



Daily Compliance Activity Report

Trade Date: 07/18/2013

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	854	8.21	n/a	n/a	42.70	0.0
VISIUM/BALY BOBBY	044	AA	SS	50,000	8.19	n/a	n/a	2,000.00	0.0
COLUMBIA PARTNERS	028	ACTG	S	739	25.33	n/a	n/a	29.56	0.0
f CHRISTOPHER ROBERT C	FID	ACW	B	500	6.68	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	ADT	S	2000	42.60	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	ADT	S	3000	42.58	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	AGCO	S	394	54.71	n/a	n/a	15.76	0.0
PARAMETER CAPITAL MGMT LLC	044	AGCO	SS	25,000	54.62	n/a	n/a	750.00	0.0
COLUMBIA PARTNERS	028	AKRX	S	801	13.49	n/a	n/a	32.04	0.0
f EDWARD W WHEELER	FID	ALB	B	1000	62.62	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	ALV	B	7,013	84.51	n/a	19-Jun	280.52	0.0
COLUMBIA PARTNERS	028	AMBA	S	815	18.67	n/a	n/a	32.60	0.0
PARAMETER CAPITAL MGMT LLC	044	AME	S	35,000	45.66	n/a	n/a	1,050.00	0.0
PATTEN & PATTEN	025	AML	S	300	18.14	n/a	n/a	15.00	0.0
TYVOR CAPITAL LLC	031	ANN	SS	10,000	33.68	n/a	n/a	250.00	0.0
f LEE F BACKUS	FID	ARP	S	5000	22.58	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	SNEJANA P GARFUNKEL	FID	ARP	S	1000	22.57	n/a	n/a	0.00	0.0
	COLUMBIA PARTNERS	028	ASGN	S	536	30.35	n/a	n/a	21.44	0.0
	COLUMBIA PARTNERS	028	ATHN	S	353	114.59	n/a	n/a	14.12	0.0
	LEVIN CAPITAL STRATEGIES	041	A	S	21,506	45.73	n/a	n/a	645.18	0.0
B	BUCK CAPITAL MGMT		BID	SS	20,000	41.42	n/a	n/a	non-brg	4.0
	COLUMBIA PARTNERS	028	BIOS	S	1,561	16.46	n/a	n/a	62.44	0.0
	COLUMBIA PARTNERS	028	BNNY	S	519	43.88	n/a	n/a	20.76	0.0
	COLUMBIA PARTNERS	028	BSFT	S	534	30.44	n/a	n/a	21.36	0.0
	COLUMBIA PARTNERS	028	BWLD	S	186	99.68	n/a	n/a	7.44	0.0
	CADIAN CAPITAL	041	CAKE	B	30,900	43.92	n/a	25-Apr	1,545.00	0.0
	PATTEN & PATTEN	025	CAT	S	595	85.86	n/a	11-Jul	29.75	0.0
f	JONATHAN RICHARD HAR	FID	CBK	S	1500	7.17	n/a	n/a	0.00	0.0
	KLEINHEINZ CAP PART	031	CHK	B	200,000	22.39	n/a	n/a	10,000.00	0.0
	COLUMBIA PARTNERS	028	CLB	S	143	150.64	n/a	13-Jun	5.72	0.0
	COLUMBIA PARTNERS	028	CMG	S	46	375.46	n/a	3-Jun	1.84	0.0
f	IAN L MILLER	FID	CMI	B	10	116.96	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CNI	S	15	101.42	n/a	n/a	0.75	0.0
S.A.C. CAPITAL	044	COH	SS	25,000	58.47	n/a	30-May	750.00	0.0
COLUMBIA PARTNERS	028	CTRX	S	265	50.42	n/a	n/a	10.60	0.0
EVERGREEN	047	DAL	B	200,000	20.58	n/a	18-Jun	8,000.00	0.0
GALT INVESTMENT	041	DECK	S	12,000	57.00	n/a	n/a	600.00	0.0
ESSENCIAL CAPITAL	031	DELL	S	10,000	13.16	n/a	n/a	300.00	0.0
B BUCK CAPITAL MGMT		DGX	B	8,500	59.00	n/a	n/a	non-brg	4.0
