



Daily Compliance Activity Report

Trade Date: 08/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|-----------|----------------|--------------|------------|---------------|----------------|------------|
| CRAMER ROSENTHAL | 070 | ALL | B | 7,070 | 49.32 | n/a | n/a | 282.80 | 0.0 |
| SHEFFIELD ASSET MGMT | 031 | ARO | B | 45,000 | 12.46 | n/a | n/a | 1,350.00 | 0.0 |
| HARVEST MGMT (JMP) | 029 | ATVI | SS | 10,000 | 17.22 | n/a | n/a | 500.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | AXL | B | 30,000 | 19.79 | n/a | 19-Jun | 1,200.00 | 0.0 |
| SCOPUS FUND | 041 | AXL | B | 50,000 | 19.71 | n/a | 19-Jun | 2,000.00 | 0.0 |
| MOORE CAPITAL | 257 | BAC | S | 100,000 | 14.35 | n/a | 17-Jun | 3,000.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BCC | B | 10,000 | 23.81 | n/a | n/a | non-brg | 4.0 |
| f JOHN MICHAEL ZOLIDIS | FID | BIG | S | 100 | 35.49 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | BP | S | 200 | 41.27 | n/a | n/a | 10.00 | 0.0 |
| B BUCK CAPITAL MGMT | | CAR | B | 18,000 | 28.50 | n/a | n/a | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | COG | S | 11,015 | 37.00 | n/a | 13-Jun | 440.60 | 0.0 |
| LAKEWOOD CAPITAL MGMT | 085 | COLE | S | 20,000 | 11.28 | n/a | n/a | 600.00 | 0.0 |
| TALON ASSET MGMT. | 006 | CRM | S | 2,500 | 43.75 | n/a | n/a | 125.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | CTRN | B | 2000 | 14.25 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | DAL | SS | 193,965 | 19.24 | n/a | 18-Jun | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------------|------------|------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | DAL | S | 50,000 | 19.04 | n/a | 18-Jun | non-brg | 4.0 |
| HERRING CREEK CAPITAL MGMT LLC | 040 | DDS | | SS | 30,000 | 84.67 | n/a | n/a | 900.00 0.0 |
| B BUCK CAPITAL MGMT | | DHI | B | 20,000 | 17.74 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DSW | C | 10,000 | 79.49 | n/a | 11-Feb | non-brg | 4.0 |
| TALON ASSET MGMT. | 006 | DVA | S | 3,500 | 113.55 | n/a | n/a | 175.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | EXPR | B | 25,000 | 21.02 | n/a | n/a | 1,250.00 | 0.0 |
| NEUBERGER BERMAN | 036 | FELE | B | 5,857 | 37.04 | n/a | n/a | 234.28 | 0.0 |
| OZ MGMT | 040 | F | C | 59,340 | 16.48 | n/a | 19-Jun | 1,780.20 | 0.0 |
| KAM ADVISORS LLC | 041 | GE | SS | 100,000 | 24.03 | n/a | n/a | 3,000.00 | 0.0 |
| LAKEWOOD CAPITAL MGMT | 085 | GMCR | SS | 3,000 | 74.45 | n/a | n/a | 90.00 | 0.0 |
| OZ MGMT | 040 | GM | B | 50,000 | 34.69 | n/a | 19-Jun | 2,500.00 | 0.0 |
| B BUCK CAPITAL MGMT | | GPS | B | 10,000 | 43.53 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GPS | B | 10,000 | 43.80 | n/a | n/a | non-brg | 4.0 |
| MAPLE LANE CAPITAL | 040 | GRPN | B | 50,000 | 9.82 | n/a | n/a | 2,000.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | HTZ | B | 100 | 24.13 | n/a | n/a | 0.00 | 0.0 |
| f YANAI A FRANK | FID | ITB | B | 750 | 20.21 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|-------------|----------|-----------|---------------|------------|------------|-------------|------------|
| ⌘ BUCK CAPITAL MGMT | | ITX SM | S | 87,075 | 136.68 | n/a | n/a | non-brg | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | JBLU | B | 140,000 | 6.30 | n/a | 18-Jun | non-brg | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | JBLU | B | 40,000 | 6.28 | n/a | 18-Jun | non-brg | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | JBLU | B | 60,000 | 6.31 | n/a | 18-Jun | non-brg | 3.0 |
| MFP INVESTORS | 085 | JCP | S | 20,000 | 13.41 | n/a | 18-Jun | 1,000.00 | 0.0 |
| BASSWOOD PARTNERS | 267 | JWN | C | 17,943 | 59.25 | n/a | 18-Jun | 717.72 | 0.0 |
| MACELLUM CAPITAL | 086 | KSS | S | 40,000 | 53.41 | n/a | 18-Jun | 1,200.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | LNKD | S | 50 | 228.67 | n/a | n/a | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | LPX | B | 35,000 | 15.08 | n/a | 19-Jun | 1,750.00 | 0.0 |
| DELTEC ASSET MGMT. | 040 | M | B | 9,000 | 45.55 | n/a | 18-Jun | 450.00 | 0.0 |
| PRIMECAP MGMT | 084 | NEM | S | 5,000 | 32.28 | n/a | n/a | 200.00 | 0.0 |
| TALON ASSET MGMT. | 006 | N | S | 1,000 | 93.54 | n/a | n/a | 50.00 | 0.0 |
| CADIAN CAPITAL | 041 | ONNN | B | 100,000 | 7.26 | n/a | n/a | 3,000.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | PSMT | SS | 2,159 | 87.78 | n/a | n/a | 107.95 | 0.0 |
| HARVEST MGMT (JMP) | 029 | PVH | S | 6,000 | 126.91 | n/a | 14-Jun | 300.00 | 0.0 |
