



Daily Compliance Activity Report

Trade Date: 06/04/2013

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 | 10 | 453.09 | n/a | n/a | 0.50 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | AIN | S | 8,015 | 31.74 | n/a | n/a | 240.45 | 0.0 |
| LISTED ERR | 099 | AIN | S | 93 | 32.09 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | ALB | S | 250 | 65.57 | n/a | n/a | 12.50 | 0.0 |
| B BUCK CAPITAL MGMT | | ANN | C | 10,000 | 31.16 | n/a | n/a | non-brg | 4.0 |
| f FRANCIS MICHAEL MCCA | FID | ASTX | S | 500 | 4.53 | n/a | n/a | 0.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | AXL | S | 25,000 | 18.02 | n/a | 4-Jun | 1,250.00 | 0.0 |
| PATTEN & PATTEN | 025 | BAC | S | 500 | 13.35 | n/a | 3-Jun | 25.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | BA | B | 20,000 | 100.78 | n/a | 28-May | 1,000.00 | 0.0 |
| PATTEN & PATTEN | 025 | BA | B | 100 | 100.18 | n/a | 28-May | 5.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BBBY | C | 15,000 | 67.00 | n/a | n/a | non-brg | 4.0 |
| f JOHN MICHAEL ZOLIDIS | FID | BBW | B | 1000 | 6.72 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BCC | B | 18,000 | 27.47 | n/a | n/a | non-brg | 4.0 |
| Õ Alice Longley | | BKLN | S | 3950 | 25.01 | n/a | n/a | 0.00 | 0.0 |
| ASCEND PARTNERS | 033 | BOBE | S | 6,089 | 46.04 | n/a | n/a | 182.67 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| NWQ INVESTMENT MGMT CO | 084 | BOBE | S | 12,400 | 46.24 | n/a | n/a | 372.00 | 0.0 |
| PATTEN & PATTEN | 025 | BP | S | 200 | 43.20 | n/a | n/a | 10.00 | 0.0 |
| PATTEN & PATTEN | 025 | CAT | S | 100 | 86.19 | n/a | 11-Jul | 5.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | CBK | B | 1000 | 6.90 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | CHS | C | 20,000 | 18.05 | n/a | 5-Feb | non-brg | 4.0 |
| HARVEST MGMT (JMP) | 029 | CHS | B | 15,000 | 17.99 | n/a | 5-Feb | 600.00 | 0.0 |
| SYMPHONY ASSET | 033 | CHS | S | 54,310 | 18.00 | n/a | 5-Feb | 1,629.30 | 0.0 |
| TOCQUEVILLE | 046 | CKP | S | 42,500 | 14.08 | n/a | n/a | 0.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | CSCO | B | 2,400 | 24.51 | n/a | 26-Feb | 72.00 | 0.0 |
| HOLLIS CAPITAL | 033 | CST | B | 6,000 | 31.24 | n/a | n/a | 300.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | DAL | S | 60,000 | 18.10 | n/a | 20-May | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DG | B | 20,000 | 49.68 | n/a | 4-Jun | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DG | B | 40,000 | 49.66 | n/a | 4-Jun | non-brg | 4.0 |
| KADE CAPITAL LLC | 028 | DG | B | 10,000 | 49.93 | n/a | 4-Jun | 400.00 | 0.0 |
| OZ MGMT | 040 | DLTR | C | 75,609 | 48.94 | n/a | 4-Jun | 2,268.27 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | DPZ | B | 100 | 60.42 | n/a | 10-May | 0.00 | 0.0 |
| IONIC CAPITAL MANAGEMENT | 041 | DRH | S | 14,700 | 9.53 | n/a | n/a | 441.00 | 0.0 |
| f FRANCIS MICHAEL MCCA | FID | ENDP | S | 300 | 36.62 | n/a | 3-Jun | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|---------------|----------|-------------|--------------|------------|------------|-------------|------------|
