



Daily Compliance Activity Report

Trade Date: 09/18/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	S	50	461.34	n/a	n/a	40.00	80.0
f YANAI A FRANK	FID	ADSK	S	500	40.62	n/a	n/a	0.00	0.0
FOCUSED INVESTORS	084	AET	S	700	66.68	n/a	n/a	28.00	4.0
PATTEN & PATTEN	025	AGG	S	250	105.97	n/a	n/a	12.50	5.0
PATTEN & PATTEN	025	AIG	B	125	50.47	n/a	n/a	6.25	5.0
DC CAPITAL	044	ATI	S	101,200	31.23	n/a	16-Sep	4,048.00	4.0
FOCUSED INVESTORS	084	AXP	S	1,500	76.63	n/a	17-Sep	60.00	4.0
FOCUSED INVESTORS	084	BDX	S	500	101.92	n/a	n/a	20.00	4.0
B BUCK CAPITAL MGMT		BLMN	S	25,000	24.19	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BLMN	S	50,500	24.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BNFT	B	1,000	26.50	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		BNFT	S	1,000	42.50	n/a	n/a	non-brg	2.5
PATTEN & PATTEN	025	CAT	S	25	86.61	n/a	n/a	1.25	5.0
WOODWAY FINANCIAL	031	CHD	B	32,075	61.39	n/a	11-Sep	1,603.75	5.0
B BUCK CAPITAL MGMT		CLX	C	30,000	83.16	30-Aug	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	CL	B	50	59.86	n/a	11-Sep	2.50	5.0
IMPALA ASSET MMT	040	CMI	B	80,000	133.74	n/a	18-Sep	4,000.00	5.0
PATTEN & PATTEN	025	CMI	B	180	131.53	n/a	18-Sep	9.00	5.0
PATTEN & PATTEN	025	CMTL	S	130	24.25	n/a	n/a	6.50	5.0
B BUCK CAPITAL MGMT		COST	S	50,100	117.23	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	CREE	B	135	60.08	n/a	n/a	6.75	5.0
B BUCK CAPITAL MGMT		CRMB	S	50,000	1.08	n/a	n/a	non-brg	1.0
IMPALA ASSET MMT	040	CRR	B	50,000	103.22	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	025	CSD	B	125	40.57	n/a	n/a	6.25	5.0
NEWLAND CAPITAL MGT	025	CSTM	S	20,000	20.00	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	040	CSX	S	50,000	26.68	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	025	CTXS	B	50	74.00	n/a	n/a	2.50	5.0
FOCUSED INVESTORS	084	CVS	S	1,400	59.99	n/a	n/a	56.00	4.0
IMPALA ASSET MMT	040	CX	B	66,800	11.91	n/a	n/a	2,004.00	3.0
f MARC PAUL LUCHANSKY	FID	DAL	B	100	22.97	n/a	16-Sep	0.00	0.0
PATTEN & PATTEN	025	DBA	S	175	25.21	n/a	n/a	8.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	DBD	B	800	29.85	n/a	n/a	40.00	5.0
f MANNY I KORMAN	FID	DD	B	150	3.55	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	DHR	B	50	69.91	n/a	n/a	2.50	5.0
SCOPUS FUND	041	DLTR	B	30,738	57.36	n/a	27-Aug	1,229.52	4.0
CASTLEROCK	040	DRI	SS	14,824	49.60	n/a	10-Sep	592.96	4.0
PATTEN & PATTEN	025	D	S	200	61.73	n/a	n/a	10.00	5.0
IMPALA ASSET MMT	040	EEM	B	774	43.12	n/a	n/a	38.70	5.0
FRED ALGER MGMT	070	ESRX	S	2,190	63.00	n/a	n/a	78.84	4.0
OSKIE CAPITAL MGMT	224	ESRX	B	15,000	64.01	n/a	n/a	750.00	5.0
PATTEN & PATTEN	025	EWV	B	50	65.73	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	EWY	S	50	62.19	n/a	n/a	2.50	5.0
B BUCK CAPITAL MGMT		FNP	S	112,000	24.97	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FPRX	B	1,000	13.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		FPRX	S	1,000	15.51	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		FRAN	S	32,000	19.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	S	50,000	19.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FRAN	S	50,000	19.41	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		GIS	C	20,000	49.57	n/a	n/a	non-brg 3.0
S.A.C. CAPITAL	044	GPS	B	50,000	42.30	n/a	n/a	1,500.00 3.0
FOCUSED INVESTORS	084	GS	S	500	165.81	n/a	6-Sep	20.00 4.0
NEWLAND CAPITAL MGT	025	GTI	S	10,000	8.82	n/a	n/a	300.00 3.0
WADDELL AND REED	098	HAR	B	31,000	67.23	n/a	n/a	1,240.00 4.0
B BUCK CAPITAL MGMT		HDS	B	20,000	23.08	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		HDS	B	21,900	22.97	n/a	n/a	non-brg 4.0
ADAGE CAPITAL MGMT	030	HSP	B	17,060	40.14	n/a	n/a	511.80 3.0