| TALON ASSET MGMT. | 006 | QLIK | S | 5,000 | 32.65 | n/a | n/a | 250.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| f DAVID GEORGE BUCK | FID | REGN | S | 1000 | 236.82 | n/a | n/a | 0.00 | 0.0 |
| VISIUM/BALY BOBBY | 044 | RFMD | B | 15,400 | 4.85 | n/a | n/a | 462.00 | 0.0 |
| VISIUM/BALY BOBBY | 044 | RFMD | S | 65,400 | 4.85 | n/a | n/a | 1,962.00 | 0.0 |
| COUGAR TRADING | 044 | RTH | SS | 5,000 | 53.60 | n/a | n/a | 250.00 | 0.0 |
| f EDWARD W WHEELER | FID | R | B | 100 | 0.40 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | SBUX | S | 15 | 0.77 | n/a | 17-Jun | 0.00 | 0.0 |
| TALON ASSET MGMT. | 006 | SBUX | S | 5,000 | 70.96 | n/a | 17-Jun | 250.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SCSS | S | 15,000 | 21.83 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | SCSS | S | 15,000 | 22.01 | n/a | n/a | non-brg | 4.0 |
| RIDGECREST INV MGMT LLC | 028 | TEX | B | 7,000 | 31.16 | n/a | n/a | 280.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | TGT | B | 50,000 | 68.95 | n/a | 23-May | 1,500.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | TRIP | S | 50 | 70.42 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ULTA | B | 20,000 | 99.67 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 10,000 | 40.18 | n/a | n/a | non-brg | 4.0 |
| PATTEN & PATTEN | 025 | UTX | S | 100 | 103.39 | n/a | n/a | 5.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | VIA | S | 2000 | 78.65 | n/a | n/a | 0.00 | 0.0 |
| CADIAN CAPITAL | 041 | VMW | SS | 55,000 | 83.65 | n/a | n/a | 1,650.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|------------------|------------|
| S.A.C. CAPITAL | 044 | VMW | B | 40,000 | 83.59 | n/a | n/a | 1,200.00 | 0.0 |
| MOORE CAPITAL | 257 | VZ | C | 25,000 | 48.58 | n/a | n/a | 750.00 | 0.0 |
| TALON ASSET MGMT. | 006 | VZ | S | 10,000 | 48.50 | n/a | n/a | 500.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | V | S | 1000 | 174.87 | n/a | 11-Jun | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | WAG | B | 1000 | 49.52 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | WGO | B | 20,000 | 22.27 | n/a | n/a | non-brg | 4.0 |
| HERRING CREEK CAPITAL MGMT LLC040 | WGO | | B | 13,411 | 21.98 | n/a | n/a | 402.33 | 0.0 |
| f JONATHAN RICHARD HAR | FID | WNC | B | 500 | 10.38 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | WTSL | B | 2000 | 4.09 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | WYNN | B | 30,000 | 138.81 | n/a | 13-Jun | non-brg | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 39,674.88 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | AGN | B | 150 | 90.16 | n/a | 17-Jun | 7.50 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | AGN | B | 150 | 90.16 | n/a | 17-Jun | 7.50 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | AIG | B | 350 | 47.95 | n/a | n/a | 17.50 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | AIG | B | 350 | 47.95 | n/a | n/a | 17.50 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | BTO | B | 2,000 | 22.99 | n/a | n/a | 100.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | BTO | B | 2,000 | 22.99 | n/a | n/a | 100.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | CAT | S | 250 | 86.87 | n/a | 11-Jul | 12.50 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | CAT | S | 250 | 86.87 | n/a | 11-Jul | 12.50 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | CBI | B | 500 | 59.55 | n/a | n/a | 25.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | CBI | B | 500 | 59.55 | n/a | n/a | 25.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | D | S | 500 | 60.10 | n/a | n/a | 25.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | D | S | 500 | 60.10 | n/a | n/a | 25.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | DLR | S | 500 | 54.28 | n/a | n/a | 25.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | DLR | S | 500 | 54.28 | n/a | n/a | 25.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | ETN | B | 400 | 67.02 | n/a | 12-Jun | 20.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | ETN | B | 400 | 67.02 | n/a | 12-Jun | 20.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | EWC | S | 1,500 | 27.72 | n/a | n/a | 75.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | EWC | S | 1,500 | 27.72 | n/a | n/a | 75.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | EZU | B | 1,000 | 36.30 | n/a | n/a | 50.00 | 0.0 |

