



Daily Compliance Activity Report

Trade Date: 08/09/2013

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	5	455.60	n/a	n/a	0.25	0.0
NEUBERGER BERMAN	036	ADVS	B	34,100	28.35	n/a	n/a	1,364.00	0.0
PATTEN & PATTEN	025	AGU	B	100	85.22	n/a	n/a	5.00	0.0
f MARC PAUL LUCHANSKY	FID	AIG	S	200	48.09	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	AIG	B	50	48.14	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	AML	B	335	17.57	n/a	n/a	16.75	0.0
f MARC PAUL LUCHANSKY	FID	ARG	S	50	105.48	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	AXE	S	100	86.08	n/a	16-May	0.00	0.0
NEUBERGER BERMAN	098	BKU	B	52,651	30.65	n/a	n/a	2,106.04	0.0
PATTEN & PATTEN	025	BRCM	S	300	26.09	n/a	n/a	15.00	0.0
NEUBERGER BERMAN	036	CBU	B	15,784	34.11	n/a	n/a	631.36	0.0
f MARC PAUL LUCHANSKY	FID	CLNE	S	50	12.94	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	CL	B	250	60.86	n/a	17-Jun	12.50	0.0
f MARC PAUL LUCHANSKY	FID	COF	S	200	68.42	n/a	19-Jun	0.00	0.0
B BUCK CAPITAL MGMT		CVT	S	5,000	35.83	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		DDS	SS	10,000	79.86	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		DDS	SS	40,000	80.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DHI	B	26,000	18.85	n/a	n/a	non-brg	4.0
f YANAI A FRANK	FID	DIOD	B	635	23.65	n/a	n/a	0.00	0.0
CR INTRINSIC/CHRIS C	041	DLPH	B	10,000	55.63	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	DON	B	25	70.31	n/a	n/a	1.25	0.0
LATEEF MGMT	033	DOW	S	500	37.90	n/a	n/a	50.00	0.0
CADIAN CAPITAL	041	EMC	B	50,000	26.91	n/a	26-Feb	1,500.00	0.0
PATTEN & PATTEN	025	ETN	B	300	65.82	n/a	12-Jun	15.00	0.0
f MARC PAUL LUCHANSKY	FID	FCTTX	S	6202	10.32	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FDO	B	5,000	71.35	n/a	4-Jun	250.00	0.0
NEUBERGER BERMAN	036	FFIN	B	5,500	58.32	n/a	n/a	220.00	0.0
ß BUCK CAPITAL MGMT		FI	B	10,000	22.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		FI	S	10,000	26.69	n/a	n/a	non-brg	2.5
NEUBERGER BERMAN	036	FNB	B	42,675	12.86	n/a	n/a	1,707.00	0.0
f MARC PAUL LUCHANSKY	FID	FNYTX	B	3376	11.26	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FTFMX	B	3716	12.81	n/a	n/a	0.00	0.0
CR INTRINIC INVESTMENT	044	F	B	30,000	17.02	n/a	19-Jun	900.00	0.0
B BUCK CAPITAL MGMT		GPS	B	20,000	43.12	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	HDV	S	500	68.62	n/a	n/a	25.00	0.0
SIGMA CAPITAL ASSOCIATES	041	HD	SS	100,000	78.93	n/a	n/a	3,000.00	0.0
PATTEN & PATTEN	025	HEDJ	B	35	52.30	n/a	n/a	1.75	0.0
LATEEF MGMT	033	INTC	B	500	22.54	n/a	n/a	50.00	0.0
PATTEN & PATTEN	025	IRM	B	500	28.29	n/a	n/a	25.00	0.0
B BUCK CAPITAL MGMT		JCP	B	80,000	12.66	n/a	18-Jun	non-brg	4.0
CHARTERBRIDGE CAPITAL	025	JCP	SS	25,000	12.60	n/a	18-Jun	750.00	0.0
MFP INVESTORS	085	JCP	S	25,000	12.76	n/a	18-Jun	1,250.00	0.0
PATTEN & PATTEN	025	JWN	B	50	58.99	n/a	18-Jun	2.50	0.0
SCOPUS FUND	041	LAD	B	10,000	67.53	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	LPI	B	44,150	26.00	n/a	n/a	1,766.00	0.0
J. GOLDMAN	028	LTD	SS	25,000	61.29	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	MWV	B	500	36.96	n/a	18-Jun	25.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	MWV	S	35	36.97	n/a	18-Jun	1.75	0.0
S.A.C. CAPITAL	044	M	B	25,000	48.28	n/a	18-Jun	750.00	0.0
