



Daily Compliance Activity Report

Trade Date: 12/02/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	AAPL	S	486	555.05	n/a	n/a	19.44	4.0
PATTEN & PATTEN	025	ABBV	S	200	48.48	n/a	n/a	10.00	5.0
INTERVAL PARTNERS	033	AEO	B	15,000	16.29	n/a	n/a	450.00	3.0
FRED ALGER MGMT	300	ALXN	S	9,800	123.65	n/a	n/a	352.80	4.0
f ALICE BEEBE LONGLEY	FID	AMZN	S	15	391.59	n/a	n/a	0.00	0.0
CASTLE ARK	031	AMZN	S	669	391.88	n/a	n/a	26.76	4.0
CASTLE ARK	031	ANSS	S	7,511	86.10	n/a	n/a	300.44	4.0
CASTLE ARK	031	APC	S	3,363	88.76	n/a	n/a	134.52	4.0
PATTEN & PATTEN	025	APC	S	50	88.59	n/a	n/a	2.50	5.0
B BUCK CAPITAL MGMT		BBBY	SS	19,000	78.18	n/a	n/a	non-brg	4.0
CASTLE ARK	031	BIIB	S	2,227	295.88	n/a	n/a	89.08	4.0
CASTLE ARK	031	BLK	S	553	306.74	n/a	n/a	22.12	4.0
TIEDEMANN/TIG ADVISORS LLC006		BRP	S	10,000	21.66	n/a	n/a	500.00	5.0
CASTLE ARK	031	BWA	S	6,726	106.69	n/a	2-Dec	269.04	4.0
CASTLE ARK	031	CBG	S	14,162	24.48	n/a	n/a	424.86	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	CBI	B	200	76.95	n/a	n/a	10.00	5.0
COUGAR TRADING	044	CBK	B	10,000	6.15	n/a	n/a	500.00	5.0
CR INTRINIC INVESTMENT	044	CCL	SS	10,000	36.03	n/a	n/a	300.00	3.0
f MANNY I KORMAN	FID	CLUB	B	10000	13.45	n/a	n/a	0.00	0.0
f ELLIOT LUCHANSKY	FID	CMCSA	S	72	49.49	n/a	n/a	0.00	0.0
CASTLE ARK	031	CME	S	8,968	82.10	n/a	n/a	358.72	4.0
CASTLE ARK	031	CMI	S	1,682	133.40	n/a	12-Nov	67.28	4.0
PATTEN & PATTEN	025	CNI	S	120	57.73	n/a	n/a	6.00	5.0
B BUCK CAPITAL MGMT		COH	SS	25,000	56.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COH	SS	57,800	56.48	n/a	n/a	non-brg	4.0
MARSICO CAPITAL	046	COH	B	25,000	56.51	n/a	n/a	1,000.00	4.0
SANDLER CAPITAL	028	COH	SS	240,000	56.65	n/a	n/a	12,000.00	5.0
T. ROWE PRICE	243	COH	B	450,000	56.72	n/a	n/a	13,500.00	3.0
B BUCK CAPITAL MGMT		CONN	S	7,700	59.18	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		CONN	S	8,900	59.19	n/a	n/a	non-brg	2.0
CASTLE ARK	031	COST	S	7,287	124.25	n/a	n/a	291.48	4.0
KENNEDY CAPITAL	046	CTRN	B	12,180	16.47	n/a	n/a	487.20	4.0
CASTLE ARK	031	C	S	14,237	53.19	n/a	19-Nov	569.48	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	DBA	S	125	24.80	n/a	n/a	6.25	5.0
PATTEN & PATTEN	025	DBD	B	75	33.81	n/a	n/a	3.75	5.0
B BUCK CAPITAL MGMT		DECK	B	10,000	83.76	n/a	n/a	non-brg	3.0
PATTEN & PATTEN	025	DUK	S	382	69.37	n/a	n/a	19.10	5.0
PATTEN & PATTEN	025	D	S	75	64.62	n/a	n/a	3.75	5.0
CHARTERBRIDGE CAPITAL	025	EA	SS	28,000	21.87	n/a	n/a	840.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	ESRX	S	20,000	67.00	n/a	n/a	600.00	3.0