DW INVESTMENT MGMT.	041	HTZ	B	200,000	26.90	n/a	n/a	6,000.00 3.0
PATTEN & PATTEN	025	IAU	S	100	12.73	n/a	n/a	5.00 5.0
FOCUSED INVESTORS	084	IBM	S	500	192.86	n/a	n/a	20.00 4.0
PATTEN & PATTEN	025	IBM	S	10	192.67	n/a	n/a	0.50 5.0
PATTEN & PATTEN	025	IEF	B	60	100.91	n/a	n/a	3.00 5.0
PATTEN & PATTEN	025	IEV	B	100	43.99	n/a	n/a	5.00 5.0
PATTEN & PATTEN	025	INTC	B	150	23.67	n/a	n/a	7.50 5.0
IMPALA ASSET MMT	040	IPI	S	50,000	16.93	n/a	n/a	2,000.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	IP	S	25,000	48.17	n/a	18-Sep	750.00	3.0
IONIC CAPITAL MANAGEMENT	041	IP	B	31,650	47.73	n/a	18-Sep	949.50	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	SS	20,000	47.41	n/a	18-Sep	600.00	3.0
PATTEN & PATTEN	025	IP	S	400	47.79	n/a	18-Sep	20.00	5.0
PATTEN & PATTEN	025	IRM	B	200	27.77	n/a	n/a	10.00	5.0
f YANAI A FRANK	FID	ITB	S	1500	23.43	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IWM	B	25	105.46	n/a	n/a	1.25	5.0
IMPALA ASSET MMT	040	IYT	B	9,300	120.08	n/a	n/a	465.00	5.0
BTG PACTUAL	040	JBLU	B	50,000	6.62	n/a	9-Sep	1,500.00	3.0
FOCUSED INVESTORS	084	JNJ	S	1,000	88.42	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		JOY	S	20,000	53.56	n/a	n/a	non-brg	3.0
FOCUSED INVESTORS	084	JPM	S	1,400	52.80	n/a	17-Sep	56.00	4.0
PATTEN & PATTEN	025	JWN	B	15	57.29	n/a	n/a	0.75	5.0
IMPALA ASSET MMT	040	KEX	S	400	87.28	n/a	n/a	20.00	5.0
B BUCK CAPITAL MGMT		KMX	S	25,400	50.75	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KMX	S	50,200	50.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KMX	S	60,000	51.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS 11	C77.5C	500	2.87	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		KORS 11 C77.5C		500	2.87	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		KORS 11 C77.5C		500	3.05	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		KORS 11 C77.5C		500	3.05	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		KORS	S	12,000	74.44	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KORS	S	50,000	74.05	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		KORS	S	50,000	74.44	n/a	n/a	non-brg	4.0
FOCUSED INVESTORS	084	KO	S	2,200	38.88	n/a	11-Sep	88.00	4.0
EGS ASSOCIATES LP	091	LOW	B	5,000	47.66	n/a	n/a	250.00	5.0
IMPALA ASSET MMT	040	LPX	S	71,200	17.64	n/a	18-Sep	2,848.00	4.0
⌘ BUCK CAPITAL MGMT		LVS	S	61,100	63.50	n/a	n/a	non-brg	4.0
FOCUSED INVESTORS	084	MCD	S	1,200	97.74	5-Sep	10-Sep	48.00	4.0
BMO / M&I FUNDS	047	MLI	S	48,849	56.07	n/a	n/a	1,953.96	4.0
MIDS	047	MLI	S	17	56.07	n/a	n/a	0.68	4.0
FOCUSED INVESTORS	084	MMM	S	500	120.05	n/a	n/a	20.00	4.0
PATTEN & PATTEN	025	MOS	B	100	45.15	n/a	n/a	5.00	5.0
FOCUSED INVESTORS	084	MSFT	S	3,100	32.97	n/a	n/a	124.00	4.0
TROUBH PART	070	MSFT	S	25,000	33.11	n/a	n/a	1,250.00	5.0
FOCUSED INVESTORS	084	MS	S	1,700	28.86	n/a	18-Sep	68.00	4.0
DW INVESTMENT MGMT.	041	MU	S	100,000	17.06	n/a	n/a	2,000.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MVRX	C	80,000	309.86	n/a	n/a	non-brg	24.8
PATTEN & PATTEN	025	MWV	B	450	38.29	n/a	n/a	22.50	5.0
BMO / M&I FUNDS	047	M	B	21,406	44.63	n/a	n/a	856.24	4.0
PATTEN & PATTEN	025	M	B	100	44.55	n/a	n/a	5.00	5.0
61M3	047	M	B	43	44.63	n/a	n/a	1.72	4.0
MIKF	047	M	B	72	44.63	n/a	n/a	2.88	4.0
FOCUSED INVESTORS	084	NKE	S	900	68.34	n/a	11-Sep	36.00	4.0
NEWLAND CAPITAL MGT	025	PAG	S	10,000	42.40	n/a	18-Sep	400.00	4.0
FOCUSED INVESTORS	084	PFE	S	1,500	28.70	n/a	n/a	60.00	4.0
FOCUSED INVESTORS	084	PG	S	700	78.80	n/a	11-Sep	28.00	4.0
IMPALA ASSET MMT	040	PHM	B	91,000	17.80	n/a	n/a	3,640.00	4.0
B BUCK CAPITAL MGMT		PII	S	42,300	123.83	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	S	7,700	124.36	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PLCE	S	70,100	56.96	n/a	23-Aug	non-brg	4.0
