



# Daily Compliance Activity Report

Trade Date: 07/16/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AA	S	150	8.09	n/a	n/a	7.50	0.0
SASCO	033	AA	B	150,000	8.10	n/a	n/a	4,500.00	0.0
PATTEN & PATTEN	025	AMLP	B	300	18.06	n/a	n/a	15.00	0.0
⚡ BUCK CAPITAL MGMT		ARO	B	35,000	14.37	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ARO	B	50,000	14.31	n/a	n/a	non-brg	4.0
⚡ BRAD LEE WILSON	FID	ATML	S	1000	7.69	n/a	n/a	0.00	0.0
BRONSON POINT	036	BA	C	5,000	104.42	n/a	11-Jun	150.00	0.0
⚡ BUCK CAPITAL MGMT		BID	SS	10,000	40.56	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BID	SS	40,000	40.54	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BONT	SS	20,000	20.12	n/a	18-Jun	non-brg	2.5
NEWLAND CAPITAL MGT	025	BRSS	S	15,000	16.51	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	CAT	S	5	87.90	n/a	11-Jul	0.25	0.0
⚡ JONATHAN RICHARD HAR	FID	CBK	S	1000	7.11	n/a	n/a	0.00	0.0
⚡ DAVID GEORGE BUCK	FID	CFN	S	1500	38.59	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CMG	SS	20,000	375.57	n/a	3-Jun	non-brg	4.0
CASTLEROCK	040	CMG	SS	2,139	375.43	n/a	3-Jun	85.56	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGADE CAPITAL MGMT	029	CWH	B	75,000	23.74	n/a	n/a	2,250.00	0.0
CORNERSTONE	030	DIS	S	150,000	65.12	n/a	n/a	4,500.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	25,000	63.53	n/a	10-May	750.00	0.0
PIMCO	084	DVA	B	8,000	117.73	n/a	n/a	160.00	0.0
DSM CAPITAL PARTNERS	085	EFX	B	4,325	61.44	n/a	n/a	216.25	0.0
LEVIN CAPITAL STRATEGIES	041	ETN	SS	15,000	67.01	n/a	12-Jun	450.00	0.0
DSM CAPITAL PARTNERS	085	EXPE	B	4,120	65.23	n/a	n/a	206.00	0.0
SYSTEMATIC FINANCIAL MGT	070	FL	S	84,875	36.72	n/a	19-Jun	2,546.25	0.0
TYVOR CAPITAL LLC	031	FRAN	S	3,043	29.51	n/a	n/a	76.08	0.0
SCOPUS FUND	041	F	B	180,000	16.61	n/a	19-Jun	7,200.00	0.0
CAERUS GLOBAL	041	GM	S	25,000	36.45	n/a	19-Jun	1,000.00	0.0
LOMAS CAPITAL	040	GRA	SS	16,250	85.33	n/a	n/a	487.50	0.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>GURU</b>	<b>B</b>	<b>25</b>	<b>21.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIMCO	084	HFC	SS	53,000	41.95	n/a	n/a	2,650.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HMA</b>	<b>S</b>	<b>2525</b>	<b>8.49</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.	
<b>B BUCK CAPITAL MGMT</b>		<b>HMB SS</b>	<b>SS</b>	<b>20,000</b>	<b>35.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
1798 CAP/LOMBARD ASSET	040	HON	B	10,000	82.42	n/a	19-Apr	500.00	0.0
ENTRUST CAPITAL	040	HPQ	S	11,790	26.29	n/a	n/a	589.50	0.0
LEVIN CAPITAL STRATEGIES	041	HUN	S	10,000	17.12	n/a	n/a	300.00	0.0
INVESCO	031	IPG	S	220,000	15.63	n/a	n/a	8,800.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	IP	B	25,000	48.46	n/a	17-Jun	750.00	0.0
SAGE ASSET MGMT	025	IP	S	8,300	48.30	n/a	17-Jun	415.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	50,000	17.69	n/a	18-Jun	2,500.00	0.0
SCOPUS FUND	041	JCP	S	16,091	17.66	n/a	18-Jun	643.64	0.0
WEISS PECK/ROBECO/BOSTON PT		040 JNY	S	100,000	15.76		n/a	2-May	5,000.00 0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>S</b>	<b>20</b>	<b>0.20</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	LOW	S	1,800	43.79	n/a	n/a	72.00	0.0
CR INTRINIC INVESTMENT	044	LULU	B	10,000	64.40	n/a	19-Jun	300.00	0.0
RIVERLOFT CAPITAL	044	MTG	S	40,000	6.12	n/a	n/a	1,200.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	36.75	n/a	13-May	400.00	0.0