| PATTEN & PATTEN | 025 | ETN | S | 50 | 66.37 | n/a | 28-May | 2.50 | 0.0 |
| SCOPUS FUND | 041 | ETN | S | 40,000 | 65.85 | n/a | 28-May | 1,600.00 | 0.0 |
| PATTEN & PATTEN | 025 | EWC | S | 750 | 27.89 | n/a | n/a | 37.50 | 0.0 |
| f IAN L MILLER | FID | EWJ | S | 100 | 11.05 | n/a | n/a | 0.00 | 0.0 |
| ROARING BLUE LION MGMT | 031 | EXPR | S | 43,800 | 21.14 | n/a | n/a | 1,752.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | FBC | B | 15,900 | 13.72 | n/a | n/a | 795.00 | 0.0 |
| f SERGEI BARANOVSKY | FID | FBC | B | 30 | 0.15 | n/a | n/a | 0.00 | 0.0 |
| f JASON ERIC COHEN | FID | FBN | B | 300 | 4.39 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FCSAX | B | 36 | 13.99 | n/a | n/a | 0.00 | 0.0 |
| PLATTE RIVER CAPITAL | 046 | FIATY | B | 12,000 | 8.10 | n/a | n/a | 360.00 | 0.0 |
| f KELLY ELIZABETH CLIF | FID | FILEFX | B | 145 | 9.68 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FILEFX | B | 279 | 9.68 | n/a | n/a | 0.00 | 0.0 |
| f KELLY ELIZABETH CLIF | FID | FNSXX | S | 1400 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FNSXX | S | 2100 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | FOR | S | 25,808 | 22.44 | n/a | 9-May | 774.24 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FPCIX | S | 103 | 10.69 | n/a | n/a | 0.00 | 0.0 |
| CAERUS GLOBAL | 041 | F | SS | 13,738 | 16.00 | n/a | 4-Jun | 549.52 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------------|------------|-------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| TROUBH PART | 070 | F | SS | 50,000 | 15.80 | n/a | 4-Jun | 2,500.00 | 0.0 |
| CAPITAL GROWTH MGMT. | 241 | GGP | S | 100,000 | 20.19 | n/a | n/a | 5,000.00 | 0.0 |
| HERRING CREEK CAPITAL MGMT LLC040 | GHL | | C | 8,900 | 48.07 | n/a | n/a | 267.00 | 0.0 |
| B BUCK CAPITAL MGMT | | GIII | S | 160,000 | 50.34 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GIII | S | 34,528 | 50.21 | n/a | n/a | non-brg | 4.0 |
| COLUMBUS CIRCLE | 036 | GIII | B | 10,362 | 49.77 | n/a | n/a | 414.48 | 0.0 |
| FIRST NY SEC/CHRIS | 041 | GM | S | 10,000 | 34.98 | n/a | 4-Jun | 500.00 | 0.0 |
| LEVIN CAPITAL STRATEGIES | 041 | GM | SS | 10,000 | 34.97 | n/a | 4-Jun | 300.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | GM | S | 5,000 | 34.88 | n/a | 4-Jun | 250.00 | 0.0 |
| f SERGEI BARANOVSKY | FID | GM | S | 30 | 0.45 | n/a | 4-Jun | 0.00 | 0.0 |
| TIDE POINT CAPITAL | 028 | GM | B | 30,000 | 34.90 | n/a | 4-Jun | 900.00 | 0.0 |
| PATTEN & PATTEN | 025 | GXC | S | 200 | 70.00 | n/a | n/a | 10.00 | 0.0 |
| PATTEN & PATTEN | 025 | HDV | S | 400 | 68.00 | n/a | n/a | 20.00 | 0.0 |
| BRIGADE CAPITAL MGMT | 029 | HMA | S | 50,000 | 14.33 | n/a | n/a | 1,500.00 | 0.0 |
| IONIC CAPITAL MANAGEMENT | 041 | HST | S | 53,800 | 17.54 | n/a | 13-Jun | 1,614.00 | 0.0 |
| f SERGEI BARANOVSKY | FID | IAG | B | 25 | 0.19 | n/a | n/a | 0.00 | 0.0 |
