



# Daily Compliance Activity Report

Trade Date: 11/12/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                         | RR#        | Symbol      | B/S      | Shares        | Price         | MRI        | Research      | Comm. ¢/Shr.   |            |
|---------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| NEUBERGER BERMAN                | 036        | ABB         | B        | 25,000        | 25.03         | n/a        | n/a           | 1,000.00       | 4.0        |
| PALISADE CAPITAL MANAGEMENT LLC | 025        | ALJ         | B        | 6,500         | 11.88         |            | n/a           | 260.00         | 4.0        |
| CENTURION PARTNERS              | 041        | ALL         | S        | 15,000        | 53.43         | n/a        | n/a           | 600.00         | 4.0        |
| HOLLIS CAPITAL                  | 033        | APC         | S        | 5,000         | 89.99         | n/a        | n/a           | 250.00         | 5.0        |
| WADDELL AND REED                | 047        | ATML        | S        | 382,100       | 7.19          | n/a        | n/a           | 15,284.00      | 4.0        |
| <b>f MANNY I KORMAN</b>         | <b>FID</b> | <b>BIIB</b> | <b>B</b> | <b>1000</b>   | <b>234.82</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| MOORE CAPITAL                   | 257        | CAT         | SS       | 25,000        | 83.68         | n/a        | n/a           | 750.00         | 3.0        |
| KEY ASSET MGMT/VICTORY          | 220        | CHRW        | B        | 106,240       | 59.06         | n/a        | 6-Nov         | 4,249.60       | 4.0        |
| PARKWEST                        | 084        | CKEC        | S        | 4,200         | 23.32         | n/a        | n/a           | 168.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>      |            | <b>CRMB</b> | <b>S</b> | <b>10,733</b> | <b>1.26</b>   | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>1.0</b> |
| SAC CHRIS C                     | 041        | CYNO        | S        | 25,000        | 24.01         | n/a        | n/a           | 750.00         | 3.0        |
| ZWEIG FUNDS                     | 006        | DAL         | B        | 100,000       | 27.93         | 23-Oct     | 4-Nov         | 5,000.00       | 5.0        |
| LOMAS CAPITAL                   | 040        | DHI         | B        | 100,000       | 18.74         | n/a        | n/a           | 3,000.00       | 3.0        |
| <b>B BUCK CAPITAL MGMT</b>      |            | <b>EAT</b>  | <b>C</b> | <b>70,200</b> | <b>45.52</b>  | <b>n/a</b> | <b>30-Oct</b> | <b>non-brg</b> | <b>4.0</b> |

| Account                    | RR#        | Symbol      | B/S      | Shares         | Price        | MRI        | Research     | Comm.¢/Shr.    |            |
|----------------------------|------------|-------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| <b>B BUCK CAPITAL MGMT</b> |            | <b>ELLI</b> | <b>S</b> | <b>23,400</b>  | <b>27.97</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| NORTHWESTERN MUTUAL LIFE   | 047        | EMC         | B        | 61,300         | 24.22        | n/a        | n/a          | 2,452.00       | 4.0        |
| ROTHSCHILD ASSET           | 040        | ENS         | S        | 7,099          | 67.37        | n/a        | n/a          | 283.96         | 4.0        |
| CAMBIAR CAP                | 046        | FINL        | S        | 117,881        | 24.85        | n/a        | 12-Nov       | 4,715.24       | 4.0        |
| SCOPUS FUND                | 041        | FINL        | B        | 20,000         | 24.72        | n/a        | 12-Nov       | 800.00         | 4.0        |
| SCOPUS FUND                | 041        | FIVE        | B        | 25,000         | 51.92        | n/a        | n/a          | 1,000.00       | 4.0        |
| <b>f PATRICK O'GRADY</b>   | <b>FID</b> | <b>GLBS</b> | <b>S</b> | <b>300</b>     | <b>2.61</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| CENTURION PARTNERS         | 041        | GM          | B        | 20,000         | 36.70        | n/a        | 7-Nov        | 800.00         | 4.0        |
| BTG PACTUAL                | 040        | JBLU        | S        | 100,000        | 8.18         | n/a        | 4-Nov        | 3,000.00       | 3.0        |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>JBLU</b> | <b>S</b> | <b>125,000</b> | <b>8.19</b>  | <b>n/a</b> | <b>4-Nov</b> | <b>non-brg</b> | <b>3.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>JBLU</b> | <b>S</b> | <b>60,000</b>  | <b>8.35</b>  | <b>n/a</b> | <b>4-Nov</b> | <b>non-brg</b> | <b>3.0</b> |
| ELM RIDGE ADVISORS         | 044        | JBL         | S        | 11,804         | 20.71        | n/a        | n/a          | 472.16         | 4.0        |
| ELM RIDGE ADVISORS         | 044        | JPM         | S        | 4,261          | 54.00        | n/a        | 11-Nov       | 170.44         | 4.0        |
| S.A.C. CAPITAL             | 041        | JWN         | SS       | 20,000         | 62.45        | n/a        | 12-Nov       | 600.00         | 3.0        |
| ELM RIDGE ADVISORS         | 044        | KSS         | S        | 5,227          | 57.56        | n/a        | 12-Nov       | 209.08         | 4.0        |
| S.A.C. CAPITAL             | 044        | KSS         | B        | 20,000         | 57.63        | n/a        | 12-Nov       | 600.00         | 3.0        |
| S.A.C. CAPITAL             | 044        | KS          | SS       | 20,000         | 51.20        | n/a        | n/a          | 600.00         | 3.0        |

