



Daily Compliance Activity Report

Trade Date: 07/24/2013

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	S	150,000	5.50	n/a	n/a	4,500.00	0.0
PATTEN & PATTEN	025	AA	S	22,000	8.02	n/a	n/a	1,100.00	0.0
f MICHAEL MARRANO	FID	AEMSX	B	186	14.62	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	100,000	19.07	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AGIO	B	1,000	18.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		AGIO	S	1,000	30.40	n/a	n/a	non-brg	2.5
ARDSLEY PARTNERS	280	AGU	SS	5,000	87.93	n/a	n/a	250.00	0.0
STRONG/MARK GRONET	030	ALK	S	5,000	62.12	n/a	n/a	200.00	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	49.05	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	APC	S	100	89.95	n/a	13-Jun	5.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	ARCP	B	5,000	14.51		n/a	n/a	150.00 0.0
B BUCK CAPITAL MGMT		ARO	B	35,000	14.45	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	50,000	14.68	n/a	n/a	non-brg	4.0
DC CAPITAL	044	ATI	B	1,200	25.75	n/a	11-Jun	48.00	0.0
TALON ASSET MGMT.	006	AXL	B	10,000	19.29	n/a	19-Jun	500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	AXP	B	225	75.16	n/a	19-Jun	11.25	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	BA	B	10,000	107.85	n/a	11-Jun	300.00	0.0
B BUCK CAPITAL MGMT		BCC	B	10,000	28.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BCC	B	25,000	28.06	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	025	BDBD	B	1,800	13.61	n/a	n/a	90.00	0.0
ARDSLEY PARTNERS	280	BERY	B	5,000	22.91	n/a	n/a	250.00	0.0
SCOGGIN LLC	041	BLC	S	46,000	14.01	n/a	n/a	2,300.00	0.0
B BUCK CAPITAL MGMT		CAR	S	20,000	31.06	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	CAT	S	1,550	83.03	n/a	11-Jul	77.50	0.0
f FRANCIS MICHAEL MCCA	FID	CBK	S	600	7.50	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CBK	S	1000	7.51	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	281	CBS	B	55,000	52.31	n/a	n/a	2,750.00	0.0
PATTEN & PATTEN	025	CBT	B	195	40.13	n/a	n/a	9.75	0.0
FRONTIER	029	CCK	S	51,450	44.25	n/a	n/a	2,058.00	0.0
PATTEN & PATTEN	025	CNI	S	600	99.25	n/a	n/a	30.00	0.0
J. GOLDMAN	028	CNW	S	9,826	39.39	n/a	n/a	393.04	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		COH	C	20,000	59.37	n/a	30-May	non-brg	4.0
SAGE ASSET MGMT	025	CP	B	2,200	124.20	n/a	n/a	110.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		CSTE		SS	7,600	32.92	n/a	n/a	228.00 0.0
f FRANCIS MICHAEL MCCA	FID	DFS	S	200	50.70	n/a	19-Jun	0.00	0.0
SCOPUS FUND	041	DG	B	35,000	54.04	n/a	4-Jun	1,400.00	0.0
SYMPHONY ASSET	033	DLPH	B	10,870	55.34	n/a	n/a	326.10	0.0
PATTEN & PATTEN	025	DUK	S	2,659	70.33	n/a	n/a	132.95	0.0
B BUCK CAPITAL MGMT		EL	B	7,500	64.71	n/a	17-Jun	non-brg	4.0
PATTEN & PATTEN	025	EWC	S	8,300	27.93	n/a	n/a	415.00	0.0
PATTEN & PATTEN	025	EWZ	S	300	44.03	n/a	n/a	15.00	0.0
f DAVID GEORGE BUCK	FID	EW	B	15	2.25	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	EW	S	15	0.25	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		EXPE	SS	8,000	64.15	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	FB	B	7	1.04	n/a	n/a	0.00	0.0
f LARA HUNT SMITH	FID	FB	B	15	2.03	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FB	B	10	2.03	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	FB	B	50	2.03	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	RAVI SADARANGANI	FID	FB	B	238	0.64	n/a	n/a	0.00	0.0
f	MICHAEL MARRANO	FID	FHGX	S	259	12.69	n/a	n/a	0.00	0.0