BTG PACTUAL	040	DKS	B	20,000	50.99	n/a	19-Jun	600.00	0.0
PATTEN & PATTEN	025	DOW	B	805	34.61	n/a	n/a	40.25	0.0
BARON ASSET MGMT*	006	DWA	B	25,000	24.57	n/a	n/a	750.00	0.0
CAPITAL WORLD	084	EBAY	B	75,682	53.26	n/a	n/a	2,648.87	0.0
PATTEN & PATTEN	025	EWZ	S	1,514	27.75	n/a	n/a	75.70	0.0
PATTEN & PATTEN	025	EWZ	S	455	44.19	n/a	n/a	22.75	0.0
f YANAI A FRANK	FID	FCS	B	1600	12.85	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	FCX	B	1,150	28.33	n/a	n/a	57.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	FCX	S	290	28.26	n/a	n/a	14.50	0.0
COLUMBIA PARTNERS	028	FIO	S	702	14.49	n/a	n/a	28.08	0.0
SCOPUS FUND	041	F	B	100,000	16.92	n/a	19-Jun	4,000.00	0.0
PATTEN & PATTEN	025	GE	S	100	23.83	n/a	n/a	5.00	0.0
RIVERLOFT CAPITAL	044	GE	B	50,000	23.83	n/a	n/a	1,500.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	GHL	SS	7,700	49.65	n/a	n/a	231.00	0.0
COLUMBIA PARTNERS	028	GNRC	S	403	41.33	n/a	n/a	16.12	0.0
PATTEN & PATTEN	025	GOV	S	16	26.50	n/a	n/a	0.80	0.0
LOMAS CAPITAL	040	GRA	SS	8,500	83.64	n/a	n/a	255.00	0.0
MERRILL ASSET/BLACKROCK	085	HAFC	B	34,600	17.79	n/a	n/a	1,384.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	HLF	B	100	55.30	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	HMC	S	1,550	38.93	n/a	n/a	77.50	0.0
COLUMBIA PARTNERS	028	HTWR	S	143	94.86	n/a	n/a	5.72	0.0
COLUMBIA PARTNERS	028	IMAX	S	509	25.34	n/a	n/a	20.36	0.0
PATTEN & PATTEN	025	INTC	B	800	23.29	n/a	n/a	40.00	0.0
INVESCO	031	IPG	S	455,000	15.83	n/a	n/a	18,200.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	CSFB GLOBAL PROPRIETARY	041	IP	SS	17,675	48.16	n/a	17-Jun	883.75	0.0	
	CSFB GLOBAL PROPRIETARY	041	IP	S	27,325	48.10	n/a	17-Jun	1,366.25	0.0	
f	FIRST NY SEC/CHRIS	041	JBLU	B	10,000	6.89	n/a	18-Jun	500.00	0.0	
	IAN L MILLER	FID	JBLU	S	200	6.88	n/a	18-Jun	0.00	0.0	
	BASSWOOD PARTNERS	267	JCI	SS	3,200	40.15	n/a	10-Jun	128.00	0.0	
	BASSWOOD PARTNERS	267	JCI	S	5,600	40.28	n/a	10-Jun	224.00	0.0	
f	ALEXANDRA ELISE ZOLI	FID	JCP	S	600	16.15	n/a	18-Jun	0.00	0.0	
f	JOHN MICHAEL ZOLIDIS	FID	JCP	S	600	16.15	n/a	18-Jun	0.00	0.0	
	WEISS PECK/ROBECO/BOSTON PT		040	JNY	S	50,000	15.53	n/a	2-May	2,500.00	0.0
	CORNERSTONE	030	JOY	B	227,042	50.48	n/a	11-Jul	6,811.26	0.0	
	BTG PACTUAL	040	KMT	B	15,000	40.89	n/a	n/a	450.00	0.0	
B	BUCK CAPITAL MGMT		KORS	B	30,000	61.48	n/a	30-May	non-brg	4.0	
	SCOPUS FUND	041	LAD	B	3,800	59.37	n/a	n/a	152.00	0.0	
f	DOUGLAS R ROGERS	FID	LGND	B	500	45.88	n/a	n/a	0.00	0.0	
	PARAMETER CAPITAL MGMT LLC	044	LM	SS	20,000	33.79	n/a	2-Mar	600.00	0.0	
	COLUMBIA PARTNERS	028	LQDT	S	311	29.55	n/a	n/a	12.44	0.0	
