



# Daily Compliance Activity Report

Trade Date: 08/13/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	250,000	3.42	n/a	n/a	7,500.00	0.0
PATTEN & PATTEN	025	AGN	B	150	90.16	n/a	17-Jun	7.50	0.0
PATTEN & PATTEN	025	AIG	B	350	47.95	n/a	n/a	17.50	0.0
PIMCO	084	AIG	B	50,000	48.35	n/a	n/a	1,500.00	0.0
HAHN CAPITAL MANAGEMENT	084	ALB	B	1,330	63.28	n/a	n/a	66.50	0.0
DAVIDSON KEMPNER ADVISOR	281	ARCO	C	32,200	12.84	n/a	2-May	1,610.00	0.0
HAHN CAPITAL MANAGEMENT	084	A	B	1,988	46.86	n/a	n/a	99.40	0.0
HAHN CAPITAL MANAGEMENT	084	BGC	B	3,956	32.36	n/a	n/a	197.80	0.0
NEUBERGER BERMAN	036	BKU	B	49,300	30.67	n/a	n/a	1,972.00	0.0
NEUBERGER BERMAN	036	BRCD	S	229,700	6.93	n/a	n/a	4,594.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BRSS</b>	<b>S</b>	<b>5000</b>	<b>20.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	BTO	B	2,000	22.99	n/a	n/a	100.00	0.0
PATTEN & PATTEN	025	CAT	S	250	86.87	n/a	11-Jul	12.50	0.0
PATTEN & PATTEN	025	CBI	B	500	59.55	n/a	n/a	25.00	0.0
NEUBERGER BERMAN	036	CBRL	B	9,600	98.82	n/a	n/a	384.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	CBU	B	4,900	34.09	n/a	n/a	196.00	0.0
HAHN CAPITAL MANAGEMENT	084	CFN	B	4,507	37.74	n/a	n/a	225.35	0.0
HAHN CAPITAL MANAGEMENT	084	CIT	B	5,074	49.66	n/a	13-Jun	253.70	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>C</b>	<b>15,100</b>	<b>405.86</b>	<b>n/a</b>	<b>3-Jun</b>	<b>non-brg</b>	<b>4.0</b>
1798 CAP/LOMBARD ASSET	040	CMI	B	5,000	127.27	n/a	n/a	250.00	0.0
NEUBERGER BERMAN	036	COG	S	20,000	75.00	n/a	13-Jun	800.00	0.0
THREE G	041	COH	SS	9,407	53.03	n/a	30-May	282.21	0.0
HAHN CAPITAL MANAGEMENT	084	CRI	B	3,265	70.13	n/a	n/a	163.25	0.0
HAHN CAPITAL MANAGEMENT	084	CVA	B	8,931	20.97	n/a	n/a	446.55	0.0
<b>Õ James Mitchell</b>		<b>CVGI</b>	<b>S</b>	<b>11</b>	<b>7.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ James Mitchell</b>		<b>CVGI</b>	<b>S</b>	<b>589</b>	<b>7.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>CWH</b>	<b>S</b>	<b>100</b>	<b>25.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>C</b>	<b>S</b>	<b>10</b>	<b>0.21</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>SS</b>	<b>20,000</b>	<b>80.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>B</b>	<b>26,000</b>	<b>18.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	DLR	S	500	54.28	n/a	n/a	25.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	DNR	B	11,185	17.51	n/a	n/a	559.25	0.0
<b>f ALEXANDRA ELISE ZOLI</b>	<b>FID</b>	<b>DVN</b>	<b>S</b>	<b>150</b>	<b>57.47</b>	<b>n/a</b>	<b>13-Jun</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	D	S	500	60.10	n/a	n/a	25.00	0.0
HAHN CAPITAL MANAGEMENT	084	EEFT	B	3,800	37.86	n/a	n/a	190.00	0.0
PATTEN & PATTEN	025	ETN	B	400	67.02	n/a	12-Jun	20.00	0.0
PATTEN & PATTEN	025	EWC	S	1,500	27.72	n/a	n/a	75.00	0.0
TYVOR CAPITAL LLC	031	EXPR	B	30,000	21.46	n/a	n/a	900.00	0.0
<b>Õ James Mitchell</b>		<b>EZU</b>	<b>B</b>	<b>950</b>	<b>36.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	EZU	B	1,000	36.30	n/a	n/a	50.00	0.0
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>2000</b>	<b>16.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	FFIN	B	21,600	58.17	n/a	n/a	864.00	0.0
KENNEDY CAPITAL	046	FINL	B	27,360	22.01	n/a	19-Jun	1,094.40	0.0
EGS ASSOCIATES LP	091	FL	B	5,000	34.89	n/a	19-Jun	250.00	0.0
NEUBERGER BERMAN	036	FNB	B	39,900	12.91	n/a	n/a	1,596.00	0.0
HAHN CAPITAL MANAGEMENT	084	FRC	B	3,626	44.62	n/a	n/a	181.30	0.0
OZ MGMT	040	F	C	198,356	17.07	n/a	19-Jun	5,950.68	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	GS	S	1,454	161.99	n/a	6-May	58.16	0.0