	DAVIDSON KEMPNER ADVISOR	281	FNP	B	40,000	23.46	n/a	n/a	2,000.00	0.0
f	ANTHONY SUTERA	FID	FWM	S	1000	27.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		F	SS	29,000	17.30	n/a	19-Jun	non-brg	4.0
	SCOPUS FUND	041	F	SS	75,000	17.37	n/a	19-Jun	3,000.00	0.0
ß	BUCK CAPITAL MGMT		GES	C	50,000	32.95	n/a	31-May	non-brg	4.0
ß	BUCK CAPITAL MGMT		GIII	S	15,000	49.98	n/a	n/a	non-brg	4.0
	DAVIDSON KEMPNER ADVISOR	281	GME	B	50,000	43.24	n/a	n/a	2,500.00	0.0
	BRONSON POINT	036	GM	S	35,000	37.14	n/a	19-Jun	1,050.00	0.0
	RIDGECREST INV MGMT LLC	028	GM	S	20,000	37.38	n/a	19-Jun	800.00	0.0
	SYMPHONY ASSET	033	GM	B	8,680	37.28	n/a	19-Jun	260.40	0.0
ß	BUCK CAPITAL MGMT		GRAM	B	5,000	21.13	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		GRAM	S	5,000	21.70	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		HBI	B	10,000	57.75	n/a	3-May	non-brg	4.0
ß	BUCK CAPITAL MGMT		HTZ	S	20,000	27.03	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		HTZ	S	30,000	26.92	n/a	n/a	non-brg	4.0
	SENATOR INVESTMENT GROUP	287	HUN	B	185,605	17.58	n/a	n/a	5,568.15	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	S	15,000	47.35	n/a	17-Jun	750.00	0.0
ENTRUST CAPITAL	040	IRBT	SS	5,000	35.29	n/a	n/a	250.00	0.0
f YANAI A FRANK	FID	ITB	B	660	22.78	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	IWD	B	9	88.13	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	KMB	S	50	97.99	n/a	17-Jun	2.50	0.0
SYMPHONY ASSET	033	KSS	C	19,830	53.53	n/a	18-Jun	594.90	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	34.24	n/a	6-May	1,250.00	0.0
NEWLAND CAPITAL MGT	025	LEA	S	5,000	66.35	n/a	19-Jun	200.00	0.0
TIDE POINT CAPITAL	028	LEA	B	4,500	66.85	n/a	19-Jun	135.00	0.0
B BUCK CAPITAL MGMT		LEN	B	15,000	33.58	n/a	n/a	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	32,032	17.55	n/a	19-Jun	1,601.60	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	2,968	17.58	n/a	19-Jun	148.40	0.0
J. GOLDMAN	028	MGM	S	20,000	16.13	n/a	13-Jun	800.00	0.0
f FRANCIS MICHAEL MCCA	FID	MLI	S	200	57.26	n/a	19-Jun	0.00	0.0
ENTRUST CAPITAL	040	MNST	S	61,230	63.39	n/a	n/a	3,061.50	0.0
KINGDON ASSET MGMT	041	MNST	B	10,000	63.80	n/a	n/a	400.00	0.0
B BUCK CAPITAL MGMT		MOH	S	11,200	40.38	n/a	n/a	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		MOH	S	48,800	40.33	n/a	n/a	non-brg 4.0
	PATTEN & PATTEN	025	MOS	B	8,000	52.37	n/a	n/a	400.00 0.0
f	FRANCIS MICHAEL MCCA	FID	MPEL	S	500	24.06	n/a	13-Jun	0.00 0.0
	PATTEN & PATTEN	025	MWV	B	5,100	36.25	n/a	18-Jun	255.00 0.0
	PATTEN & PATTEN	025	NKE	B	2,400	62.78	n/a	19-Jun	120.00 0.0
	PATTEN & PATTEN	025	NOK	B	16,750	4.03	n/a	n/a	837.50 0.0
	J. GOLDMAN	028	ODFL	B	10,181	42.64	n/a	n/a	407.24 0.0
	FARALLON CAP MGMT	040	OI	S	28,500	29.75	n/a	n/a	1,140.00 0.0
B	BUCK CAPITAL MGMT		OXM	C	10,000	66.15	n/a	n/a	non-brg 4.0
	PATTEN & PATTEN	025	PFE	B	3,200	29.20	n/a	n/a	160.00 0.0
	CHARTERBRIDGE CAPITAL	025	PII	C	7,811	106.35	n/a	n/a	234.33 0.0
	NEUBERGER BERMAN	036	PII	S	25,000	107.43	n/a	n/a	1,000.00 0.0
	S.A.C. CAPITAL	044	PII	B	60,000	107.61	n/a	n/a	1,800.00 0.0
	SURVEYOR CAPITAL	251	PII	SS	25,000	107.69	n/a	n/a	1,000.00 0.0
f	MICHAEL MARRANO	FID	PRMSX	S	61	31.27	n/a	n/a	0.00 0.0
	CHARTER OAK	033	PWE	B	40,000	12.32	n/a	n/a	2,000.00 0.0
f	KATHLEEN M CLARKE	FID	QCOM	B	100	61.30	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		RAD	B	200,000	2.88	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		RDN	S	30,000	14.41	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	RKT	S	320	113.10	n/a	17-Jun	16.00	0.0