PATTEN & PATTEN	025	PRF	B	275	76.83	n/a	n/a	13.75	5.0
f MARK ANTHONY GRONET	FID	PRKR	B	2000	3.26	n/a	n/a	0.00	0.0
J. GOLDMAN	028	PX	SS	21,000	123.04	n/a	n/a	840.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	QQQ	S	100	78.44	n/a	n/a	5.00	5.0
FIRST NEW YORK	086	RAD	B	20,000	3.72	n/a	n/a	800.00	4.0
PATTEN & PATTEN	025	RHT	S	50	52.72	n/a	n/a	2.50	5.0
IONIC CAPITAL MANAGEMENT	041	RKT	B	8,600	112.10	n/a	18-Sep	258.00	3.0
SANDLER O'NEILL ASSET	031	RLGY	B	25,000	45.51	n/a	n/a	1,250.00	5.0
J. GOLDMAN	028	ROC	B	7,000	67.62	n/a	n/a	280.00	4.0
⌘ BUCK CAPITAL MGMT		ROST	S	50,000	71.27	23-Aug	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SCSS	S	20,000	24.15	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SCSS	S	30,000	24.27	n/a	n/a	non-brg	0.8
IONIC CAPITAL MANAGEMENT	041	SPY	B	7,168	170.90	n/a	n/a	215.04	3.0
PATTEN & PATTEN	025	SPY	S	70	170.85	n/a	n/a	3.50	5.0
PATTEN & PATTEN	025	STI	B	25	33.82	n/a	n/a	1.25	5.0
IRIDIAN ASSET MGMT.	036	STX	B	85,040	41.29	n/a	n/a	4,252.00	5.0
IMPALA ASSET MMT	040	SWFT	B	24,300	19.64	n/a	n/a	972.00	4.0
PRIMECAP MGMT	084	SYMC	S	5,000	25.30	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	TFM	B	150	48.69	n/a	n/a	7.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.			
GUGGENHEIM GLOBAL TRADING	(GGT)251	TFSL		S	5,000	11.45		n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	TGT		S	400	64.84		n/a	22-Aug	20.00	5.0
IMPALA ASSET MMT	040	TLT		SS	89,249	103.45		n/a	n/a	4,462.45	5.0
PAR CAPITAL	029	TRIP		S	112,692	73.67		n/a	n/a	4,507.68	4.0
IMPALA ASSET MMT	040	TRW		S	15,000	72.43		n/a	n/a	750.00	5.0
B	BUCK CAPITAL MGMT	ULTA 9 C100	C		375	18.32		n/a	n/a	non-brg	300.0
B	BUCK CAPITAL MGMT	ULTA		S	37,800	118.32		n/a	n/a	non-brg	1.0
FOCUSED INVESTORS	084	UNH		S	800	72.66		n/a	n/a	32.00	4.0
IMPALA ASSET MMT	040	UNP		B	300	157.60		n/a	n/a	15.00	5.0
IMPALA ASSET MMT	040	UNP		S	300	157.75		n/a	n/a	15.00	5.0
IMPALA ASSET MMT	040	UPS		B	4,628	90.28		n/a	n/a	231.40	5.0
f	MARK ANTHONY GRONET	FID UPS	B		400	89.86		n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT	URBN		S	25,000	38.04		n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT	URBN		S	30,000	38.04		n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT	URBN		S	50,000	37.48		n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	URBN		S	25,000	37.93		n/a	n/a	750.00	3.0
IMPALA ASSET MMT	040	WBC		S	443	85.55	17-Sep	17-Sep		22.15	5.0
FOCUSED INVESTORS	084	WFC		S	1,700	42.80		n/a	10-Sep	68.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FOCUSED INVESTORS	084	WMT	S	1,800	75.46	n/a	n/a	72.00	4.0
f EDWARD W WHEELER	FID	WNC	B	200	2.08	n/a	13-Sep	0.00	0.0
f EDWARD W WHEELER	FID	WNC	S	200	1.85	n/a	13-Sep	0.00	0.0
f JONATHAN RICHARD HAR	FID	WNC	S	2000	11.61	n/a	13-Sep	0.00	0.0
IMPALA ASSET MMT	040	WSO	S	100	91.80	n/a	n/a	5.00	5.0
f JONATHAN RICHARD HAR	FID	WTSI	B	424	3.74	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	WTSI	B	5000	3.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WYNN	S	50,000	151.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WYNN	S	60,200	152.08	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	040	WY	B	110,000	28.88	n/a	18-Sep	4,400.00	4.0
PATTEN & PATTEN	025	WY	B	500	28.19	n/a	18-Sep	25.00	5.0
PERRY PARTNERS	085	XLFI	SS	100,000	20.46	n/a	n/a	5,000.00	5.0
IMPALA ASSET MMT	040	XLU	SS	28,900	38.59	n/a	n/a	1,156.00	4.0
PATTEN & PATTEN	025	XOM	S	50	88.56	n/a	n/a	2.50	5.0
B BUCK CAPITAL MGMT		XRT	C	113,300	82.68	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XRT	C	285,300	82.25	n/a	n/a	non-brg	2.0
FOCUSED INVESTORS	084	ZMH	S	500	82.62	n/a	n/a	20.00	4.0