⚡ BUCK CAPITAL MGMT		NCLH	B	4,000	29.75	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		NCLH	B	5,000	29.75	n/a	n/a	non-brg	0.0
CLEARLINE CAPITAL LLC	006	NDLS	C	5,000	42.24	n/a	n/a	200.00	0.0
PATTEN & PATTEN	025	NOK	B	250	4.19	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	PCH	S	400	43.86	n/a	19-Jun	20.00	0.0
⚡ BUCK CAPITAL MGMT		PCLN	C	1,000	970.04	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PCLN	C	1,000	981.09	n/a	n/a	non-brg	4.0
⚡ MARK ANTHONY GRONET	FID	PDI	B	1000	27.70	n/a	n/a	0.00	0.0
LATEEF MGMT	033	PG	S	150	81.69	n/a	17-Jun	30.00	0.0
SAGE ASSET MGMT	025	PH	B	5,400	103.33	n/a	n/a	270.00	0.0
ARCHON CAPITAL	033	PLCM	S	85,000	9.73	n/a	n/a	2,550.00	0.0
CR INTRINIC INVESTMENT	044	PLCM	B	25,000	9.73	n/a	n/a	750.00	0.0
CAMBIAR CAP	046	RDEN	B	91,918	33.23	n/a	17-Jun	3,676.72	0.0
⚡ BUCK CAPITAL MGMT		RDN	S	55,000	14.17	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	025	RF	B	25	9.95	n/a	n/a	1.25	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	RHT	S	25	52.62	n/a	n/a	1.25	0.0
BARROW HANLEY MEWHINNEY	031	SE	S	227,100	34.89	n/a	n/a	7,948.50	0.0
NEUBERGER BERMAN	036	SPH	B	41,626	45.27	n/a	n/a	1,665.04	0.0
PATTEN & PATTEN	025	SPY	B	100	169.52	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	TOL	B	35	31.86	n/a	n/a	1.75	0.0
f MARC PAUL LUCHANSKY	FID	TRIP	S	50	81.00	n/a	n/a	0.00	0.0
LATEEF MGMT	033	T	B	500	34.88	n/a	n/a	50.00	0.0
f CHRISTOPHER ROBERT C	FID	VNTV	B	100	28.16	n/a	11-Jun	0.00	0.0
PATTEN & PATTEN	025	VO	B	180	101.91	n/a	n/a	9.00	0.0
EPOCH INV MGMT	030	VR	S	66,740	34.76	n/a	n/a	2,002.20	0.0
PATTEN & PATTEN	025	VV	B	625	78.05	n/a	n/a	31.25	0.0
PATTEN & PATTEN	025	V	S	20	180.03	n/a	11-Jun	1.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	12,800	24.18	n/a	n/a	384.00	0.0
f CHRISTOPHER ROBERT C	FID	WNC	B	400	10.76	n/a	n/a	0.00	0.0
T. ROWE PRICE	243	WY	B	384,850	27.60	n/a	19-Jun	11,545.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	WY	B	5,000	27.40	n/a	19-Jun	150.00	0.0
PERRY PARTNERS	085	XLE	SS	52,600	82.52	n/a	n/a	2,630.00	0.0
PERRY PARTNERS	085	XOP	SS	103,400	63.02	n/a	n/a	5,170.00	0.0
f MARC PAUL LUCHANSKY	FID	XPO	S	1000	22.62	n/a	n/a	0.00	0.0
P.SCHOENFELD ASSET MGMT LLC041	YHOO		C	50,000	27.42	n/a	n/a	2,000.00	0.0
TOTAL (Trade Date):								59,248.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/08	STELLIAM INV ADV	086	INTC	S	100,000	22.45	n/a	n/a	4000.00 4.0
AO,CXL	08/08	STELLIAM INV ADV	086	INTC	S	100,000	22.45	n/a	n/a	5000.00 0.0
AO,CRT	08/08	IMPALA ASSET MMT	040	RYL	B	12,700	37.13	n/a	n/a	508.00 0.0
AO,CXL	08/08	IMPALA ASSET MMT	040	RYL	B	12,700	37.13	n/a	n/a	635.00 0.0
AO,CRT	08/07	PIMCO	084	SAVE	S	60,000	33.83	n/a	18-Jun	1200.00 0.0
AO,CXL	08/07	PIMCO	084	SAVE	S	60,000	33.83	n/a	18-Jun	2400.00 0.0

TOTAL (AO, CXL, CRT) :	-2,327.00
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TOTAL (Trade Date) :	59,248.61
TOTAL (AO, CXL, CRT) :	-2,327.00

TOTAL (RUN DATE) / NFS :	56,921.61
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	08/08	BUCK CAPITAL MGMT	CVT	B	5,000	21.00	n/a	n/a	0.00	0.0
CXL	08/08	BUCK CAPITAL MGMT.	GOOG	S	10,000	600.00	n/a	n/a	300.00	
CRT	08/08	BUCK CAPITAL MGMT	GOOG	S	10,000	600.00	n/a	n/a	200.00	2.0

MRI Securities with Trade Activity on 9-Aug.
NONE

MRI Securities without Trade Activity on 9-Aug.
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)