f JASON ERIC COHEN	FID	ESSX	B	1000	2.79	n/a	n/a	0.00	0.0
HERRING CREEK CAPITAL	040	ETN	B	2,332	72.32	n/a	6-Nov	69.96	3.0
SHEFFIELD ASSET MGMT	031	FDO	B	25,500	69.69	n/a	27-Nov	1,020.00	4.0
PATTEN & PATTEN	025	FHN	S	18,100	11.22	n/a	n/a	905.00	5.0
CASTLE ARK	031	FLT	S	2,690	122.02	n/a	n/a	107.60	4.0
HERRING CREEK CAPITAL	040	FOSL	SS	5,620	126.07	n/a	n/a	168.60	3.0
PATTEN & PATTEN	025	F	B	500	17.13	n/a	2-Dec	25.00	5.0
PATTEN & PATTEN	025	GD	S	50	91.86	8-Nov	n/a	2.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	GILD	S	14,349	74.47	n/a	n/a	573.96	4.0
PATTEN & PATTEN	025	GLD	S	2,450	118.56	n/a	n/a	122.50	5.0
DELTEC ASSET MGMT.	040	GMCR	B	10,000	68.40	19-Nov[i]	27-Nov	500.00	5.0
CAERUS GLOBAL	041	GM	S	25,000	39.09	n/a	2-Dec	1,000.00	4.0
CASTLE ARK	031	GNC	S	9,828	59.65	n/a	n/a	393.12	4.0
CASTLE ARK	031	GOOG	S	5721,055.42		n/a	n/a	22.88	4.0
CASTLE ARK	031	HD	S	8,408	80.14	n/a	n/a	336.32	4.0
HAWK RIDGE	025	HMHC	B	22,684	17.58	n/a	n/a	680.52	3.0
NEWLAND CAPITAL MGT	025	HSC	B	10,000	26.22	n/a	12-Nov	400.00	4.0
PATTEN & PATTEN	025	IAU	S	400	11.86	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	IBM	S	50	178.17	n/a	n/a	2.50	5.0
KENNEDY CAPITAL	046	ICON	S	32,880	40.28	n/a	n/a	1,315.20	4.0
PATTEN & PATTEN	025	IDV	B	75	37.36	n/a	n/a	3.75	5.0
DELTEC ASSET MGMT.	040	IP	S	10,000	47.02	n/a	21-Nov	500.00	5.0
f ELLIOT LUCHANSKY	FID	IR	S	23	56.04	15-Nov	19-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	IXN	B	25	80.95	n/a	n/a	1.25	5.0
CASTLE ARK	031	JBHT	S	8,968	76.01	n/a	n/a	358.72	4.0
COUGAR TRADING	044	JBLU	S	25,000	8.74	n/a	27-Nov	1,250.00	5.0
COOPER CREEK PART	028	JCP	B	20,000	10.04	n/a	2-Dec	800.00	4.0
SCOPUS FUND	041	JCP	B	40,000	10.02	n/a	2-Dec	1,600.00	4.0
PATTEN & PATTEN	025	JWN	S	200	62.09	15-Nov	2-Dec	10.00	5.0
COBALT	041	KBH	SS	100,000	17.35	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	KMB	S	175	107.68	n/a	6-Nov	8.75	5.0
PATTEN & PATTEN	025	KMI	B	2,606	35.28	n/a	n/a	130.30	5.0
CASTLE ARK	031	KORS	S	9,603	81.99	6-Nov	6-Nov	384.12	4.0
CR INTRINIC INVESTMENT	044	KORS	B	20,000	81.78	6-Nov	6-Nov	600.00	3.0
⚡ BUCK CAPITAL MGMT		KSS	B	32,800	55.29	n/a	2-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KSS	B	50,000	55.07	n/a	2-Dec	non-brg	4.0
CASTLE ARK	031	KSU	S	5,680	122.01	n/a	n/a	227.20	4.0
KINGDON ASSET MGMT	041	LB	S	25,000	65.76	n/a	n/a	1,000.00	4.0
WAGONHOUND/NICOLAS	033	LCC	S	50,228	23.43	n/a	27-Nov	2,009.12	4.0
