



Daily Compliance Activity Report

Trade Date: 07/17/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	APP	B	5000	1.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	B	30,000	14.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	35,000	14.16	n/a	n/a	non-brg	4.0
SAGE ASSET MGMT	025	AXL	S	21,000	19.04	n/a	19-Jun	1,050.00	0.0
KLEINHEINZ CAP PART	031	AXP	SS	50,000	75.05	n/a	19-Jun	2,500.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	S	1000	6.55	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER FRAN	028	BKW	SS	25,000	19.77	n/a	17-Jun	1,250.00	0.0
FORTRESS INVESTMENT (US)	036	CCK	S	97,000	42.31	n/a	n/a	3,880.00	0.0
BASSWOOD PARTNERS	267	CIT	B	15,200	48.50	n/a	13-Jun	608.00	0.0
f MANNY I KORMAN	FID	CMI	B	2000	116.00	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER FRAN	028	COH	S	25,000	57.95	n/a	30-May	1,250.00	0.0
INVESCO	031	COH	S	76,876	57.98	n/a	30-May	3,075.04	0.0
FARALLON CAP MGMT	040	DELL	S	125,000	12.81	n/a	n/a	3,750.00	0.0
DAVIDSON KEMPNER FRAN	028	DKS	B	25,000	50.59	n/a	19-Jun	1,250.00	0.0
f MARC PAUL LUCHANSKY	FID	DLPH	B	200	54.35	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		DRI	SS	20,000	49.92	n/a	17-Jun	non-brg	4.0
f LARA HUNT SMITH	FID	EBAY	S	10	2.58	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	EBAY	S	10	2.57	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FOR	B	500	22.29	n/a	9-May	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	B	900	16.84	n/a	n/a	0.00	0.0
WOOSTER CAPITAL	044	F	SS	25,000	16.74	n/a	19-Jun	1,250.00	0.0
CAERUS GLOBAL	041	GM	S	40,000	36.33	n/a	19-Jun	1,600.00	0.0
CR INTRINIC INVESTMENT	044	GT	S	7,800	17.05	n/a	n/a	234.00	0.0
B BUCK CAPITAL MGMT		HDS	B	25,000	19.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HDS	B	25,000	19.30	n/a	n/a	non-brg	4.0
FORTRESS INVESTMENT (US)	036	HD	B	50,000	80.55	n/a	n/a	1,000.00	0.0
BNP PARIBAS SEC	040	HLF	S	6,300	52.04	n/a	n/a	189.00	0.0
INVESCO	031	IPG	S	87,242	15.70	n/a	n/a	3,489.68	0.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	18,275	48.79	n/a	17-Jun	913.75	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	21,725	48.81	n/a	17-Jun	1,086.25	0.0
SCHOTTENFELD ASSOC	041	IP	SS	20,000	48.34	n/a	17-Jun	600.00	0.0
f MARK ANTHONY GRONET	FID	JBLU	B	3000	6.69	n/a	18-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	JCP	S	1,300	16.90	n/a	18-Jun	0.00	0.0
ROTHSCHILD ASSET	040	JNJ	B	33,265	90.30	n/a	n/a	1,330.60	0.0
WEISS PECK/ROBECO/BOSTON PT		040 JNY	S	123,400	15.56		n/a	2-May	6,170.00 0.0
SUFFOLK CAPITAL MGMT	040	JPM	B	13,900	55.21	n/a	17-Jun	556.00	0.0
f CHRISTOPHER ROBERT C	FID	KFN	B	600	11.09	n/a	n/a	0.00	0.0
WOODWAY FINANCIAL	031	KMI	S	48,526	39.91	n/a	n/a	2,426.30	0.0
INVESCO	031	KORS	B	19,080	62.97	n/a	30-May	763.20	0.0
PATTEN & PATTEN	025	KO	B	500	40.79	n/a	17-Jun	25.00	0.0
INVESCO	031	KR	S	100,995	38.44	n/a	n/a	4,039.80	0.0
INTERVAL PARTNERS	033	KSS	S	25,000	53.00	n/a	18-Jun	750.00	0.0
FIRST NY SEC/CHRIS	041	LCC	B	11,000	18.18	n/a	18-Jun	550.00	0.0
TYVOR CAPITAL LLC	031	LULU	B	10,000	64.25	n/a	19-Jun	250.00	0.0
INVESCO	031	MDLZ	B	89,920	30.43	n/a	n/a	3,596.80	0.0
f EDWARD W WHEELER	FID	MTRX	S	100	1.60	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	NEWP	B	10000	14.53	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	NFLX	B	25	264.13	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	NKE	B	25,000	63.36	n/a	19-Jun	750.00	0.0
ß BUCK CAPITAL MGMT		NYLD	S	5,000	26.72	n/a	n/a	non-brg	2.5
f CHRISTOPHER ROBERT C	FID	PCP	B	25	232.96	n/a	11-Jun	0.00	0.0
PATTEN & PATTEN	025	PFE	B	983	28.73	n/a	n/a	49.15	0.0
FIRST NY SEC/CHRIS	041	PKG	SS	10,000	52.05	n/a	17-Jun	500.00	0.0
ß BUCK CAPITAL MGMT		RAD	B	200,000	3.00	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RAD	B	300,000	2.99	n/a	n/a	non-brg	2.0
CADIAN CAPITAL	041	RCL	B	85,000	36.61	n/a	n/a	2,550.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	10,000	105.01	n/a	17-Jun	500.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	10,000	105.47	n/a	17-Jun	500.00	0.0
f RAVI SADARANGANI	FID	RKT	S	300	105.09	n/a	17-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		RLGY	S	7,500	50.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SCSS 8 C30	SS	500	0.75	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SLB	S	13,000	77.16	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SMG	SS	25,000	49.84	n/a	17-Jun	non-brg	4.0
f YANAI A FRANK	FID	SWKS	B	500	22.86	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
DAVIDSON KEMPNER FRAN	028	SWY	SS	25,000	24.82	n/a	n/a	1,250.00	0.0	
CENTURION PARTNERS	041	UAL	B	5,927	31.92	n/a	18-Jun	296.35	0.0	
f ALICE BEEBE LONGLEY	FID	UMBMX	B	1819	16.49	n/a	n/a	0.00	0.0	
f ANDREW LONGLEY TRUS	FID	UMBMX	B	182	16.49	n/a	n/a	0.00	0.0	
f CLIFFORD LONGLEY TR	FID	UMBMX	B	182	16.49	n/a	n/a	0.00	0.0	
f JONATHAN LONGLEY TR	FID	UMBMX	B	182	16.49	n/a	n/a	0.00	0.0	
f GAVIN N CADWALLADER	FID	UPS	B	50	86.66	n/a	n/a	0.00	0.0	
PATTEN & PATTEN	025	UTX	S	200	100.72	n/a	n/a	10.00	0.0	
NOKOMIS PARTNERS	031	VRA	SS	29,000	23.63	n/a	n/a	870.00	0.0	
f JONATHAN RICHARD HAR	FID	WNC	B	2000	10.58	n/a	n/a	0.00	0.0	
MAPLE ROW	006	WNC	B	15,000	10.65	n/a	n/a	750.00	0.0	
B BUCK CAPITAL MGMT		WSM	SS	20,000	58.46	n/a	n/a	non-brg	4.0	
IRIDIAN ASSET MGMT.	036	WYN	B	34,200	60.75	n/a	n/a	1,710.00	0.0	
B BUCK CAPITAL MGMT		XPO	S	31,765	23.50	n/a	n/a	non-brg	4.0	
f EDWARD W WHEELER	FID	XPO	S	5000	24.55	n/a	n/a	0.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)	251	YHOO	S	20,000	28.59		n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	ZTS	S	478	30.91	n/a	n/a	23.90	0.0	