TOTAL (Trade Date):

80,507.52

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/17	GLG PARTNERS	044	CPN	S	12,000	19.59	n/a	n/a	360.00 0.0
AO,CXL	09/17	GLG PARTNERS	044	CPN	S	12,000	19.59	n/a	n/a	480.00 0.0
AO,CRT	09/16	TIEDEMANN/TIG ADVISORS LLC	006	MIC	B	2,210	53.81	n/a	n/a	125.50 0.0
AO,CXL	09/16	TIEDEMANN/TIG ADVISORS LLC	006	MIC	B	2,210	53.81	n/a	n/a	110.50 0.0
AO,	09/16	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	S	13,885	52.16	n/a	n/a	473.10 0.0
AO,CXL	09/16	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	S	13,885	52.16	n/a	n/a	416.55 0.0
AO,	09/17	IMPALA ASSET MMT	040	UNP	S	16,000	155.88	n/a	n/a	800.00 0.0
AO,CXL	09/17	IMPALA ASSET MMT	040	UNP	S	16,000	155.91	n/a	n/a	800.00 0.0

TOTAL (AO, CXL, CRT) :**-48.45**

TOTAL (Trade Date) :

80,507.52

TOTAL (AO, CXL, CRT) :

-48.45

TOTAL (RUN DATE) / NFS :**80,459.07**

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 18-Sep.
NONE

MRI Securities without Trade Activity on 18-Sep.
HSC

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)