



# Daily Compliance Activity Report

Trade Date: 06/04/2012

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	150	550.44	n/a	n/a	6.00	4.0
⌘ BUCK CAPITAL MGMT		AAPL	B	5,000	563.98	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		AAPL	B	5,000	564.13	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		AAWW	SS	15,000	41.13	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		AAWW	SS	15,000	41.13	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		ACAT	SS	50,000	33.29	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	AKZOY	SS	2,000	14.95	n/a	n/a	80.00	4.0
EPOCH INV MGMT	030	AMAT	S	2,250	10.03	n/a	n/a	67.50	3.0
MERRILL ASSET/BLACKROCK	297	AMG	S	9,575	94.69	n/a	2-Mar	383.00	4.0
f DAVID GEORGE BUCK	FID	ANF	B	15	15.94	n/a	17-May	0.00	0.0
f MARY CATHERI MADIGA	FID	APC	B	100	57.22	n/a	15-May	0.00	0.0
EPOCH INV MGMT	030	ARCO	S	3,250	12.91	4-Jun	4-Jun	97.50	3.0
BROADARCH CAP/OLD NEWC	070	ARG	B	1,500	83.76	n/a	25-May	60.00	4.0
⌘ BUCK CAPITAL MGMT		ARO	S	20,000	17.94	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ARO	S	30,000	17.94	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	ASML	SS	500	43.90	n/a	n/a	20.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AXP	S	600	53.62	n/a	1-Jun	18.00	3.0
BROADARCH CAP/OLD NEWC	070	AYI	S	4,568	50.11	n/a	n/a	182.72	4.0
BROADARCH CAP/OLD NEWC	070	A	S	750	38.25	n/a	n/a	30.00	4.0
BROADARCH CAP/OLD NEWC	070	BASFY	B	1,000	66.87	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	BASFY	SS	750	66.80	n/a	n/a	30.00	4.0
EPOCH INV MGMT	030	BA	S	1,500	67.20	n/a	16-May	45.00	3.0
MERRILL ASSET/BLACKROCK	297	BBCN	S	7,067	10.19	n/a	n/a	282.68	4.0
⚡ BUCK CAPITAL MGMT		BC IM	B	10,300	13.42	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BC IM	S	15,000	13.36	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BC IM	S	50,000	13.36	n/a	n/a	non-brg	2.0
BROADARCH CAP/OLD NEWC	070	BMY	B	1,500	33.80	n/a	n/a	60.00	4.0
⚡ BUCK CAPITAL MGMT		BODY	S	20,000	14.39	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BONT	S	17,700	4.48	n/a	n/a	non-brg	2.0
COOPER CREEK PART	028	BZ	S	25,000	6.54	n/a	n/a	750.00	3.0
BALLAST CAP	040	CAT	B	4,200	83.56	n/a	26-Apr	210.00	5.0
NEUBERGER BERMAN	036	CCE	S	20,000	26.36	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		CELG	B	25,000	65.10	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CE	SS	500	37.85	n/a	20-May	20.00	4.0
BROADARCH CAP/OLD NEWC	070	CF	SS	500	161.71	n/a	n/a	20.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CLH</b>	<b>SS</b>	<b>8,700</b>	<b>58.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	CMCSK	B	1,300	28.47	n/a	n/a	52.00	4.0
EPOCH INV MGMT	030	CMCSK	S	2,600	28.36	n/a	n/a	78.00	3.0
BAIRD INVESTMENT	047	COG	B	9,060	29.99	n/a	9-May	453.00	5.0
BROADARCH CAP/OLD NEWC	070	COH	SS	1,000	63.05	n/a	9-May	40.00	4.0
ARSENAL ASSET MANAGEMENT	028	CRI	B	10,000	51.77	n/a	n/a	400.00	4.0
PAW PARTNERS	025	CTCT	S	10,000	19.41	n/a	n/a	500.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1400</b>	<b>8.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GOLD SACHS SPECIAL SIT	030	DAN	B	200,000	12.06	n/a	26-Apr	10,000.00	5.0
EPOCH INV MGMT	030	DE	S	650	69.78	n/a	17-May	19.50	3.0
HARVEST MGMT (JMP)	029	DG	S	5,000	48.43	n/a	1-Jun	200.00	4.0
EPOCH INV MGMT	030	DHR	S	1,250	49.84	n/a	n/a	37.50	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DPZ</b>	<b>SS</b>	<b>50,000</b>	<b>28.41</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	DWRE	B	1,000	26.32	n/a	n/a	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	DWRE	SS	1,000	28.03	n/a	n/a	40.00	4.0
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>EDAC</b>	<b>B</b>	<b>100</b>	<b>10.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	EDZ	B	1,000	19.31	n/a	n/a	40.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EL</b>	<b>B</b>	<b>1500</b>	<b>52.14</b>	<b>n/a</b>	<b>7-May</b>	<b>0.00</b>	<b>0.0</b>
RIVERPARK CAPITAL	025	EMC	B	12,000	22.99	n/a	n/a	600.00	5.0
BROADARCH CAP/OLD NEWC	070	ESRX	S	2,000	50.75	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ETN	S	2,000	38.78	n/a	22-May	80.00	4.0
BROADARCH CAP/OLD NEWC	070	EWV	SS	1,000	53.66	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	FEIC	B	24,687	43.06	n/a	n/a	987.48	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>50,000</b>	<b>19.42</b>	<b>n/a</b>	<b>31-May</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	FIS	S	138,800	31.20	n/a	n/a	5,552.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>S</b>	<b>50,000</b>	<b>30.02</b>	<b>n/a</b>	<b>18-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>545</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>449</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>416</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	FOR	S	2,800	12.98	n/a	11-May	140.00	5.0
<b>f KEVIN RICHARD CARROL</b>	<b>FID</b>	<b>FXA</b>	<b>S</b>	<b>2</b>	<b>97.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	GFI	S	25,000	13.89	n/a	n/a	1,000.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>S</b>	<b>50,000</b>	<b>22.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
INVESCO	031	GM	B	248,974	21.01	n/a	4-Jun	9,958.96	4.0
NWQ INVESTMENT MGMT CO	084	GOLF	S	128,340	6.03	n/a	n/a	3,850.20	3.0
EPOCH INV MGMT	030	GPC	S	600	60.73	n/a	n/a	18.00	3.0
PALESTRA	040	HBAN	SS	75,000	5.93	n/a	n/a	2,250.00	3.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	26.81	n/a	25-May	2,500.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>HIBB</b>	<b>SS</b>	<b>50,000</b>	<b>53.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>HLF</b>	<b>S</b>	<b>50,000</b>	<b>44.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>HMB SS</b>	<b>SS</b>	<b>8,100</b>	<b>29.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.4</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>HYG</b>	<b>S</b>	<b>23</b>	<b>86.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	IBM	B	500	188.60	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	IBM	SS	500	188.26	n/a	n/a	20.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>IP</b>	<b>B</b>	<b>57,700</b>	<b>27.68</b>	<b>n/a</b>	<b>27-Apr</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	IP	S	1,000	27.43	n/a	27-Apr	30.00	3.0
EPOCH INV MGMT	030	IR	S	700	38.52	n/a	11-May	21.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	JCI	SS	1,000	28.59	n/a	27-Apr	40.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>JCI</b>	<b>S</b>	<b>200</b>	<b>28.44</b>	<b>n/a</b>	<b>27-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>JCI</b>	<b>S</b>	<b>400</b>	<b>28.35</b>	<b>n/a</b>	<b>27-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JIVE</b>	<b>B</b>	<b>10,000</b>	<b>14.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PAW PARTNERS	025	JIVE	SS	10,000	14.95	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JPCMSBCM</b>	<b>C</b>	<b>1,300</b>	<b>102.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>8.2</b>
THE JAY GOLDMAN	028	JWN	S	25,000	46.70	n/a	1-Jun	1,000.00	4.0
NEUBERGER BERMAN	036	KBR	B	113,100	23.79	n/a	n/a	4,524.00	4.0
NEUBERGER BERMAN	036	KFT	B	15,000	37.57	n/a	n/a	600.00	4.0
PAW PARTNERS	025	KMX	S	8,300	27.35	n/a	n/a	415.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>S</b>	<b>30,000</b>	<b>44.02</b>	<b>n/a</b>	<b>1-Jun</b>	<b>non-brg</b>	<b>4.0</b>
BALLAST CAP	040	LGF	S	16,500	12.01	n/a	n/a	495.00	3.0
EPOCH INV MGMT	030	LH	S	650	83.08	n/a	n/a	19.50	3.0
BROADARCH CAP/OLD NEWC	070	LII	S	2,000	39.09	n/a	n/a	80.00	4.0
BNP PARIBAS SEC	040	LL	B	50,000	27.12	n/a	n/a	2,500.00	5.0
WOODWAY FINANCIAL	031	LPX	B	64,660	8.50	n/a	7-May	1,293.20	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>LZB</b>	<b>SS</b>	<b>50,000</b>	<b>12.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

