



Daily Compliance Activity Report

Trade Date: 07/08/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AIG	B	250	45.60	n/a	n/a	12.50	0.0
f DAVID GEORGE BUCK	FID	AMZN	S	10	2.43	n/a	n/a	0.00	0.0
TALON ASSET MGMT.	006	AXL	B	20,000	19.32	n/a	19-Jun	1,000.00	0.0
FARALLON CAP MGMT	040	AZO	S	10,100	433.11	n/a	n/a	404.00	0.0
f DAVID GEORGE BUCK	FID	BAM	B	400	35.69	n/a	n/a	0.00	0.0
CR INTRINIC INVESTMENT	044	BBBY	B	10,000	73.91	n/a	n/a	300.00	0.0
B BUCK CAPITAL MGMT		BIG	C	30,000	33.49	n/a	n/a	non-brg	4.0
JET CAPITAL/CHRIS	041	BKH	S	10,000	49.72	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	BTO	B	150	22.95	n/a	n/a	7.50	0.0
f JONATHAN RICHARD HAR	FID	CACH	S	11400	4.60	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	CBI	B	250	60.20	n/a	n/a	12.50	0.0
PATTEN & PATTEN	025	CB	S	50	87.00	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	CL	B	475	58.48	n/a	17-Jun	23.75	0.0
f DAVID GEORGE BUCK	FID	CMG	S	10	3.14	n/a	3-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		COLM	SS	1,509	65.95	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	025	CSCO	B	200	24.49	n/a	26-Feb	10.00	0.0
PATTEN & PATTEN	025	CTXS	B	325	63.17	n/a	n/a	16.25	0.0
f DAVID GEORGE BUCK	FID	CVS	S	4015	59.41	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CVS	S	500	59.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DHI	B	25,000	20.10	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	DIS	B	800	64.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	DLR	B	50	59.53	n/a	n/a	2.50	0.0
PATTEN & PATTEN	025	DOW	B	75	33.23	n/a	n/a	3.75	0.0
PATTEN & PATTEN	025	D	S	75	56.96	n/a	n/a	3.75	0.0
PATTEN & PATTEN	025	EEM	B	150	37.46	n/a	n/a	7.50	0.0
B BUCK CAPITAL MGMT		EL	B	20,000	68.61	n/a	17-Jun	non-brg	4.0
PATTEN & PATTEN	025	FCX	S	100	27.45	n/a	n/a	5.00	0.0
f ROBERT LEE CHRISTENS	FID	FDLXX	S	512	1.00	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	FOXA	S	165,000	30.31	n/a	n/a	6,600.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	GHL	SS	9,700	46.34	n/a	n/a	291.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	GLD	S	100	119.58	n/a	n/a	5.00	0.0
CR INTRINIC INVESTMENT	044	GNC	S	10,000	46.43	n/a	n/a	300.00	0.0
f DAVID GEORGE BUCK	FID	GS	B	10	0.34	n/a	6-May	0.00	0.0
BALYASNY ASSET MGMT	044	GT	B	199,679	16.13	n/a	n/a	9,983.95	0.0
B BUCK CAPITAL MGMT		HDS	B	10,000	19.81	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HDS	B	10,000	19.81	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HDS	B	20,000	19.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HDS	B	20,000	19.72	n/a	n/a	non-brg	4.0
RIDGECREST INV MGMT LLC	028	HFC	B	2,500	41.53	n/a	n/a	100.00	0.0
KLEINHEINZ CAP PART	031	HOS	B	75,000	57.29	n/a	n/a	3,750.00	0.0
NEWLAND CAPITAL MGT	025	HSC	S	42,204	24.02	n/a	9-May	1,688.16	0.0
TALON ASSET MGMT.	006	IBM	SS	3,000	194.95	n/a	n/a	150.00	0.0
PATTEN & PATTEN	025	IGM	B	25	75.64	n/a	n/a	1.25	0.0
f MANNY I KORMAN	FID	INTC	S	10000	23.17	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	INTC	B	100	23.12	n/a	n/a	5.00	0.0
PATTEN & PATTEN	025	JWN	B	175	62.69	n/a	18-Jun	8.75	0.0
f ROBERT LEE CHRISTENS	FID	KDHAX	S	141	38.93	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	KMB	SS	25,000	97.93	n/a	17-Jun	750.00	0.0
f ROBERT LEE CHRISTENS	FID	KTCAX	S	470	15.75	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	LIFE	S	1,500	74.21	n/a	n/a	60.00	0.0
PATTEN & PATTEN	025	LLY	S	625	51.13	n/a	n/a	31.25	0.0
PRIMECAP MGMT	084	LLY	B	27,300	51.06	n/a	n/a	1,092.00	0.0
PROSPECTOR PARTNERS LLC	036	LM	B	10,000	30.79	n/a	2-Mar	400.00	0.0
PATTEN & PATTEN	025	LOW	B	775	43.52	n/a	n/a	38.75	0.0
GEORGE WEISS	278	MCD	S	25,000	99.91	n/a	17-Jun	750.00	0.0
f HARALAMBOS EFSTATHI	FID	MFB	B	600	17.81	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	MIC	S	200	54.67	n/a	n/a	10.00	0.0
DISCIPLINED GROWTH INV.	030	MIDD	S	1,800	179.30	n/a	n/a	90.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	MJN	SS	16,600	69.90	n/a	n/a	498.00	0.0