	COLUMBIA PARTNERS	028	LULU	S	207	66.11	n/a	19-Jun	8.28	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	LUV	B	10,000	13.82	n/a	18-Jun	500.00	0.0
EVERGREEN	047	MAN	S	42,600	61.80	n/a	n/a	1,704.00	0.0
COLUMBUS CIRCLE	036	MDVN	S	1,400	55.00	n/a	n/a	56.00	0.0
COLUMBIA PARTNERS	028	MELI	S	208	107.20	n/a	n/a	8.32	0.0
B BUCK CAPITAL MGMT		MS	S	35,000	27.44	n/a	6-Jun	non-brg	4.0
MASTERS CAPITAL MANAGE	025	MTG	S	50,000	6.68	n/a	n/a	2,000.00	0.0
f YANAI A FRANK	FID	MXIM	B	365	27.50	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	NFLX	S	40	265.53	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	OMEX	S	2,508	3.34	n/a	n/a	75.24	0.0
PATTEN & PATTEN	025	PEP	S	12	86.90	n/a	n/a	0.60	0.0
PATTEN & PATTEN	025	PG	S	35	80.39	n/a	17-Jun	1.75	0.0
LONG OAR GLOBAL INV	040	POT	SS	20,000	38.04	n/a	n/a	800.00	0.0
f MARK ANTHONY GRONET	FID	PRKR	B	2000	4.50	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	PRLB	S	479	64.85	n/a	n/a	19.16	0.0
COLUMBIA PARTNERS	028	PSMT	S	301	89.31	n/a	n/a	12.04	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	QCOR	S	282	46.81	n/a	n/a	11.28	0.0
PRIMECAP MGMT	084	QGEN	B	2,000	20.62	n/a	n/a	80.00	0.0
COLUMBIA PARTNERS	028	QLIK	S	546	31.90	n/a	n/a	21.84	0.0
⚡ BUCK CAPITAL MGMT		RAD	B	100,000	2.93	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		RAD	B	200,000	2.94	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		RAD	B	200,000	2.95	n/a	n/a	non-brg	2.0
COLUMBIA PARTNERS	028	RALY	S	654	26.77	n/a	n/a	26.16	0.0
COLUMBUS CIRCLE	036	RDN	B	14,300	13.24	n/a	n/a	572.00	0.0
CYRUS CAPITAL	025	RKT	SS	10,000	105.33	n/a	17-Jun	300.00	0.0
COLUMBIA PARTNERS	028	RRC	S	237	77.71	n/a	13-Jun	9.48	0.0
COLUMBIA PARTNERS	028	RVBD	S	619	16.89	n/a	n/a	24.76	0.0
⚡ IAN L MILLER	FID	SCHW	S	60	21.36	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SCSS 8 C30	C	3,000	0.15	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		SCSS	S	40,000	24.11	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SLM	S	20,000	24.73	n/a	14-Jun	non-brg	4.0
COLUMBIA PARTNERS	028	SPLK	S	315	49.67	n/a	n/a	12.60	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	SPY	C	5,738	169.00	n/a	n/a	172.14	0.0
COLUMBIA PARTNERS	028	SSYS	S	194	89.76	n/a	n/a	7.76	0.0
f LEE F BACKUS	FID	SUSP	S	3000	29.37	n/a	n/a	0.00	0.0
TYVOR CAPITAL LLC	031	SWY	B	25,000	25.64	n/a	n/a	625.00	0.0
B BUCK CAPITAL MGMT		TEVA	S	12,600	39.85	n/a	17-Jun	non-brg	4.0
PARAMETER CAPITAL MGMT LLC	044	TEX	B	30,000	29.47	n/a	n/a	900.00	0.0
COLUMBIA PARTNERS	028	TRGP	S	407	67.97	n/a	n/a	16.28	0.0
COLUMBIA PARTNERS	028	TSLA	S	117	120.21	n/a	n/a	4.68	0.0
