



Daily Compliance Activity Report

Trade Date: 06/25/2013

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	S	12	403.40	n/a	n/a	0.60	0.0
SYMPHONY ASSET	033	AEO	C	20,000	18.17	n/a	2-Dec	600.00	0.0
PATTEN & PATTEN	025	AIG	B	50	43.51	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	APC	B	112	85.07	n/a	13-Jun	5.60	0.0
BRANDWINE	028	AVX	B	49,600	11.78	n/a	n/a	1,984.00	0.0
FOCUSED INVESTORS	084	AXP	S	5,000	73.31	n/a	19-Jun	200.00	0.0
B BUCK CAPITAL MGMT		BBBY	C	20,000	68.98	n/a	n/a	non-brg	4.0
FOCUSED INVESTORS	084	BDX	S	1,500	98.02	n/a	n/a	60.00	0.0
B BUCK CAPITAL MGMT		BONT	S	20,000	17.71	n/a	18-Jun	non-brg	4.0
PATTEN & PATTEN	025	BTO	B	200	19.91	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	BTU	S	500	14.40	n/a	n/a	25.00	0.0
RAINIER INV MGMT	033	BWLD	S	5,330	96.20	n/a	n/a	213.20	0.0
LISTED ERR	099	BWLD	S	6	94.58	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	BX	B	200	20.57	n/a	n/a	0.00	0.0
CASTLE ARK	031	CAT	S	63,100	82.31	n/a	11-Jul	2,524.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CAT	S	150	82.19	n/a	11-Jul	7.50	0.0
PATTEN & PATTEN	025	CBI	B	100	59.15	n/a	n/a	5.00	0.0
B BUCK CAPITAL MGMT		CCL	C	100,000	34.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CFR VX	SS	38,000	85.03	n/a	n/a	non-brg	6.0
B BUCK CAPITAL MGMT		CHS	C	60,000	16.18	n/a	5-Feb	non-brg	4.0
SYMPHONY ASSET	033	CLX	C	4,320	82.06	n/a	17-Jun	129.60	0.0
PATTEN & PATTEN	025	CL	B	350	56.47	n/a	17-Jun	17.50	0.0
PATTEN & PATTEN	025	CSD	B	450	36.71	n/a	n/a	22.50	0.0
PATTEN & PATTEN	025	CTXS	B	150	58.51	n/a	n/a	7.50	0.0
FOCUSED INVESTORS	084	CVS	S	4,700	56.68	n/a	n/a	188.00	0.0
f MANNY I KORMAN	FID	CVS	S	2000	56.23	n/a	n/a	0.00	0.0
FOCUSED INVESTORS	084	DEO	S	1,100	115.44	n/a	n/a	44.00	0.0
PATTEN & PATTEN	025	DLR	B	75	58.34	n/a	n/a	3.75	0.0
f EDWARD W WHEELER	FID	DVN	B	1000	52.88	n/a	13-Jun	0.00	0.0
PATTEN & PATTEN	025	EEM	B	200	37.42	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	EPP	S	75	43.65	n/a	n/a	3.75	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	ETN	B	150	63.27	n/a	12-Jun	7.50	0.0
f KELLY ELIZABETH CLIF	FID	FAUDX	S	60	10.04	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAUDX	S	70	10.04	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FCSAX	S	66	13.61	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	FCX	S	188	27.30	n/a	n/a	9.40	0.0
B BUCK CAPITAL MGMT		FDO	SS	25,000	60.94	n/a	4-Jun	non-brg	4.0
f KELLY ELIZABETH CLIF	FID	FILEX	B	54	9.22	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	S	30,000	34.72	n/a	19-Jun	non-brg	4.0
SCOPUS FUND	041	FL	SS	40,000	34.65	n/a	19-Jun	1,600.00	0.0