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | EZU | B | 1,000 | 36.30 | n/a | n/a | 50.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | INTC | B | 550 | 22.46 | n/a | n/a | 27.50 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | INTC | B | 550 | 22.46 | n/a | n/a | 27.50 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | JWN | B | 100 | 59.54 | n/a | 18-Jun | 5.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | JWN | B | 100 | 59.54 | n/a | 18-Jun | 5.00 | 0.0 |
| AO,CRT | 08/13 | PATTEN & PATTEN | 025 | LLY | S | 400 | 55.49 | n/a | n/a | 20.00 | 0.0 |
| AO,CXL | 08/13 | PATTEN & PATTEN | 025 | LLY | S | 400 | 55.49 | n/a | n/a | 20.00 | 0.0 |
| AO,CRT | 08/14 | FIRST NEW YORK | 086 | NOK | B | 20,000 | 4.18 | n/a | n/a | 800.00 | 0.0 |
| AO,CXL | 08/14 | FIRST NEW YORK | 086 | NOK | B | 20,000 | 4.18 | n/a | n/a | 1000.00 | 0.0 |

| | |
|-------------------------------|----------------|
| TOTAL (AO, CXL, CRT) : | -200.00 |
|-------------------------------|----------------|

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 39,674.88 |
| TOTAL (AO, CXL, CRT) : | -200.00 |

| | |
|--------------------------------|------------------|
| TOTAL (RUN DATE) / NFS: | 39,474.88 |
|--------------------------------|------------------|

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 15-Aug.
NONE

MRI Securities without Trade Activity on 15-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)