PATTEN & PATTEN	025	T	B	482	35.72	n/a	n/a	24.10	0.0
COLUMBIA PARTNERS	028	UA	S	470	61.06	n/a	19-Jun	18.80	0.0
COLUMBIA PARTNERS	028	UBNT	S	1,101	20.95	n/a	n/a	44.04	0.0
B BUCK CAPITAL MGMT		UCP	B	100,000	14.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		UCP	B	105,000	14.60	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		UCP	B	20,000	15.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		UCP	B	5,000	13.77	n/a	n/a	non-brg	1.0
COLUMBIA PARTNERS	028	ULTA	S	161	97.46	n/a	n/a	6.44	0.0
EPOCH INV MGMT	030	USLM	B	2,479	57.55	n/a	n/a	74.37	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	VB	S	160	100.36	n/a	n/a	8.00	0.0
HOLLIS CAPITAL	033	VLO	S	5,000	34.96	n/a	n/a	250.00	0.0
PATTEN & PATTEN	025	VO	S	200	100.27	n/a	n/a	10.00	0.0
COLUMBIA PARTNERS	028	VSI	S	397	49.59	n/a	n/a	15.88	0.0
PATTEN & PATTEN	025	VV	S	450	77.39	n/a	n/a	22.50	0.0
CR INTRINIC INVESTMENT	044	WAG	B	10,000	51.12	n/a	n/a	300.00	0.0
PARAMETER CAPITAL MGMT LLC	044	WCC	B	10,000	72.24	n/a	n/a	300.00	0.0
COLUMBIA PARTNERS	028	WDAY	S	257	67.94	n/a	n/a	10.28	0.0
COLUMBIA PARTNERS	028	WLL	S	404	50.80	n/a	n/a	16.16	0.0
f IAN L MILLER	FID	WNC	B	150	10.30	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	WNC	B	2000	10.26	n/a	n/a	0.00	0.0
f KEVIN MAREK	FID	WNC	B	80	10.21	n/a	n/a	0.00	0.0
LONG OAR GLOBAL INV	040	WNC	B	50,000	10.39	n/a	n/a	2,000.00	0.0
B BUCK CAPITAL MGMT		WSM	SS	10,000	58.62	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ZTS	B	16,200	31.02	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								81,205.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/17	ALLIANZ GLOBAL INVESTOR	084	CBK	B	18,137	7.16	n/a	n/a	634.80 0.0
AO,CRT	07/17	CENTURION PARTNERS	041	UAL	B	5,927	31.92	n/a	18-Jun	237.08 4.0
AO,CXL	07/17	CENTURION PARTNERS	041	UAL	B	5,927	31.92	n/a	18-Jun	296.35 0.0
AO,CRT	07/17	PATTEN & PATTEN	025	ZTS	S	478	30.91	n/a	n/a	23.90 0.0
AO,CXL	07/17	PATTEN & PATTEN	025	ZTS	S	478	30.91	n/a	n/a	23.90 0.0

TOTAL (AO, CXL, CRT) :	575.53
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TOTAL (Trade Date) :	81,205.37
TOTAL (AO, CXL, CRT) :	575.53

TOTAL (RUN DATE) / NFS :	81,780.90
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	07/16	BUCK CAPITAL MGMT	RLGY	B	12,500	48.50	n/a	n/a	0.00	0.0
CRT	07/16	BUCK CAPITAL MGMT	RLGY	B	7,500	48.50	n/a	n/a	0.00	0.0
AO	07/17	BUCK CAPITAL MGMT	SCSS	B	40,000	24.68	n/a	n/a	400.00	1.0

MRI Securities with Trade Activity on 18-Jul.
NONE

MRI Securities without Trade Activity on 18-Jul.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)