



# Daily Compliance Activity Report

Trade Date: 09/24/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL 1 C700	C	60	37.05	n/a	n/a	non-brg 300.0	
B BUCK CAPITAL MGMT		AAPL 1 C700	C	60	37.05	n/a	n/a	non-brg 300.0	
BROADARCH CAP/OLD NEWC	070	AAPL	B	400	693.65	n/a	n/a	16.00	4.0
f MICHAEL ALEXANDER SM	FID	AAPL	B	1	36.55	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	B	5	36.44	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	S	15	1.83	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	S	5	1.84	n/a	n/a	0.00	0.0
EAGLE ASSET MGMT. (FLORIDA) 093	ABT		B	890	69.50	n/a	n/a	17.80	0.0
EAGLE ASSET MGMT. (FLORIDA) 093	ACC		B	1,530	44.06	n/a	n/a	30.60	0.0
EAGLE ASSET MGMT. (FLORIDA) 093	AET		B	1,475	40.34	n/a	n/a	29.50	0.0
BROADARCH CAP/OLD NEWC	070	AIG	B	1,500	33.76	n/a	n/a	60.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093	AMAT		B	4,655	11.36	n/a	n/a	93.10	0.0
EAGLE ASSET MGMT. (FLORIDA) 093	AMP		B	1,130	57.28	n/a	n/a	22.60	0.0
HARVEST MGMT (JMP)	029	ARO	SS	25,000	13.96	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		ATI	B	30,000	32.95	n/a	14-Sep	non-brg	4.0
EAGLE ASSET MGMT. (FLORIDA) 093	ATW		B	1,385	45.79	n/a	n/a	27.70	0.0
BROADARCH CAP/OLD NEWC	070	AVGO	S	2,000	34.60	n/a	n/a	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093	AXE	B	1,400	62.14	n/a	11-Sep	28.00	0.0	
<b>Õ Nilsa Vazquez</b>	<b>AXL</b>	<b>B</b>	<b>750</b>	<b>11.52</b>	<b>n/a</b>	<b>30-Jul</b>	<b>0.00</b>	<b>0.0</b>	
<b>ß BUCK CAPITAL MGMT</b>	<b>BONT</b>	<b>S</b>	<b>6,700</b>	<b>10.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>	
<b>f WILLIAM WEINBERG</b>	<b>FID BTH</b>	<b>B</b>	<b>1000</b>	<b>32.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>	
SMITH MGMT/ALDEN GLOBAL	029 BZH	S	250,000	3.86	n/a	n/a	7,500.00	3.0	
PRIMECAP MGMT	084 CB	S	1,800	75.90	n/a	n/a	72.00	0.0	
<b>ß BUCK CAPITAL MGMT</b>	<b>CELG</b>	<b>S</b>	<b>92,652</b>	<b>76.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>	
EAGLE ASSET MGMT. (FLORIDA) 093	CFNL	B	5,685	14.59	n/a	n/a	113.70	0.0	
BASSWOOD PARTNERS	267 CIT	B	10,900	40.81	n/a	20-Aug	436.00	0.0	
BAIRD INVESTMENT	047 CLR	B	2,275	77.39	n/a	n/a	113.75	0.0	
HARVEST MGMT (JMP)	029 CRS	S	10,000	53.20	n/a	n/a	400.00	4.0	
BROADARCH CAP/OLD NEWC	070 CRUS	SS	1,000	40.06	n/a	n/a	40.00	4.0	
CATAPULT	040 CTB	SS	20,050	20.70	n/a	n/a	802.00	0.0	
EAGLE ASSET MGMT. (FLORIDA) 093	CTL	B	1,095	42.07	n/a	n/a	21.90	0.0	
BRONSON POINT	036 C	B	100,000	33.62	n/a	17-Sep	3,000.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA)	093	C	B	2,790	33.45	n/a	17-Sep	55.80	0.0
EMPYREAN CAPITAL	084	DDR	S	65,000	15.53	n/a	n/a	3,250.00	0.0
BROADARCH CAP/OLD NEWC	070	DD	SS	1,500	51.12	n/a	21-Sep	60.00	4.0
EAGLE ASSET MGMT. (FLORIDA)	093	DD	B	1,380	51.09	n/a	21-Sep	27.60	0.0
ß BUCK CAPITAL MGMT		DECK	B	25,000	38.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	B	25,000	38.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	B	25,000	38.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	B	25,000	38.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DLTR	B	20,000	48.86	n/a	16-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		DNKN	C	25,000	30.17	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DNKN	C	25,000	30.17	n/a	n/a	non-brg	4.0
EAGLE ASSET MGMT. (FLORIDA)	093	DOV	B	1,060	59.99	n/a	n/a	21.20	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	DPZ	B	1,115	35.22	n/a	24-Jul	22.30	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	DTV	B	1,380	52.54	n/a	n/a	27.60	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	DVN	B	760	60.28	n/a	23-Jul	15.20	0.0
BROADARCH CAP/OLD NEWC	070	EDZ	B	2,000	11.60	n/a	n/a	80.00	4.0
CAMBIAR CAP	046	ENDP	B	30,000	32.73	n/a	24-Sep	1,200.00	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	EOG	B	555	112.81	n/a	n/a	11.10	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EAGLE ASSET MGMT. (FLORIDA) 093	ETN	B	1,405	47.60	n/a	12-Sep	28.10	0.0	