| Account                    | RR# | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.    |            |
|----------------------------|-----|-------------|----------|---------------|--------------|------------|------------|----------------|------------|
| T. ROWE PRICE              | 243 | KS          | B        | 180,128       | 51.02        | n/a        | n/a        | 7,205.12       | 4.0        |
| SANDLER O'NEILL ASSET      | 031 | LAZ         | S        | 15,000        | 40.50        | 24-Oct     | 7-Nov      | 750.00         | 5.0        |
| EMPYREAN CAPITAL           | 084 | LCC         | B        | 100,000       | 22.99        | 24-Oct     | 4-Nov      | 3,000.00       | 3.0        |
| PAR CAPITAL                | 029 | LCC         | S        | 150,000       | 23.03        | 24-Oct     | 4-Nov      | 6,000.00       | 4.0        |
| STRONG/MARK GRONET         | 030 | LCC         | B        | 20,000        | 23.42        | 24-Oct     | 4-Nov      | 800.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>LEN</b>  | <b>B</b> | <b>30,000</b> | <b>33.02</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>3.0</b> |
| STRONG/MARK GRONET         | 030 | LFL         | B        | 45,400        | 16.50        | n/a        | n/a        | 1,816.00       | 4.0        |
| ELM RIDGE ADVISORS         | 044 | LLY         | S        | 7,780         | 50.10        | n/a        | n/a        | 311.20         | 4.0        |
| NEUBERGER BERMAN           | 036 | MDLZ        | B        | 15,000        | 32.46        | n/a        | n/a        | 600.00         | 4.0        |
| NEUBERGER BERMAN           | 036 | MSFT        | B        | 15,000        | 37.38        | n/a        | n/a        | 600.00         | 4.0        |
| COLUMBUS CIRCLE            | 036 | MTH         | S        | 3,793         | 41.21        | n/a        | n/a        | 151.72         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>13,300</b> | <b>31.88</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>13,300</b> | <b>31.88</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>13,300</b> | <b>31.88</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>13,300</b> | <b>31.88</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>13,300</b> | <b>31.88</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>13,300</b> | <b>31.88</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>20,900</b> | <b>32.24</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>20,900</b> | <b>32.24</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>20,900</b> | <b>32.24</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>NCLH</b> | <b>S</b> | <b>20,900</b> | <b>32.24</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.0</b> |

| Account             | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |     |
|---------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 20,900 | 32.24 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 20,900 | 32.24 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 22,100 | 31.86 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 22,100 | 31.86 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 22,100 | 31.86 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 22,100 | 31.86 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 22,100 | 31.86 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 22,100 | 31.86 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.82 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.82 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.82 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.82 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.82 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.82 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.98 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.98 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.98 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.98 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.98 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,000 | 31.98 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,500 | 32.04 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,500 | 32.04 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,500 | 32.04 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,500 | 32.04 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,500 | 32.04 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 25,500 | 32.04 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT |     | NCLH   | S   | 47,323 | 32.05 | n/a | n/a      | non-brg     | 4.0 |
| ROSEDALE CAPITAL    | 046 | NEM    | B   | 10,000 | 26.93 | n/a | n/a      | 400.00      | 4.0 |
| NEUBERGER BERMAN    | 036 | NFG    | B   | 10,000 | 70.63 | n/a | n/a      | 400.00      | 4.0 |

