



# Daily Compliance Activity Report

Trade Date: 09/13/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AGG	S	100	105.68	n/a	n/a	5.00	5.0
CALA	041	AIG	B	421,921	49.49	n/a	n/a	12,657.63	3.0
SUFFOLK CAPITAL MGMT	040	ANN	B	10,000	35.55	n/a	n/a	400.00	4.0
NOKOMIS PARTNERS	031	AOS	B	15,000	44.19	n/a	n/a	450.00	3.0
FEDERATED INV/KAUFMAN	029	APC	B	4,300	95.90	n/a	n/a	215.00	5.0
PATTEN & PATTEN	025	APC	S	50	95.83	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	APD	S	100	105.81	n/a	n/a	5.00	5.0
TYVOR CAPITAL LLC	031	ARO	SS	50,000	8.94	n/a	n/a	1,500.00	3.0
WHITE PINE CAPITAL	030	ARO	B	1,900	8.92	n/a	n/a	95.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>10,000</b>	<b>49.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KEYGROUP/KGLT	040	BTU	SS	25,000	18.15	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	025	CL	B	150	59.58	n/a	11-Sep	7.50	5.0
PRIMECAP MGMT	084	CME	B	5,000	72.18	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	CNI	S	100	97.78	n/a	n/a	5.00	5.0
LEVIN CAPITAL STRATEGIES	041	DAL	B	5,000	22.25	n/a	10-Sep	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	DBD	B	250	29.50	n/a	n/a	12.50	5.0
FEDERATED INV/KAUFMAN	029	ETN	B	12,200	67.11	n/a	6-Sep	610.00	5.0
INTERVAL PARTNERS	033	EXPR	B	10,000	21.95	n/a	n/a	300.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>FCX</b>	<b>B</b>	<b>5000</b>	<b>33.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIVERLOFT CAPITAL	044	FOE	S	20,000	8.61	n/a	n/a	600.00	3.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>10340</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SLS CAPITAL LLC	006	F	SS	205,479	17.41	n/a	5-Sep	10,273.95	5.0
MERRILL ASSET/BLACKROCK	085	GBCI	S	24,500	23.93	n/a	n/a	980.00	4.0
SYSTEMATIC FINANCIAL MGT	070	GES	S	40,000	29.90	29-Aug	29-Aug	1,200.00	3.0
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>GSVC</b>	<b>B</b>	<b>1000</b>	<b>13.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FEDERATED INV/KAUFMAN	029	HAL	B	5,200	49.28	n/a	n/a	260.00	5.0
PATTEN & PATTEN	025	HEDJ	B	200	52.85	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	IRM	B	250	26.53	n/a	n/a	12.50	5.0
MERRILL ASSET/BLACKROCK	085	JLL	B	16,400	86.05	n/a	n/a	656.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KMX</b>	<b>B</b>	<b>30,000</b>	<b>51.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>LPNT</b>	<b>B</b>	<b>3,300</b>	<b>46.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LPNT</b>	<b>B</b>	<b>7,700</b>	<b>46.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARDSLEY PARTNERS	280	LPX	B	20,000	16.93	n/a	13-Sep	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	25,000	16.94	n/a	13-Sep	1,250.00	5.0
ROVER CAPITAL PARTNERS	040	LPX	B	5,000	17.03	n/a	13-Sep	200.00	4.0
CASTLEROCK	040	LULU	SS	4,941	68.00	n/a	13-Sep	197.64	4.0
M&I FUNDS	047	MLI	S	6,105	55.40	n/a	n/a	244.20	4.0
PATTEN & PATTEN	025	MRK	S	100	47.93	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	MWV	B	200	38.13	n/a	n/a	10.00	5.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>ONNN</b>	<b>B</b>	<b>1350</b>	<b>7.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>164.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ACK ASSET	028	RUE	SS	50,000	40.67	n/a	n/a	1,500.00	3.0
SUFFOLK CAPITAL MGMT	040	SLB	S	8,000	86.36	n/a	n/a	320.00	4.0
IMPALA ASSET MMT	040	SPY	SS	14,780	169.35	n/a	n/a	739.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SWN</b>	<b>S</b>	<b>13,000</b>	<b>38.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PRIMECAP MGMT	084	SZYM	B	11,900	10.76	n/a	n/a	476.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>TBT</b>	<b>S</b>	<b>360</b>	<b>79.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	TIF	S	100	78.82	n/a	n/a	5.00	5.0
LEVIN CAPITAL STRATEGIES	041	UAL	B	5,000	32.28	3-Sep	9-Sep	150.00	3.0
SPARTAN	093	VOD	S	23,500	33.60	n/a	n/a	705.00	3.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>VVUS</b>	<b>B</b>	<b>1000</b>	<b>9.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>VXX</b>	<b>B</b>	<b>1000</b>	<b>14.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WHR</b>	<b>B</b>	<b>10,000</b>	<b>136.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>WTSL</b>	<b>B</b>	<b>2000</b>	<b>3.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARDSLEY PARTNERS	280	WY	B	10,000	28.40	n/a	13-Sep	500.00	5.0
ROVER CAPITAL PARTNERS	040	WY	B	5,000	28.40	n/a	13-Sep	200.00	4.0
SCHOTTENFELD ASSOC	041	WY	B	25,000	28.37	n/a	13-Sep	750.00	3.0
<b>f DOUGLAS R ROGERS</b>	<b>FID</b>		<b>B</b>	<b>25000</b>	<b>102.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>39,859.42</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/12	ADAGE CAPITAL MGMT	030	AOL	B	60,000	34.48	n/a	n/a	3600.00 0.0
AO,CRT	09/12	ADAGE CAPITAL MGMT	030	AOL	B	60,000	34.48	n/a	n/a	1800.00 3.0
AO,CRT	09/10	DSM CAPITAL PARTNERS	085	HOLX	S	3,375	20.80	n/a	n/a	168.75 0.0
AO,CXL	09/10	DSM CAPITAL PARTNERS	085	HOLX	S	3,375	20.80	n/a	n/a	168.75 0.0
AO,	09/12	MIDS	047	MLI	S	1	55.56	n/a	n/a	0.04 0.0
AO,CXL	09/12	M&I FUNDS	047	MLI	S	3,522	55.56	n/a	n/a	140.88 0.0
AO,	09/12	M&I FUNDS	047	MLI	S	3,521	55.56	n/a	n/a	140.84 0.0
AO,CXL	09/12	FIRST NEW YORK	086	RAD	B	20,000	3.62	n/a	n/a	1000.00 0.0
AO,CRT	09/12	FIRST NEW YORK	086	RAD	B	20,000	3.62	n/a	n/a	800.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,000.00</b>
TOTAL (Trade Date):										39,859.42
TOTAL (AO, CXL, CRT):										-2,000.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>37,859.42</b>

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 13-Sep.  
NONE

MRI Securities without Trade Activity on 13-Sep.  
NONE

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

**Legend:**

**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)**