



# Daily Compliance Activity Report

Trade Date: 05/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AAPL	S	500	430.14	n/a	n/a	20.00	0.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>ACW</b>	<b>S</b>	<b>5630</b>	<b>5.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>395,240</b>	<b>19.97</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>C</b>	<b>30,000</b>	<b>31.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>C</b>	<b>25,000</b>	<b>16.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>C</b>	<b>75,000</b>	<b>16.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	297	AVIV	S	47,500	30.59	n/a	n/a	1,900.00	0.0
GEORGE WEISS	278	AXL	B	15,000	16.18	n/a	13-May	600.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	CBB	B	85,000	3.62	n/a	n/a	2,550.00	0.0
MAPLE ROW	006	CIE	B	5,000	26.90	n/a	n/a	150.00	0.0
HIGHBRIDGE CAP	041	CLF	SS	24,000	21.43	n/a	n/a	720.00	0.0
DELTEC ASSET MGMT.	040	CMCSA	B	20,000	43.18	n/a	n/a	1,000.00	0.0
IMPALA ASSET MMT	040	CNW	B	150,000	36.20	n/a	n/a	6,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	COH	C	3,328	58.87	n/a	24-Apr	99.84	0.0
PATTEN & PATTEN	025	COV	B	2,000	65.94	n/a	n/a	100.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	C	B	500	50.90	n/a	15-May	20.00	0.0
HIGHBRIDGE CAP	041	DE	SS	5,648	90.26	n/a	11-Jul	169.44	0.0
LATEEF MGMT	033	DE	B	500	89.39	n/a	11-Jul	60.00	0.0
SANDLER O'NEILL ASSET	031	DFS	S	15,000	47.27	n/a	15-May	750.00	0.0
Õ Michael Ehrlich		DRL	S	100	0.85	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		DRL	S	100	0.85	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		DRL	S	100	0.85	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		DRL	S	4700	0.85	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EFA	B	3,000	62.80	n/a	n/a	150.00	0.0
BROADARCH CAP/OLD NEWC	070	EMN	B	3,000	68.91	n/a	n/a	120.00	0.0
ADAGE CAPITAL MGMT	030	ETN	S	15,000	65.62	n/a	2-May	450.00	0.0
CAPITAL RESEARCH GROUP		296 EXC	B	117,000	35.21		n/a	n/a	4,095.00 0.0
BROADARCH CAP/OLD NEWC	070	FDX	S	1,000	100.26	n/a	n/a	40.00	0.0
ß BUCK CAPITAL MGMT		FNP	B	155,000	22.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	20,000	22.34	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FNP	B	25,000	22.45	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	50,000	22.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FWM	B	14,400	18.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FWM	B	20,000	18.45	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FWM	B	5,100	18.33	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		F	SS	34,000	14.71	n/a	13-May	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	S	12,100	43.02	n/a	n/a	non-brg	4.0
PECONIC PARTNERS	036	GM	S	6,400	32.25	n/a	13-May	320.00	0.0
TROUBH PART	070	GM	B	15,000	32.00	n/a	13-May	750.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GREK	B	500	20.57	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	GRPN	B	2,500	7.19	n/a	n/a	100.00	0.0
B BUCK CAPITAL MGMT		HMB SS	SS	90,000	34.68	n/a	n/a	non-brg	5.2
f CICYLY S BACKUS	FID	INTC	B	2000	24.11	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	INTC	B	2000	24.12	n/a	n/a	0.00	0.0
f LBP ENTERPRI SES INC	FID	INTC	B	2000	24.11	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	INTC	B	2000	24.11	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	IP	B	500	48.67	n/a	15-May	20.00	0.0
f MICHAEL ALEXANDER SM	FID	JBLU	B	100	0.94	n/a	10-May	0.00	0.0
f MICHAEL ALEXANDER SM	FID	JBLU	B	40	0.93	n/a	10-May	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JBLU	B	120,000	6.64	n/a	10-May	3,600.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040 JBLU	B	30,225	6.68		n/a	10-May	1,209.00 0.0
LIONEYE CAPITAL	040	JCP	S	27,700	19.09	n/a	15-May	1,385.00	0.0
MACELLUM CAPITAL	086	JCP	S	113,000	19.04	n/a	15-May	3,390.00	0.0
MFP INVESTORS	085	JCP	S	25,000	19.06	n/a	15-May	1,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL ALEXANDER SM	FID	JCP	B	15	2.23	n/a	15-May	0.00	0.0
f MICHAEL ALEXANDER SM	FID	JCP	B	60	2.24	n/a	15-May	0.00	0.0
ß BUCK CAPITAL MGMT		JNY	C	200,000	15.02	n/a	2-May	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	C	50,000	15.03	n/a	2-May	non-brg	4.0