f KELLY ELIZABETH CLIF	FID	FSCFX	B	8	12.40	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	B	89	12.40	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	B	35	14.23	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	F	SS	400,000	14.92	n/a	19-Jun	12,000.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	GHL	C	10,200	44.51	n/a	n/a	306.00	0.0
PATTEN & PATTEN	025	GM	B	250	31.90	n/a	19-Jun	12.50	0.0
FOCUSED INVESTORS	084	GS	S	1,600	153.22	n/a	6-May	64.00	0.0
MERRILL ASSET/BLACKROCK	085	HMN	S	23,700	24.31	n/a	n/a	948.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	HTZ	B	250	23.41	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IEF	B	350	101.68	n/a	n/a	17.50	0.0
PATTEN & PATTEN	025	ILF	B	75	35.17	n/a	n/a	3.75	0.0
f IAN L MILLER	FID	ILTB	B	7	56.11	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	INTC	B	100	23.90	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	IYG	B	300	70.56	n/a	n/a	15.00	0.0
B BUCK CAPITAL MGMT		JBLU	B	85,000	6.09	n/a	18-Jun	non-brg	3.0
DSG CAPITAL	030	JBLU	B	30,000	6.08	n/a	18-Jun	900.00	0.0
ROSEDALE CAPITAL	046	JBLU	B	25,000	6.07	n/a	18-Jun	1,250.00	0.0
PATTEN & PATTEN	025	JCI	B	50	35.47	n/a	10-Jun	2.50	0.0
FOCUSED INVESTORS	084	JNJ	S	3,200	85.38	n/a	n/a	128.00	0.0
FOCUSED INVESTORS	084	JPM	S	4,300	52.14	n/a	17-Jun	172.00	0.0
WINSLOW CAPITAL	030	JPM	B	284,100	51.81	n/a	17-Jun	8,523.00	0.0
B BUCK CAPITAL MGMT		KEG	B	62,214	6.09	n/a	13-Jun	non-brg	3.0
PATTEN & PATTEN	025	KMB	S	50	95.97	n/a	17-Jun	2.50	0.0
FOCUSED INVESTORS	084	KO	S	6,800	39.82	n/a	17-Jun	272.00	0.0
PATTEN & PATTEN	025	LOW	B	200	39.70	n/a	n/a	10.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		LPX	B	34,000	14.99	n/a	19-Jun	non-brg 4.0
SMITH MGMT/ALDEN GLOBAL		029 LPX		S 117,500	15.28		n/a 19-Jun	3,525.00 0.0
THOMPSON SIEGAL&WALMSLEY	029	LUV	S	59,600	13.35	n/a	18-Jun	1,788.00 0.0
FOCUSED INVESTORS	084	MCD	S	3,800	97.74	n/a	17-Jun	152.00 0.0
RIDGECREST INV MGMT LLC	028	MLI	B	10,000	49.36	n/a	19-Jun	400.00 0.0
FOCUSED INVESTORS	084	MMM	S	1,300	108.27	n/a	n/a	52.00 0.0
f MANNY I KORMAN	FID	MRK	B	3000	46.41	n/a	n/a	0.00 0.0
FOCUSED INVESTORS	084	MSFT	S	1,000	33.56	n/a	n/a	40.00 0.0
FOCUSED INVESTORS	084	MS	S	5,400	25.00	n/a	6-Jun	216.00 0.0
PATTEN & PATTEN	025	MWV	B	50	33.74	n/a	18-Jun	2.50 0.0
B BUCK CAPITAL MGMT		MW	C	20,000	37.14	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		NKE	SS	50,000	60.32	n/a	19-Jun	non-brg 4.0
FOCUSED INVESTORS	084	NKE	S	1,700	60.66	n/a	19-Jun	68.00 0.0
PATTEN & PATTEN	025	NKE	B	200	60.69	n/a	19-Jun	10.00 0.0
PATTEN & PATTEN	025	NUAN	B	500	18.34	n/a	n/a	25.00 0.0
RAINIER INV MGMT	033	OHI	B	83,540	29.66	n/a	n/a	3,341.60 0.0
FOCUSED INVESTORS	084	PEP	S	4,800	80.04	n/a	n/a	192.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FOCUSED INVESTORS	084	PFE	S	6,000	28.08	n/a	n/a	240.00	0.0
PATTEN & PATTEN	025	PGJ	S	650	20.00	n/a	n/a	32.50	0.0
FOCUSED INVESTORS	084	PG	S	2,100	76.94	n/a	17-Jun	84.00	0.0