PATTEN & PATTEN	025	MMM	S	25	112.25	n/a	n/a	1.25	0.0
PATTEN & PATTEN	025	MRK	S	50	47.52	n/a	n/a	2.50	0.0
HERRING CREEK CAPITAL MGMT LLC	040	MRVL	B	43,400	11.72	n/a	n/a	1,302.00	0.0
ARDSLEY PARTNERS	280	MSM	SS	5,000	77.89	n/a	n/a	250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	MS	B	100,000	24.76	n/a	6-Jun	3,000.00	0.0
B BUCK CAPITAL MGMT		MTOR	S	200,000	7.05	n/a	n/a	non-brg	0.8
f EDWARD W WHEELER	FID	MTOR	S	200	1.07	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	NKE	B	100	63.92	n/a	19-Jun	5.00	0.0
SCOPUS FUND	041	NKE	SS	15,000	63.53	n/a	19-Jun	600.00	0.0
f DAVID GEORGE BUCK	FID	NNP	B	2000	14.15	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	OXY	S	25	91.18	n/a	n/a	1.25	0.0
B BUCK CAPITAL MGMT		PCLN 7 P850	B	60	6.87	n/a	n/a	non-brg	300.0
PATTEN & PATTEN	025	PFE	B	700	28.15	n/a	n/a	35.00	0.0
f ROBERT LEE CHRISTENS	FID	PHSTX	S	259	54.15	n/a	n/a	0.00	0.0
f ROBERT LEE CHRISTENS	FID	PRSCX	S	84	31.22	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	PRU	B	25	77.03	n/a	n/a	1.25	0.0
PRIMECAP MGMT	084	QGEN	B	2,500	19.88	n/a	n/a	100.00	0.0
B BUCK CAPITAL MGMT		RL	B	10,000	175.54	n/a	24-May	non-brg	4.0
f DAVID GEORGE BUCK	FID	SBUX	S	10	0.62	n/a	17-Jun	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	10,000	25.89	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SCSS	B	10,000	25.89	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	10,000	25.89	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	10,000	25.89	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	15,000	25.58	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	15,000	25.58	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	15,000	25.58	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	15,000	25.58	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	35,000	25.80	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.82	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.82	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.82	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.82	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.95	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.95	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.95	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SCSS	B	5,000	25.95	n/a	n/a	non-brg	2.0
PATTEN & PATTEN	025	SLB	S	200	75.04	n/a	n/a	10.00	0.0
f IAN L MILLER	FID	SNV	S	500	3.07	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	SSI	B	250	23.66	n/a	18-Jun	0.00	0.0
f ROBERT LEE CHRISTENS	FID	STR	S	400	23.62	n/a	15-Apr	0.00	0.0
f YANAI A FRANK	FID	SWKS	B	500	21.09	n/a	n/a	0.00	0.0
JET CAPITAL/CHRIS	041	THI	B	40,000	54.76	n/a	n/a	1,200.00	0.0
DISCIPLINED GROWTH INV.	030	TJX	S	14,300	51.53	n/a	18-Jun	715.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TJX	S	200	51.31	n/a	18-Jun	10.00	0.0
f DAVID GEORGE BUCK	FID	VIA	B	150	70.42	n/a	n/a	0.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	WGO		S	32,600	24.58	n/a	n/a	978.00	0.0
CR INTRINIC INVESTMENT	044	WSM	B	10,000	58.19	n/a	n/a	300.00	0.0
OSKIE CAPITAL MGMT	224	WY	B	20,000	28.60	n/a	19-Jun	1,000.00	0.0
PATTEN & PATTEN	025	WY	B	400	28.54	n/a	19-Jun	20.00	0.0
JET CAPITAL/CHRIS	041	XLU	C	10,000	37.33	n/a	n/a	300.00	0.0
GEORGE WEISS	278	YUM	B	38,000	72.78	n/a	17-Jun	1,140.00	0.0
TOTAL (Trade Date) :								39,685.86	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/05	DISIPLINED GROWTH INV.	030	RCL	B	5,400	34.23	n/a	n/a	270.00 0.0
AO,CRT	07/05	DISIPLINED GROWTH INV.	030	RCL	B	5,400	34.23	n/a	n/a	270.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	39,685.86
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	39,685.86
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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 8-Jul.
NONE

MRI Securities without Trade Activity on 8-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)