HAHN CAPITAL MANAGEMENT	084	GTLS	B	1,713	115.49	n/a	n/a	85.65	0.0
HAHN CAPITAL MANAGEMENT	084	HCC	B	5,967	44.43	n/a	n/a	298.35	0.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>HLF</b>	<b>S</b>	<b>230</b>	<b>65.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	287	HSIC	B	50,000	107.21	n/a	n/a	1,500.00	0.0
HAHN CAPITAL MANAGEMENT	084	HST	B	13,111	17.53	n/a	13-Jun	655.55	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HSY</b>	<b>B</b>	<b>1500</b>	<b>97.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HAHN CAPITAL MANAGEMENT	084	HXL	B	7,441	37.08	n/a	22-Apr	372.05	0.0
HAHN CAPITAL MANAGEMENT	084	IEX	B	2,943	61.52	n/a	n/a	147.15	0.0
PATTEN & PATTEN	025	INTC	B	550	22.46	n/a	n/a	27.50	0.0
PERRY PARTNERS	085	IWM	B	317,000	104.48	n/a	n/a	15,850.00	0.0
BTG PACTUAL	040	JBLU	B	21,424	6.31	n/a	18-Jun	642.72	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>B</b>	<b>60,000</b>	<b>6.16</b>	<b>n/a</b>	<b>18-Jun</b>	<b>non-brg</b>	<b>3.0</b>
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>JBLU</b>	<b>B</b>	<b>2000</b>	<b>6.33</b>	<b>n/a</b>	<b>18-Jun</b>	<b>0.00</b>	<b>0.0</b>
HAHN CAPITAL MANAGEMENT	084	JEC	B	3,597	60.96	n/a	n/a	179.85	0.0
PATTEN & PATTEN	025	JWN	B	100	59.54	n/a	18-Jun	5.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	KMP	B	1,935	81.76	n/a	n/a	96.75	0.0
SCOPUS FUND	041	KORS	B	50,000	72.29	n/a	30-May	2,000.00	0.0
THREE G	041	KORS	S	6,931	72.12	n/a	30-May	207.93	0.0
HAHN CAPITAL MANAGEMENT	084	KR	B	7,449	38.96	n/a	n/a	372.45	0.0
NEW VERNON	031	LCC	S	140,000	17.02	n/a	18-Jun	7,000.00	0.0
PAR CAPITAL	029	LCC	B	100,000	16.96	n/a	18-Jun	3,000.00	0.0
SMITH MGMT/ALDEN GLOBAL		029 LCC	S	2,000,000	16.49		n/a 18-Jun	60,000.00	0.0
STELLIAM INV ADV	086	LCC	S	50,000	16.72	n/a	18-Jun	2,000.00	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>LCC</b>	<b>B</b>	<b>1,800</b>	<b>17.01</b>	<b>n/a</b>	<b>18-Jun</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	LLY	S	400	55.49	n/a	n/a	20.00	0.0
DC CAPITAL	044	LPX	B	50,000	16.65	n/a	19-Jun	2,000.00	0.0
DAVIDSON KEMPNER ADVISOR	281	LTD	C	25,000	61.09	n/a	n/a	1,250.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MOH</b>	<b>B</b>	<b>14,100</b>	<b>35.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>NAV</b>	<b>B</b>	<b>3000</b>	<b>34.40</b>	<b>n/a</b>	<b>11-Jul</b>	<b>0.00</b>	<b>0.0</b>
HAHN CAPITAL MANAGEMENT	084	NSR	B	5,239	55.14	n/a	n/a	261.95	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>OWW</b>	<b>B</b>	<b>25,000</b>	<b>10.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>OWW</b>	<b>S</b>	<b>25,000</b>	<b>10.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PHMD</b>	<b>S</b>	<b>2000</b>	<b>14.48</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</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>B</b>	<b>20,000</b>	<b>53.97</b>	<b>n/a</b>	<b>24-May</b>	<b>non-brg</b>	<b>2.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>B</b>	<b>60,000</b>	<b>53.77</b>	<b>n/a</b>	<b>24-May</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	PLCE	B	10,000	54.07	n/a	24-May	400.00	0.0
HAHN CAPITAL MANAGEMENT	084	PRE	B	2,325	88.03	n/a	n/a	116.25	0.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>PSDV</b>	<b>S</b>	<b>9600</b>	<b>3.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HAHN CAPITAL MANAGEMENT	084	PVH	B	1,610	131.81	n/a	14-Jun	80.50	0.0
HAHN CAPITAL MANAGEMENT	084	PXD	B	1,616	174.16	n/a	13-Jun	80.80	0.0