<b>f BRAD LEE WILSON</b>	<b>FID</b>	<b>NUAN</b>	<b>S</b>	<b>165</b>	<b>19.19</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.	
TIEDEMANN/TIG ADVISORS LLC006	ODP		S	25,000	4.30	n/a	n/a	1,000.00	0.0
PRIMECAP MGMT	084	PKI	B	2,000	33.68	n/a	n/a	80.00	0.0
⚡ BUCK CAPITAL MGMT		RAD	B	250,000	2.92	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		RAD	B	250,000	2.97	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		RAD	B	500,000	2.95	n/a	n/a	non-brg	2.0
STATE OF WISCONSIN	047	RAI	C	41,000	51.83	n/a	n/a	1,640.00	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	16,300	104.25	n/a	17-Jun	652.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	RRGB		S	3,416	60.18	n/a	n/a	n/a	102.48 0.0
⚡ BUCK CAPITAL MGMT		SCSS 8 C30	SS	2,500	0.76	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		SMG	SS	25,000	50.12	n/a	17-Jun	non-brg	4.0
DSM CAPITAL PARTNERS	085	SODA	S	9,715	59.94	n/a	n/a	485.75	0.0
CR INTRINIC INVESTMENT	044	SSI	S	30,000	24.72	n/a	18-Jun	900.00	0.0
WADDELL AND REED	047	SSI	B	48,200	24.73	n/a	18-Jun	1,928.00	0.0
⚡ JASON ERIC COHEN	FID	STLY	B	1000	3.77	n/a	n/a	0.00	0.0
TYVOR CAPITAL LLC	031	SWY	B	27,228	24.76	n/a	n/a	680.70	0.0
⚡ BUCK CAPITAL MGMT		TGT	SS	10,000	72.12	n/a	23-May	non-brg	4.0
SANDLER CAPITAL	028	TRW	S	197,500	67.15	n/a	n/a	9,875.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>TSLA</b>	<b>B</b>	<b>25</b>	<b>109.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACELLUM CAPITAL	086	UA	B	38,000	60.14	n/a	19-Jun	1,140.00	0.0
PATTEN & PATTEN	025	VB	B	160	98.95	n/a	n/a	8.00	0.0
PATTEN & PATTEN	025	VO	B	200	99.16	n/a	n/a	10.00	0.0
PATTEN & PATTEN	025	VV	B	450	76.68	n/a	n/a	22.50	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>S</b>	<b>10</b>	<b>1.53</b>	<b>n/a</b>	<b>11-Jun</b>	<b>0.00</b>	<b>0.0</b>
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	12,000	24.01	n/a	n/a	360.00	0.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>WY</b>	<b>B</b>	<b>50</b>	<b>29.43</b>	<b>n/a</b>	<b>19-Jun</b>	<b>0.00</b>	<b>0.0</b>
OSKIE CAPITAL MGMT	224	WY	B	60,000	29.45	n/a	19-Jun	3,000.00	0.0
RIDGECREST INV MGMT LLC	028	WY	S	15,000	29.38	n/a	19-Jun	600.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>XRX</b>	<b>S</b>	<b>30000</b>	<b>9.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>		<b>S</b>	<b>245000</b>	<b>102.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>71,804.96</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/15	DAVIDSON KEMPNER FRAN	028	EXPR	B	7,719	23.00	n/a	n/a	385.95	0.0
AO,CRT	07/15	DAVIDSON KEMPNER FRAN	028	EXPR	B	7,719	23.00	n/a	n/a	385.95	0.0
AO,CRT	07/15	S.A.C. CAPITAL	044	MOS	B	25,000	56.00	n/a	n/a	750.00	0.0
AO,CXL	07/15	S.A.C. CAPITAL	044	MOS	B	25,000	56.00	n/a	n/a	750.00	0.0
AO,CRT	07/15	ROSEDALE CAPITAL	046	NUAN	B	15,000	19.06	n/a	n/a	600.00	4.0
AO,CXL	07/15	ROSEDALE CAPITAL	046	NUAN	B	15,000	19.06	n/a	n/a	750.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-150.00</b>	
TOTAL (Trade Date) :										71,804.96	
TOTAL (AO, CXL, CRT) :										-150.00	
<b>TOTAL (RUN DATE) / NFS:</b>										<b>71,654.96</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 16-Jul.  
NONE

MRI Securities without Trade Activity on 16-Jul.  
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)**