PATTEN & PATTEN	025	QCOM	B	375	62.37	n/a	n/a	18.75	0.0
B BUCK CAPITAL MGMT		RDN	B	45,000	11.22	n/a	n/a	non-brg	4.0
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	14,500	64.46	n/a	17-Jun	435.00	0.0
PATTEN & PATTEN	025	SPY	B	35	158.97	n/a	n/a	1.75	0.0
ROBERTSON STEVENS	084	TER	B	195,000	16.94	n/a	n/a	7,800.00	0.0
PATTEN & PATTEN	025	TOL	B	350	31.97	n/a	n/a	17.50	0.0
PAR CAPITAL	268	TRIP	B	13,408	61.32	n/a	n/a	536.32	0.0
PATTEN & PATTEN	025	TSCO	B	37	112.01	n/a	n/a	1.85	0.0
SYMPHONY ASSET	033	TUP	C	7,450	75.18	n/a	n/a	223.50	0.0
PATTEN & PATTEN	025	UA	B	50	57.63	n/a	19-Jun	2.50	0.0
FOCUSED INVESTORS	084	UNH	S	4,100	64.06	n/a	n/a	164.00	0.0
PATTEN & PATTEN	025	UNM	S	113	28.75	n/a	n/a	5.65	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	UNP	B	1,365	153.34	n/a	n/a	68.25	0.0
f FRANCIS MICHAEL MCCA	FID	USG	B	200	22.78	n/a	29-Apr	0.00	0.0
PATTEN & PATTEN	025	UTX	B	50	91.71	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	UTX	S	75	91.77	n/a	n/a	3.75	0.0
PATTEN & PATTEN	025	V	S	50	180.17	n/a	11-Jun	2.50	0.0
f MANNY I KORMAN	FID	WAG	S	3000	44.89	n/a	n/a	0.00	0.0
FOCUSED INVESTORS	084	WFC	S	5,100	40.29	n/a	6-Jun	204.00	0.0
PATTEN & PATTEN	025	WFC	B	525	40.47	n/a	6-Jun	26.25	0.0
FOCUSED INVESTORS	084	WLP	S	3,600	80.26	n/a	n/a	144.00	0.0
FOCUSED INVESTORS	084	WMT	S	5,700	74.63	n/a	16-May	228.00	0.0
B BUCK CAPITAL MGMT		WWW	C	20,000	51.72	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	WY	B	650	27.56	n/a	19-Jun	32.50	0.0
PATTEN & PATTEN	025	XLE	S	25	78.16	n/a	n/a	1.25	0.0
BNP PARIBAS SEC	040	XLFX	S	50,000	19.07	n/a	n/a	1,500.00	0.0
PATTEN & PATTEN	025	XLP	B	75	39.47	n/a	n/a	3.75	0.0
MERRILL ASSET/BLACKROCK	085	Y	S	2,000	371.98	n/a	n/a	80.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FOCUSED INVESTORS	084	ZMH	S	1,300	75.08	n/a	n/a	52.00	0.0
CAPITAL WORLD	084	ZQK	B	55,200	6.00	n/a	10-May	1,932.00	0.0
TOTAL (Trade Date):								55,968.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/24	TUDOR INVESTORS	028	F	B	25,000	14.46	n/a	19-Jun	750.00 0.0
AO,CXL	06/24	TUDOR INVESTORS	028	F	B	25,000	14.46	n/a	19-Jun	7.50 0.0
AO,CXL	06/24	CHARTER OAK	033	SONS	SS	104,533	3.02	n/a	n/a	5226.65 0.0
AO,CRT	06/24	CHARTER OAK	033	SONS	SS	104,533	3.02	n/a	n/a	2090.66 2.0
AO,	06/24	TUDOR INVESTORS	028	XLI	SS	10,000	41.69	n/a	n/a	300.00 0.0
AO,CXL	06/24	TUDOR INVESTORS	028	XLI	SS	10,000	41.69	n/a	n/a	3.00 0.0
TOTAL (AO, CXL, CRT) :										-2,096.49
TOTAL (Trade Date) :										55,968.82
TOTAL (AO, CXL, CRT) :										-2,096.49
TOTAL (RUN DATE) / NFS:										53,872.33

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 25-Jun.
NONE

MRI Securities without Trade Activity on 25-Jun.
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)