CHARTERBRIDGE CAPITAL	025	P	B	50,000	20.50	n/a	n/a	1,500.00	0.0
NEUBERGER BERMAN	036	RBA	S	21,000	19.28	n/a	n/a	840.00	0.0
CAMBIAR CAP	046	RDEN	B	75,000	35.20	n/a	17-Jun	3,000.00	0.0
HAHN CAPITAL MANAGEMENT	084	ROP	B	1,016	127.49	n/a	n/a	50.80	0.0
HAHN CAPITAL MANAGEMENT	084	ROST	B	3,470	67.88	n/a	18-Jun	173.50	0.0
THREE G	041	ROST	B	58,823	67.85	n/a	18-Jun	1,764.69	0.0
HAHN CAPITAL MANAGEMENT	084	RS	B	3,085	70.74	n/a	n/a	154.25	0.0
NOKOMIS PARTNERS	031	SATS	S	46,503	43.77	n/a	n/a	1,395.09	0.0
HAHN CAPITAL MANAGEMENT	084	SEIC	B	5,820	32.27	n/a	n/a	291.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>SHOO</b>	<b>SS</b>	<b>20,000</b>	<b>54.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DPB CAPITAL	029	SIRI	B	5,000	3.83	n/a	n/a	250.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	SPR	S	20,000	25.04	n/a	2-May	600.00	0.0
MOORE CAPITAL	257	SPY	C	75,000	169.78	n/a	n/a	2,250.00	0.0
LAKEWOOD CAPITAL MGMT	085	SRC	B	25,000	8.85	n/a	n/a	750.00	0.0
CHARTERBRIDGE CAPITAL	025	TWC	B	10,000	113.15	n/a	n/a	300.00	0.0
1798 CAP/LOMBARD ASSET	040	TWI	C	10,000	17.33	n/a	n/a	500.00	0.0
COLUMBUS CIRCLE	036	UNFI	B	2,119	62.54	n/a	n/a	84.76	0.0
Õ James Mitchell		VGK	B	560	53.17	n/a	n/a	0.00	0.0
Õ James Mitchell		VGK	B	90	53.16	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VNO	S	200	82.96	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VNO	S	2520	83.10	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	VNO	S	201	83.03	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	VPFG	B	10,400	21.07	n/a	n/a	416.00	0.0
HAHN CAPITAL MANAGEMENT	084	VRX	B	2,801	102.98	n/a	n/a	140.05	0.0
HAHN CAPITAL MANAGEMENT	084	WAB	B	3,932	58.59	n/a	n/a	196.60	0.0
f DAVID GEORGE BUCK	FID	WAG	B	250	50.54	n/a	n/a	0.00	0.0
HAHN CAPITAL MANAGEMENT	084	WDR	B	3,767	51.18	n/a	2-Mar	188.35	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTERBRIDGE CAPITAL	025	WEN	C	25,000	8.01	n/a	20-May	750.00	0.0
HAHN CAPITAL MANAGEMENT	084	WFT	B	8,356	14.97	n/a	n/a	417.80	0.0
S.A.C. CAPITAL	044	WMT	SS	30,000	76.71	n/a	16-May	900.00	0.0
SAGE ASSET MGMT	025	WMT	SS	6,100	76.50	n/a	16-May	305.00	0.0
HAHN CAPITAL MANAGEMENT	084	WU	B	9,138	18.58	n/a	n/a	456.90	0.0
CRAMER ROSENTHAL	070	WYNN	B	25,500	138.57	n/a	13-Jun	1,020.00	0.0
MOORE CAPITAL	257	XLI	B	110,000	45.76	n/a	n/a	3,300.00	0.0
MOORE CAPITAL	257	XLU	SS	130,000	38.76	n/a	n/a	3,900.00	0.0
Õ James Mitchell		eeem	B	600	40.05	n/a	n/a	0.00	0.0
<b>TOTAL (Trade Date):</b>								<b>157,087.29</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/12	FARALLON CAP MGMT	040	AMT	B	45,000	69.96	n/a	n/a	1350.00 0.0
AO,CRT	08/12	FARALLON CAP MGMT	040	AMT	B	45,000	69.96	n/a	n/a	1800.00 4.0
AO,CRT	08/12	FARALLON CAP MGMT	040	DIS	S	40,000	64.09	n/a	n/a	1600.00 4.0
AO,CXL	08/12	FARALLON CAP MGMT	040	DIS	S	40,000	64.09	n/a	n/a	1200.00 0.0
AO,	08/12	COLUMBUS CIRCLE	036	HAR	B	6,760	70.55	n/a	3-Feb	270.40 0.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,120.40</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	157,087.29
TOTAL (AO, CXL, CRT) :	1,120.40

---

<b>TOTAL (RUN DATE) / NFS :</b>	<b>158,207.69</b>
---------------------------------	-------------------

---

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	08/08	BUCK CAPITAL MGMT.	GOOG	S	10,000	600.00	n/a	n/a	200.00
CRT	08/08	BUCK CAPITAL MGMT	GOOG	S	9,000	600.00	n/a	n/a	180.00 2.0

MRI Securities with Trade Activity on 13-Aug.  
NONE

MRI Securities without Trade Activity on 13-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)**