29.80	n/a-2013-08-23	6973.38 0.0
AO,CXL	08/28	FINDLAY PARK PART	085	BK	B	156,000	29.80	n/a-2013-08-23	6973.38 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	83,069.59
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	83,069.59
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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 29-Aug.

GES

MRI Securities without Trade Activity on 29-Aug.

ABFS

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)