DAVIDSON KEMPNER ADVISOR	281	RL	B	17,500	180.52	n/a	24-May	875.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	133,900	22.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	S	16,100	22.58	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SKS	C	142,300	15.33	n/a	n/a	non-brg	4.0
f MICHAEL MARRANO	FID	SMAIX	B	128	4.82	n/a	n/a	0.00	0.0
f CLIFFORD A LONGLEY	FID	SPY	B	3	168.65	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	SPY	SS	8,900	168.70	n/a	n/a	356.00	0.0
IRIDIAN ASSET MGMT.	036	STX	B	71,330	42.58	n/a	n/a	3,566.50	0.0
f EDWARD W WHEELER	FID	SWFT	B	200	1.65	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TEN	S	40,000	49.19	n/a	n/a	1,600.00	0.0
B BUCK CAPITAL MGMT		TEVA	S	71,588	41.14	n/a	17-Jun	non-brg	4.0
f MICHAEL MARRANO	FID	TPINX	B	50	13.14	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TSCO	B	30,000	120.80	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TSCO	S	50	121.04	n/a	n/a	2.50	0.0
BRONSON POINT	036	T	C	100,000	35.42	n/a	n/a	3,000.00	0.0
LATEEF MGMT	033	T	B	1,000	35.17	n/a	n/a	100.00	0.0
J. GOLDMAN	028	UA	B	20,000	61.94	n/a	19-Jun	800.00	0.0
B BUCK CAPITAL MGMT		ULTA	B	10,000	94.65	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	UNM	S	200	31.61	n/a	n/a	10.00	0.0
STANDARD PACIFIC CAPITAL	084	USG	S	171,000	25.50	n/a	29-Apr	8,550.00	0.0
GREENLIGHT CAPITAL	041	VMW	C	375,000	82.44	n/a	n/a	18,750.00	0.0
FARALLON CAP MGMT	040	VNTV	SS	150,000	27.87	n/a	11-Jun	6,000.00	0.0
HOPLITE MGMT	025	VRSN	S	40,168	45.25	n/a	n/a	1,606.72	0.0
B BUCK CAPITAL MGMT		WFM	C	80,000	54.88	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	25,000	77.75	n/a	16-May	750.00	0.0
f MICHAEL C PERILLO	FID	WNC	S	500	10.08	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	WTSL	B	500	4.69	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	B	100	1.18	n/a	19-Jun	0.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	B	10	1.20	n/a	19-Jun	0.00	0.0
f MICHAEL ALEXANDER SM	FID	WY	B	10	1.20	n/a	19-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	WY	B	10,000	28.87	n/a	19-Jun	300.00	0.0
SYMPHONY ASSET	033	XLY	SS	15,640	59.37	n/a	n/a	469.20	0.0
f ANTHONY SUTERA	FID		B	25000	98.22	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								98,128.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/23	ROSEDALE CAPITAL	046	AXL	B	10,000	19.38	n/a	19-Jun	400.00 0.0
AO,CXL	07/23	ROSEDALE CAPITAL	046	AXL	B	10,000	19.38	n/a	19-Jun	500.00 0.0
AO,CRT	07/23	PATTEN & PATTEN	025	CNI	S	20	99.87	n/a	n/a	1.00 0.0
AO,CXL	07/23	PATTEN & PATTEN	025	CNI	S	20	99.87	n/a	n/a	1.00 0.0
AO,CXL	07/23	ROYSTONE CAPITAL	040	GNTX	SS	50,000	23.41	n/a	19-Jun	1500.00 0.0
AO,	07/23	ROYSTONE CAPITAL	040	GNTX	SS	50,000	23.41	n/a	19-Jun	1500.00 0.0
AO,	07/23	TIDE POINT CAPITAL	028	LEA	B	5,000	67.09	n/a	19-Jun	150.00 0.0
AO,CXL	07/23	TIDE POINT CAPITAL	028	LEA	B	5,000	67.09	n/a	19-Jun	3.00 0.0

TOTAL (AO, CXL, CRT) :	47.00
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TOTAL (Trade Date) :	98,128.03
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TOTAL (AO, CXL, CRT) :	47.00
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TOTAL (RUN DATE) / NFS :	98,175.03
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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 24-Jul.
NONE

MRI Securities without Trade Activity on 24-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)