CASTLE ARK	031	LECO	S	3,662	72.40	n/a	n/a	146.48	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DOUGLAS R ROGERS	FID	LGND	B	17	57.04	n/a	n/a	0.00	0.0
	CASTLE ARK	031	LNKD	S	2,840	220.35	n/a	n/a	113.60	4.0
	FRED ALGER MGMT	300	LRCX	S	25,500	51.65	n/a	n/a	918.00	4.0
B	BUCK CAPITAL MGMT		LZB	S	31,409	29.04	n/a	n/a	non-brg	3.0
	CASTLE ARK	031	MA	S	964	760.44	n/a	27-Nov	38.56	4.0
	SAC CHRIS C	041	MCK	B	10,000	164.65	n/a	n/a	300.00	3.0
	CASTLE ARK	031	MIDD	S	2,369	225.27	n/a	n/a	94.76	4.0
	PATTEN & PATTEN	025	MMM	S	100	130.59	n/a	n/a	5.00	5.0
	CASTLE ARK	031	MON	S	2,205	114.09	n/a	n/a	88.20	4.0
	PATTEN & PATTEN	025	MOS	B	1,400	48.09	n/a	n/a	70.00	5.0
	JETSTREAM GLOBAL FUND LP	065	MOVE	S	37,500	15.07	n/a	n/a	1,875.00	5.0
	PATTEN & PATTEN	025	MSFT	B	10,450	38.50	n/a	n/a	522.50	5.0
B	BUCK CAPITAL MGMT		MS	B	67,600	31.70	n/a	15-Nov	non-brg	4.0
	PATTEN & PATTEN	025	NEE	S	100	83.90	n/a	n/a	5.00	5.0
f	MARC PAUL LUCHANSKY	FID	NLY	S	500	10.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	NOK	B	35,650	8.01	n/a	n/a	1,782.50	5.0
BASSWOOD PARTNERS	267	NYCB	C	144,913	16.57	n/a	n/a	5,796.52	4.0
PATTEN & PATTEN	025	ORCL	S	50	35.17	n/a	n/a	2.50	5.0
B BUCK CAPITAL MGMT		OWW	B	25,000	6.70	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		OWW	B	40,000	6.81	n/a	n/a	non-brg	3.0
CASTLE ARK	031	PANW	S	2,765	49.14	n/a	n/a	110.60	4.0
CASTLE ARK	031	PCAR	S	6,315	57.36	n/a	n/a	252.60	4.0
B BUCK CAPITAL MGMT		PETM	SS	20,000	72.60	n/a	n/a	non-brg	4.0
CASTLE ARK	031	PETM	S	3,251	73.25	n/a	n/a	130.04	4.0
HERRING CREEK CAPITAL	040	PETM	SS	10,636	72.88	n/a	n/a	319.08	3.0
CASTLE ARK	031	PFE	S	19,581	31.79	n/a	n/a	783.24	4.0
PATTEN & PATTEN	025	PFE	B	100	31.80	n/a	n/a	5.00	5.0
CASTLE ARK	031	PG	S	7,698	83.49	n/a	6-Nov	307.92	4.0
PATTEN & PATTEN	025	PG	S	200	83.32	n/a	6-Nov	10.00	5.0
CASTLE ARK	031	PH	S	7,885	118.14	n/a	n/a	315.40	4.0
CASTLE ARK	031	PKI	S	12,294	38.17	n/a	n/a	491.76	4.0
f MANNY I KORMAN	FID	PNRA	B	3000	179.30	n/a	n/a	0.00	0.0
CASTLE ARK	031	QCOM	S	7,324	73.51	n/a	n/a	292.96	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TIEDEMANN/TIG ADVISORS LLC006		QLTY	S	14,416	12.34	n/a	n/a	720.80	5.0
B BUCK CAPITAL MGMT		RH	S	25,000	74.69	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	10,000	173.82	n/a	7-Nov	non-brg	4.0
CASTLE ARK	031	RRC	S	6,352	77.26	n/a	n/a	254.08	4.0
CR INTRINIC INVESTMENT	044	SBH	B	40,000	28.12	n/a	n/a	1,200.00	3.0
CASTLE ARK	031	SBUX	S	10,799	81.29	n/a	20-Nov	431.96	4.0