f LEE F BACKUS	FID	JPM	B	1000	51.16	n/a	15-May	0.00	0.0
ß BUCK CAPITAL MGMT		KEG	B	47,210	6.04	n/a	2-May	non-brg	3.0
MAPLE ROW	006	KOG	B	20,000	8.31	n/a	n/a	600.00	0.0
MASTERS CAPITAL MANAGE	025	KORS	B	100,000	61.37	n/a	22-Apr	4,000.00	0.0
M&I FUNDS	047	KO	S	14,081	42.60	n/a	1-May	563.24	0.0
ß BUCK CAPITAL MGMT		KSS	C	100,000	49.49	n/a	8-May	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	C	95,000	49.48	n/a	8-May	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	LCC	B	500	18.76	n/a	10-May	20.00	0.0
FEIN	084	LCC	B	50,000	18.76	n/a	10-May	1,500.00	0.0
M&I FUNDS	047	LO	B	6,270	43.71	n/a	n/a	250.80	0.0
BROADARCH CAP/OLD NEWC	070	LRCX	B	2,000	47.79	n/a	n/a	80.00	0.0
ADAGE CAPITAL MGMT	030	LTD	SS	15,100	50.75	n/a	n/a	453.00	0.0
M&I FUNDS	047	LTD	S	13,743	50.64	n/a	n/a	549.72	0.0
MAPLE ROW	006	LUV	B	15,000	14.34	n/a	10-May	450.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	MCD	B	50,000	101.93	n/a	13-May	1,500.00	0.0
BROADARCH CAP/OLD NEWC	070	MCK	B	1,000	116.07	n/a	n/a	40.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MDT</b>	<b>B</b>	<b>100</b>	<b>5.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	MMM	S	1,500	111.26	n/a	n/a	60.00	0.0
PATTEN & PATTEN	025	MWV	B	5,000	35.73	n/a	10-May	250.00	0.0
SCOPUS FUND	041	M	SS	26,220	47.70	n/a	15-May	1,048.80	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>NCLH</b>	<b>B</b>	<b>20,000</b>	<b>31.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BROADARCH CAP/OLD NEWC	070	NCR	B	1,000	30.82	n/a	n/a	40.00	0.0
PATTEN & PATTEN	025	PCH	S	5,000	50.01	n/a	15-May	250.00	0.0
WADDELL AND REED	047	PFE	S	750,000	29.34	n/a	n/a	30,000.00	0.0
DELTEC ASSET MGMT.	040	PVH	B	5,000	119.20	n/a	22-Apr	250.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>RLGY</b>	<b>B</b>	<b>30,000</b>	<b>52.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	74,600	2.21	n/a	n/a	2,238.00	0.0
SCOPUS FUND	041	ROST	S	17,701	65.77	n/a	10-May	708.04	0.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>300</b>	<b>63.45</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		SHOO	S	10,000	49.36	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SLM	S	45,000	22.18	n/a	8-May	non-brg	4.0
Õ Jack Chernus		STT	S	10	0.55	n/a	6-May	0.00	0.0
OTTER CREEK MGMT	093	SYK	S	10,000	69.52	n/a	n/a	500.00	0.0
BRIGADE CAPITAL MGMT	029	TAST	S	9,580	5.94	n/a	n/a	287.40	0.0
⌘ BUCK CAPITAL MGMT		TDG	SS	3,300	153.73	n/a	n/a	non-brg	1.0
CASTLEROCK	040	TGT	SS	5,839	70.33	n/a	14-May	233.56	0.0
ALLIANZ/NICOLAS APPLGATE		084 THR		S	19,500	19.53	n/a	n/a	682.50 0.0
ELM RIDGE ADVISORS	044	UAL	B	38,800	34.36	n/a	10-May	1,552.00	0.0
BROADARCH CAP/OLD NEWC	070	UNH	SS	1,000	61.53	n/a	n/a	40.00	0.0
HIGHBRIDGE CAP	041	VALE	SS	32,000	16.09	n/a	n/a	960.00	0.0
BROADARCH CAP/OLD NEWC	070	VAL	B	2,500	72.27	n/a	n/a	100.00	0.0
MERRILL ASSET/BLACKROCK	297	WAL	S	89,700	14.92	n/a	n/a	3,588.00	0.0
BROADARCH CAP/OLD NEWC	070	WAT	B	1,000	98.77	n/a	n/a	40.00	0.0
BROADARCH CAP/OLD NEWC	070	WLK	SS	1,000	92.15	n/a	n/a	40.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>XLF</b>	<b>C</b>	<b>50,000</b>	<b>19.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
BROADARCH CAP/OLD NEWC	070	XLI	SS	3,000	43.37	n/a	n/a	120.00	0.0
BALYASNY ASSET MGMT	044	X	SS	75,000	18.05	n/a	n/a	3,750.00	0.0
<b>TOTAL (Trade Date):</b>								<b>87,763.34</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	05/10	PALISADE CAPITAL MANAGEMENT LLC	025	LL	B	5,498	87.94	n/a	n/a	219.92	0.0
AO,CRT	05/10	PALISADE CAPITAL MANAGEMENT LLC	025	LL	B	5,498	87.94	n/a	n/a	219.92	0.0
AO,CRT	05/14	BRIGADE CAPITAL MGMT	029	SFL	S	24,046	17.04	n/a	n/a	721.38	0.0
AO,CXL	05/14	BRIGADE CAPITAL MGMT	029	SFL	S	24,046	17.04	n/a	n/a	0.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>721.38</b>	

TOTAL (Trade Date) :	87,763.34
TOTAL (AO, CXL, CRT) :	721.38

<b>TOTAL (RUN DATE) / NFS :</b>	<b>88,484.72</b>
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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 15-May.  
NONE

MRI Securities without Trade Activity on 15-May.  
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)