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<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MET</b>	<b>S</b>	<b>2000</b>	<b>27.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	MHK	B	5,000	62.68	n/a	n/a	150.00	3.0
EPOCH INV MGMT	030	MMC	S	2,650	31.42	n/a	n/a	79.50	3.0
BROADARCH CAP/OLD NEWC	070	MMM	SS	500	82.52	n/a	1-May	20.00	4.0
EPOCH INV MGMT	030	MSFT	S	1,200	28.42	n/a	n/a	36.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>40,000</b>	<b>102.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>8.2</b>
SANDLER O'NEILL ASSET	031	MS	B	25,000	12.49	n/a	31-May	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MWV</b>	<b>S</b>	<b>80,200</b>	<b>26.42</b>	<b>n/a</b>	<b>25-Apr</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	M	SS	30,000	36.10	n/a	1-Jun	1,200.00	4.0
BROADARCH CAP/OLD NEWC	070	NTDOY	B	1,500	14.42	n/a	n/a	60.00	4.0
PAW PARTNERS	025	NUAN	B	10,000	19.45	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	ORCL	S	2,300	26.10	n/a	n/a	69.00	3.0
PARTNER REINSURANCE	033	ORCL	B	20,352	26.20	n/a	n/a	814.08	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>S</b>	<b>60,000</b>	<b>23.21</b>	<b>n/a</b>	<b>26-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>S</b>	<b>66,100</b>	<b>23.17</b>	<b>n/a</b>	<b>26-Apr</b>	<b>non-brg</b>	<b>4.0</b>
HARVEST MGMT (JMP)	029	PLCE	B	5,000	45.02	n/a	17-May	200.00	4.0