| f LARA HUNT SMITH | FID | INTC | B | 20 | 1.48 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL ALEXANDER SM | FID | INTC | B | 10 | 1.48 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL ALEXANDER SM | FID | INTC | B | 20 | 1.48 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL ALEXANDER SM | FID | INTC | B | 50 | 1.48 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | IWM | C | 10,300 | 97.79 | n/a | n/a | non-brg | 2.0 |
| PAULSON & CO INC | 041 | IWM | SS | 70,000 | 98.58 | n/a | n/a | 2,800.00 | 0.0 |
| f RAVI SADARANGANI | FID | JCP | B | 1000 | 17.96 | n/a | 22-May | 0.00 | 0.0 |
| f ROHINI T SADARANGANI | FID | JCP | B | 500 | 17.95 | n/a | 22-May | 0.00 | 0.0 |
| FRONTIER | 029 | JEC | B | 63,467 | 56.99 | n/a | n/a | 2,538.68 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | KEY | S | 50,000 | 10.77 | n/a | n/a | 2,500.00 | 0.0 |
| f IAN L MILLER | FID | LAWS | B | 75 | 14.57 | n/a | n/a | 0.00 | 0.0 |
| IONIC CAPITAL MANAGEMENT | 041 | LHO | S | 22,300 | 26.01 | n/a | n/a | 669.00 | 0.0 |
| HERRING CREEK CAPITAL MGMT LLC040 | LL | | C | 4,100 | 79.83 | n/a | n/a | 123.00 | 0.0 |
| SMITH MGMT/ALDEN GLOBAL | 029 | LPX | B | 250,000 | 17.05 | | n/a 31-May | 7,500.00 | 0.0 |
| B BUCK CAPITAL MGMT | | LTD | S | 20,000 | 51.94 | n/a | n/a | non-brg | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | LTD | B | 25,000 | 52.27 | n/a | n/a | 750.00 | 0.0 |
| B BUCK CAPITAL MGMT | | LULU | SS | 6,000 | 82.02 | n/a | 30-May | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LUV | C | 73,470 | 13.94 | n/a | 20-May | non-brg | 4.0 |
| NWQ INVESTMENT MGMT CO | 084 | L | B | 1,500 | 45.66 | n/a | n/a | 45.00 | 0.0 |
| IONIC CAPITAL MANAGEMENT | 041 | MAR | SS | 16,100 | 41.72 | n/a | 13-Jun | 483.00 | 0.0 |
| HERRING CREEK CAPITAL MGMT LLC040 | MCO | | C | 6,000 | 65.56 | n/a | n/a | 180.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| CAPITAL GROWTH MGMT. | 241 | MHK | S | 100,000 | 105.95 | n/a | n/a | 5,000.00 | 0.0 |
| PATTEN & PATTEN | 025 | MOO | S | 300 | 53.50 | n/a | n/a | 15.00 | 0.0 |
| CR INTRINIC INVESTMENT | 044 | M | S | 60,000 | 48.73 | n/a | 21-May | 1,800.00 | 0.0 |
| SCOPUS FUND | 041 | M | SS | 50,000 | 48.12 | n/a | 21-May | 2,000.00 | 0.0 |
| f JASON ERIC COHEN | FID | NLY | B | 40 | 0.20 | n/a | n/a | 0.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | NP | S | 7,217 | 30.95 | n/a | 13-May | 216.51 | 0.0 |
| LISTED ERR | 099 | NP | B | 3,217 | 31.27 | n/a | 13-May | 0.00 | 0.0 |
| LISTED ERR | 099 | NP | S | 3,217 | 30.59 | n/a | 13-May | 0.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | PBCT | SS | 15,000 | 13.86 | n/a | 18-Apr | 750.00 | 0.0 |
| HERRING CREEK CAPITAL MGMT LLC040 | PCL | | B | 7,000 | 48.00 | n/a | 31-May | 210.00 | 0.0 |
| ASCEND PARTNERS | 033 | PVH | S | 39,682 | 113.12 | n/a | 22-Apr | 1,190.46 | 0.0 |
| f IAN L MILLER | FID | QLTY | B | 125 | 9.68 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | RDN | S | 75,000 | 12.75 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | RDN | S | 80,000 | 12.85 | n/a | n/a | non-brg | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | RKT | B | 5,000 | 98.26 | n/a | 15-May | 250.00 | 0.0 |
| B BUCK CAPITAL MGMT | | RLGY | B | 10,000 | 48.70 | n/a | n/a | non-brg | 4.0 |