| Account                    | RR# | Symbol      | B/S      | Shares        | Price          | MRI        | Research   | Comm. ¢/Shr.   |            |
|----------------------------|-----|-------------|----------|---------------|----------------|------------|------------|----------------|------------|
| THREE G                    | 041 | OC          | B        | 131,874       | 35.69          | n/a        | n/a        | 3,956.22       | 3.0        |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>OWW</b>  | <b>B</b> | <b>34,700</b> | <b>7.30</b>    | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>3.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>PCLN</b> | <b>C</b> | <b>2,000</b>  | <b>1105.12</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| NEUBERGER BERMAN           | 036 | PFE         | B        | 15,000        | 31.45          | n/a        | n/a        | 600.00         | 4.0        |
| NEUBERGER BERMAN           | 036 | POOL        | B        | 5,076         | 53.88          | n/a        | n/a        | 203.04         | 4.0        |
| NEUBERGER BERMAN           | 036 | RRC         | B        | 10,000        | 74.55          | n/a        | n/a        | 400.00         | 4.0        |
| FSI GROUP, LLC             | 047 | RWT         | S        | 72,770        | 17.98          | n/a        | n/a        | 2,910.80       | 4.0        |
| STATE OF WISCONSIN         | 047 | RWT         | S        | 37,230        | 17.98          | n/a        | n/a        | 1,489.20       | 4.0        |
| COLUMBUS CIRCLE            | 036 | SFLY        | B        | 2,783         | 48.78          | n/a        | n/a        | 111.32         | 4.0        |
| WILLIAMS TRADING/FOX POINT | 025 | SIRI        | B        | 100,000       | 3.71           | n/a        | n/a        | 4,000.00       | 4.0        |
| THREE G                    | 041 | SPY         | SS       | 26,505        | 177.09         | n/a        | n/a        | 795.15         | 3.0        |
| SAC CHRIS C                | 041 | THOR        | SS       | 25,000        | 42.01          | n/a        | n/a        | 750.00         | 3.0        |
| TROUBH PART                | 070 | TOL         | B        | 25,000        | 32.26          | n/a        | n/a        | 1,250.00       | 5.0        |
| FRED ALGER MGMT            | 300 | TYC         | S        | 450           | 36.35          | n/a        | n/a        | 16.20          | 4.0        |
| NORTHWESTERN MUTUAL LIFE   | 047 | UNP         | B        | 45,000        | 156.64         | n/a        | 18-Oct     | 1,800.00       | 4.0        |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>WCIC</b> | <b>B</b> | <b>10,000</b> | <b>17.11</b>   | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>0.8</b> |

| Account                         | RR# | Symbol | B/S | Shares | Price | MRI    | Research | Comm.¢/Shr.      |            |
|---------------------------------|-----|--------|-----|--------|-------|--------|----------|------------------|------------|
| 8 BUCK CAPITAL MGMT             |     | WCIC   | B   | 16     | 17.05 | n/a    | n/a      | non-brg          | 4.0        |
| PALISADE CAPITAL MANAGEMENT LLC | 025 | WTR    | B   | 3,000  | 25.05 |        | n/a      | n/a              | 120.00 4.0 |
| WOOSTER CAPITAL                 | 044 | WY     | B   | 25,000 | 29.12 | 25-Oct | 8-Nov    | 1,250.00         | 5.0        |
| <b>TOTAL (Trade Date) :</b>     |     |        |     |        |       |        |          | <b>88,700.45</b> |            |

**Cancel/Corrects and As-Of Trades**

| Type                          | Date  | Account           | RR # | Symbol | B/S | Shares  | Price                       | MRI Research   | Comm.¢/Shr. |
|-------------------------------|-------|-------------------|------|--------|-----|---------|-----------------------------|----------------|-------------|
| AO,CRT                        | 11/07 | AMICI CAPITAL N/C | 044  | DAL    | S   | 80,000  | 26.82-2013-10-23-2013-11-04 | 3200.00        | 0.0         |
| AO,CXL                        | 11/07 | AMICI CAPITAL N/C | 044  | DAL    | S   | 80,000  | 26.82-2013-10-23-2013-11-04 | 3200.00        | 0.0         |
| AO,CXL                        | 11/11 | CAMBIAR CAP       | 046  | FINL   | S   | 121,518 | 24.80                       | n/a-2013-11-12 | 4860.72 0.0 |
| AO,                           | 11/11 | CAMBIAR CAP       | 046  | FINL   | S   | 121,518 | 24.80                       | n/a-2013-11-12 | 4860.72 0.0 |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                   |      |        |     |         |                             |                | <b>0.00</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 88,700.45 |
| TOTAL (AO, CXL, CRT) : | 0.00      |

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>88,700.45</b> |
|---------------------------------|------------------|

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 12-Nov.  
NONE

MRI Securities without Trade Activity on 12-Nov.  
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)**