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BNP PARIBAS SEC	040	PPG	B	5,000	97.00	n/a	25-May	250.00	5.0
EPOCH INV MGMT	030	PRU	S	300	44.61	n/a	n/a	9.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>30,000</b>	<b>75.69</b>	<b>n/a</b>	<b>25-May</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	PX	SS	500	103.45	n/a	3-May	20.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>141.68</b>	<b>n/a</b>	<b>23-May</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	ROC	B	1,500	43.39	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	ROC	SS	500	45.16	n/a	n/a	20.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>S</b>	<b>30,000</b>	<b>25.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>10,000</b>	<b>38.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	SHW	SS	500	124.62	n/a	25-May	20.00	4.0
BROADARCH CAP/OLD NEWC	070	SIAL	SS	2,000	67.51	n/a	8-May	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>50,000</b>	<b>42.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKUL</b>	<b>S</b>	<b>60,000</b>	<b>13.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	SMH	SS	5,000	30.03	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	SPLS	S	2,850	12.66	n/a	n/a	85.50	3.0
EPOCH INV MGMT	030	SPTN	B	3,866	16.42	n/a	n/a	115.98	3.0



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B BUCK CAPITAL MGMT		SUMR	B	29,000	3.05	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SUMR	S	1,300	3.05	n/a	n/a	non-brg	0.8
f ALANA J A MADIGAN-SI	FID	SWN	B	250	26.71	n/a	25-May	0.00	0.0
BNP PARIBAS SEC	040	SWN	B	20,000	26.75	n/a	25-May	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	SXCI	SS	1,000	87.42	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		TDG	SS	5,000	121.30	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	TIF	SS	500	54.29	n/a	n/a	20.00	4.0
ARSENAL ASSET MANAGEMENT	028	TJX	B	10,000	40.90	n/a	1-Jun	400.00	4.0
BROADARCH CAP/OLD NEWC	070	TMO	SS	1,000	48.35	n/a	n/a	40.00	4.0
EPOCH INV MGMT	030	TMO	S	600	48.39	n/a	n/a	18.00	3.0
B BUCK CAPITAL MGMT		TPX	S	50,000	42.51	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	TPX	S	48,500	42.34	n/a	n/a	1,940.00	4.0
SENATOR INVESTMENT GROUP	036	TROW	B	75,000	54.89	n/a	n/a	2,250.00	3.0
EPOCH INV MGMT	030	TRV	S	450	60.32	n/a	n/a	13.50	3.0
BROADARCH CAP/OLD NEWC	070	TUMI	B	1,000	15.45	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TWX	B	1,000	34.31	n/a	n/a	40.00	4.0
EPOCH INV MGMT	030	TXN	S	2,800	26.89	n/a	n/a	84.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>TXRH</b>	<b>SS</b>	<b>50,000</b>	<b>17.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TUDOR INVESTORS	028	TXT	B	4,000	22.77	n/a	n/a	120.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>S</b>	<b>20,000</b>	<b>85.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>S</b>	<b>20,000</b>	<b>85.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	VECO	B	1,250	33.27	n/a	n/a	50.00	4.0
BROADARCH CAP/OLD NEWC	070	VZ	B	1,500	41.17	n/a	n/a	60.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>WBC</b>	<b>S</b>	<b>500</b>	<b>48.71</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	WLT	B	5,000	46.61	n/a	n/a	150.00	3.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>5000</b>	<b>6.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	WPI	SS	600	68.78	n/a	4-Jun	24.00	4.0
BROADARCH CAP/OLD NEWC	070	WYNN	SS	1,000	96.89	n/a	13-Jun	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WY</b>	<b>B</b>	<b>28,100</b>	<b>18.97</b>	<b>n/a</b>	<b>4-May</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	XLB	SS	1,000	33.09	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	XLI	SS	1,000	33.24	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	XLU	B	7,000	35.76	n/a	n/a	280.00	4.0
BROADARCH CAP/OLD NEWC	070	XOM	B	1,700	77.75	n/a	n/a	68.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	XPO	S	500	16.66	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								65,713.30	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/01	BASIX	033	KMT	B	5,700	33.93	n/a	27-Apr	171.00 3.0
AO,CXL	06/01	BASIX	033	KMT	B	5,700	33.93	n/a	27-Apr	171.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	65,713.30
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>65,713.30</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 4-Jun.

ARCO

MRI Securities without Trade Activity on 4-Jun.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)