TOTAL (Trade Date):

59,792.82

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/16	PATTEN & PATTEN	025	AML	B	300	18.06	n/a	n/a	15.00	0.0
AO,CRT	07/16	PATTEN & PATTEN	025	AML	B	300	18.06	n/a	n/a	15.00	0.0
AO,CXL	07/16	PATTEN & PATTEN	025	CAT	S	5	87.90	n/a	11-Jul	0.25	0.0
AO,CRT	07/16	PATTEN & PATTEN	025	CAT	S	5	87.90	n/a	11-Jul	0.25	0.0
AO,CXL	07/16	PIMCO	084	DVA	B	8,000	117.73	n/a	n/a	160.00	0.0
AO,CRT	07/16	PIMCO	084	DVA	B	8,000	117.73	n/a	n/a	160.00	0.0
AO,CXL	07/16	SCOPUS FUND	041	F	B	180,000	16.61	n/a	19-Jun	7200.00	0.0
AO,CRT	07/16	SCOPUS FUND	041	F	B	180,000	16.61	n/a	19-Jun	7200.00	0.0
AO,	07/16	LISTED ERR	099	JCP	B	1,300	17.70	n/a	18-Jun	0.00	0.0
AO,CRT	07/16	TIEDEMANN/TIG ADVISORS LLC	006	ODP	S	25,000	4.30	n/a	n/a	750.00	0.0
AO,CXL	07/16	TIEDEMANN/TIG ADVISORS LLC	006	ODP	S	25,000	4.30	n/a	n/a	1000.00	0.0
AO,CXL	07/16	PATTEN & PATTEN	025	VB	B	160	98.95	n/a	n/a	8.00	0.0
AO,CRT	07/16	PATTEN & PATTEN	025	VB	B	160	98.95	n/a	n/a	8.00	0.0
AO,CXL	07/16	PATTEN & PATTEN	025	VO	B	200	99.16	n/a	n/a	10.00	0.0
AO,CRT	07/16	PATTEN & PATTEN	025	VO	B	200	99.16	n/a	n/a	10.00	0.0
AO,CRT	07/16	PATTEN & PATTEN	025	VV	B	450	76.68	n/a	n/a	22.50	0.0
AO,CXL	07/16	PATTEN & PATTEN	025	VV	B	450	76.68	n/a	n/a	22.50	0.0
TOTAL (AO, CXL, CRT) :										-250.00	

TOTAL (Trade Date):	59,792.82
TOTAL (AO, CXL, CRT):	-250.00

TOTAL (RUN DATE) / NFS:	59,542.82
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	07/16	BUCK CAPITAL MGMT	NYLD	B	5,000	22.00	n/a	n/a	0.00	0.0
CRT	07/16	BUCK CAPITAL MGMT	XPO	S	62,200	23.09	n/a	n/a	2488.00	4.0

MRI Securities with Trade Activity on 17-Jul.
NONE

MRI Securities without Trade Activity on 17-Jul.
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)