PATTEN & PATTEN	025	SE	S	150	33.58	n/a	n/a	7.50	5.0
CASTLE ARK	031	SHW	S	3,251	182.38	n/a	n/a	130.04	4.0
PATTEN & PATTEN	025	SIRO	B	2,300	68.74	n/a	n/a	115.00	5.0
CASTLE ARK	031	SLB	S	2,018	88.13	n/a	n/a	80.72	4.0
INTERVAL PARTNERS	033	SODA	SS	2,500	57.34	n/a	n/a	75.00	3.0
CASTLE ARK	031	SSYS	S	1,013	118.90	n/a	n/a	40.52	4.0
CASTLE ARK	031	SWN	S	17,750	39.38	n/a	n/a	710.00	4.0
CASTLE ARK	031	TDC	S	11,696	45.67	n/a	n/a	467.84	4.0
BMO / M&I FUNDS	047	TFM	B	10,300	40.49	n/a	n/a	412.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TFM	S	100	40.55	n/a	n/a	5.00	5.0
CADIAN CAPITAL	041	TGT	S	30,000	62.70	n/a	2-Dec	900.00	3.0
PATTEN & PATTEN	025	TIF	S	300	88.25	n/a	n/a	15.00	5.0
CASTLE ARK	031	TJX	S	16,143	63.23	20-Nov	20-Nov	645.72	4.0
KINGDON ASSET MGMT	041	TJX	S	25,000	62.93	20-Nov	20-Nov	1,000.00	4.0
STELLIAM INV ADV	086	TOL	B	20,000	33.90	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	TSCO	S	344	74.22	n/a	n/a	17.20	5.0
SCOPUS FUND	041	TWX	S	25,000	65.69	n/a	n/a	1,000.00	4.0
f ELLIOT LUCHANSKY	FID	T	S	22	34.96	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	T	B	1,200	35.07	n/a	n/a	60.00	5.0
B BUCK CAPITAL MGMT		URBN	B	10,000	37.65	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	VEU	B	400	50.15	n/a	n/a	20.00	5.0
PATTEN & PATTEN	025	VMC	B	650	56.85	n/a	n/a	32.50	5.0
PATTEN & PATTEN	025	VMW	S	50	80.04	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	V	S	150	204.81	n/a	27-Nov	7.50	5.0
CASTLE ARK	031	WAB	S	8,146	69.39	n/a	n/a	325.84	4.0
PATTEN & PATTEN	025	WAG	B	9,380	59.14	n/a	n/a	469.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ELLIOT LUCHANSKY	FID	WBC	S	33	89.72	n/a	n/a	0.00	0.0
CSL ASSOCIATES	006	WNC	S	10,000	12.05	n/a	25-Nov	400.00	4.0
PATTEN & PATTEN	025	WY	B	1,225	29.69	n/a	27-Nov	61.25	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	XLFX	SS	23,000	21.50	n/a	n/a	690.00	3.0
CASTLE ARK	031	XLNX	S	16,218	44.38	n/a	n/a	648.72	4.0
CR INTRINIC INVESTMENT	044	ZQK	S	50,000	8.79	n/a	n/a	1,500.00	3.0
f DOUGLAS R ROGERS	FID		B	25000	87.45	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								81,936.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									81,936.35
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									81,936.35

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 2-Dec.
NONE

MRI Securities without Trade Activity on 2-Dec.
ALGT, UNP

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)