| SANDLER O'NEILL ASSET | 031 | SF | SS | 25,000 | 35.59 | n/a | n/a | 1,250.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------------|------------|------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| PATTEN & PATTEN | 025 | SIRO | B | 50 | 72.56 | n/a | n/a | 2.50 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | TEVA | B | 2,000 | 38.16 | n/a | 3-Jun | 60.00 | 0.0 |
| PATTEN & PATTEN | 025 | TGT | S | 150 | 72.22 | n/a | 23-May | 7.50 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | TGT | SS | 100,000 | 71.78 | n/a | 23-May | 3,000.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | TLM | B | 5,000 | 11.73 | n/a | n/a | 150.00 | 0.0 |
| NWQ INVESTMENT MGMT CO | 084 | TMS | S | 5,856 | 14.84 | n/a | n/a | 175.68 | 0.0 |
| TIDE POINT CAPITAL | 028 | TRW | S | 15,000 | 63.21 | n/a | n/a | 450.00 | 0.0 |
| PATTEN & PATTEN | 025 | TYC | S | 250 | 33.67 | n/a | 26-Apr | 12.50 | 0.0 |
| B BUCK CAPITAL MGMT | | VHS | B | 10,000 | 13.11 | n/a | n/a | non-brg | 4.0 |
| PATTEN & PATTEN | 025 | V | S | 25 | 180.49 | n/a | 23-May | 1.25 | 0.0 |
| B BUCK CAPITAL MGMT | | WGO | B | 15,000 | 20.35 | n/a | n/a | non-brg | 4.0 |
| HERRING CREEK CAPITAL MGMT LLC | 040 | WGO | B | 12,000 | 20.33 | n/a | n/a | 360.00 | 0.0 |
| IONIC CAPITAL MANAGEMENT | 041 | WYN | SS | 2,450 | 58.72 | n/a | n/a | 73.50 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | WY | B | 15,000 | 29.66 | n/a | 31-May | 750.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING | (GGT)251 | WY | B | 5,000 | 30.10 | n/a | 31-May | 150.00 | 0.0 |
| PATTEN & PATTEN | 025 | XOM | S | 100 | 90.90 | n/a | n/a | 5.00 | 0.0 |
| f FRANCIS MICHAEL MCCA | FID | YUM | S | 300 | 68.93 | n/a | 3-Jun | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| f EDWARD W WHEELER | FID | | B | 40000 | 64.65 | n/a | n/a | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | | 63,428.51 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|----------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| AO, | 06/03 | LISTED ERR | 099 | AIN | B | 93 | 32.09 | n/a | n/a | 0.00 | 0.0 |
| AO,CRT | 06/03 | DC CAPITAL | 044 | LPX | B | 50,000 | 16.56 | n/a | 31-May | 1500.00 | 0.0 |
| AO,CXL | 06/03 | DC CAPITAL | 044 | LPX | B | 50,000 | 16.56 | n/a | 31-May | 2000.00 | 0.0 |
| AO,CXL | 06/03 | SMITH MGMT/ALDEN GLOBAL | 029 | LPX | B | 277,000 | 17.01 | n/a | 31-May | 13850.00 | 0.0 |
| AO,CRT | 06/03 | SMITH MGMT/ALDEN GLOBAL | 029 | LPX | B | 277,000 | 17.01 | n/a | 31-May | 8310.00 | 3.0 |
| AO, | 06/03 | ROYCE TRADING | 031 | UNT | B | 22,913 | 44.92 | n/a | 3-Jun | 1145.65 | 0.0 |
| AO,CXL | 06/03 | TIEDEMANN/TIG ADVISORS LLC | 006 | WTSL | S | 21,400 | 4.84 | n/a | n/a | 1070.00 | 0.0 |
| AO,CRT | 06/03 | TIEDEMANN/TIG ADVISORS LLC | 006 | WTSL | S | 21,400 | 4.84 | n/a | n/a | 1070.00 | 0.0 |

TOTAL (AO, CXL, CRT) :**-4,894.35**

TOTAL (Trade Date) :

63,428.51

TOTAL (AO, CXL, CRT) :

-4,894.35

TOTAL (RUN DATE) / NFS :**58,534.16**

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 4-Jun.
NONE

MRI Securities without Trade Activity on 4-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)