BROADARCH CAP/OLD NEWC	070	FCX	S	12,000	40.22	n/a	n/a	480.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093	FCX	B	1,400	40.43	n/a	n/a	28.00	0.0	
BALYASNY ASSET MGMT	044	FDO	B	30,000	64.90	n/a	19-Jul	1,500.00	0.0
METROPOLITAN CAPITAL	044	FINL	B	9,300	23.03	n/a	21-Sep	465.00	0.0
BROADARCH CAP/OLD NEWC	070	FMC	B	2,000	57.34	n/a	8-Dec	80.00	4.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>2077</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	035	GE	S	250	22.39	n/a	n/a	30.00	12.0
OZ MGMT	040	GM	S	36,044	24.25	n/a	18-Sep	1,081.32	0.0
ROSEDALE CAPITAL	046	GM	B	20,000	24.35	n/a	18-Sep	800.00	4.0
BROADARCH CAP/OLD NEWC	070	GPS	B	2,000	35.91	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	GRA	B	1,000	60.17	n/a	n/a	40.00	4.0
CATAPULT	040	GT	S	25,650	12.79	n/a	n/a	1,026.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HD</b>	<b>S</b>	<b>15</b>	<b>0.49</b>	<b>n/a</b>	<b>14-Aug</b>	<b>0.00</b>	<b>0.0</b>
EAGLE ASSET MGMT. (FLORIDA) 093	HD	B	1,190	59.25	n/a	14-Aug	23.80	0.0	
ARSENAL ASSET MANAGEMENT	028	HEES	S	50,000	12.94	n/a	n/a	2,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HMB SS</b>	<b>SS</b>	<b>50,000</b>	<b>37.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.6</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	HON	B	800	60.00	n/a	12-Sep	32.00	4.0
EAGLE ASSET MGMT. (FLORIDA)	093	HON	B	1,310	60.01	n/a	12-Sep	26.20	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	HPP	B	3,860	18.50	n/a	n/a	77.20	0.0
CAPITAL RESEARCH GROUP		296 HPQ	B	225,000	17.22		n/a	n/a	7,875.00 0.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	S	100,000	14.38	n/a	n/a	3,000.00	0.0
1798 CAP/LOMBARD ASSET	040	HW	B	15,000	7.37	n/a	n/a	600.00	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	IBM	B	560	205.52	n/a	n/a	11.20	0.0
BROADARCH CAP/OLD NEWC	070	IP	B	3,200	37.05	24-Sep	24-Sep	128.00	4.0
CR INTRINSIC/CHRIS C	041	IP	B	5,000	36.85	24-Sep	24-Sep	175.00	3.5
CSFB GLOBAL PROPRIETARY	041	IP	B	188,771	36.73	24-Sep	24-Sep	9,438.55	5.0
SCOPUS FUND	041	IP	S	25,000	36.94	24-Sep	24-Sep	1,000.00	4.0
HARVEST MGMT (JMP)	029	IWM	B	6,200	84.88	n/a	n/a	248.00	0.0
LISTED ERR	099	IWM	B	6,200	85.00	n/a	n/a	0.00	0.0
LISTED ERR	099	IWM	S	6,200	84.88	n/a	n/a	0.00	0.0
LISTED ERR	099	IWN	B	6,200	75.49	n/a	n/a	0.00	0.0
LISTED ERR	099	IWN	S	6,200	75.49	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JNY	S	100,000	13.19	n/a	26-Jul	non-brg	4.0
CATAPULT CAP/DEFRANCO	040	JOY	B	23,478	60.88	n/a	11-Jul	939.12	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	JPM	B	1,810	41.20	n/a	17-Sep	36.20	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	KLAC	SS	1,000	47.06	n/a	n/a	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KNX</b>	<b>B</b>	<b>17,300</b>	<b>14.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>S</b>	<b>10,000</b>	<b>54.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SCOPUS FUND	041	KSS	SS	20,000	52.23	n/a	31-Aug	800.00	4.0
EAGLE ASSET MGMT. (FLORIDA)	093	LAZ	B	1,550	30.50	n/a	5-Sep	31.00	0.0
1798 CAP/LOMBARD ASSET	040	LEN	S	77,000	37.13	n/a	n/a	3,850.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	50,000	14.04	n/a	31-Jul	2,500.00	5.0
EAGLE ASSET MGMT. (FLORIDA)	093	LUFK	B	1,435	56.82	n/a	n/a	28.70	0.0
BALYASNY ASSET MGMT	044	MCD	C	10,000	93.54	n/a	11-Sep	500.00	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	MD	B	875	75.53	n/a	n/a	17.50	0.0
APEX CAPITAL MGMT.	261	MGM	B	100,000	10.79	n/a	13-Jun	4,000.00	0.0
DISCIPLINED GROWTH INV.	030	MIDD	S	300	117.37	n/a	n/a	15.00	0.0
BROADARCH CAP/OLD NEWC	070	MMM	SS	500	93.62	n/a	21-Sep	20.00	4.0
CATAPULT	040	MOS	B	20,846	59.63	n/a	n/a	833.84	0.0
CRAMER ROSENTHAL	070	MTN	S	475	53.39	n/a	n/a	19.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MASTERS CAPITAL MANAGE	025	MTU	S	100,000	4.76	n/a	n/a	3,000.00	3.0
EAGLE ASSET MGMT. (FLORIDA)	093	MYL	B	3,675	24.20	n/a	24-Sep	73.50	0.0
FIRST NY SEC/CHRIS	041	M	B	25,000	38.05	n/a	31-Aug	1,050.00	4.0
J. GOLDMAN	028	M	B	40,000	37.90	n/a	31-Aug	1,600.00	4.0
LEVIN CAPITAL STRATEGIES	041	M	B	57,600	37.94	n/a	31-Aug	1,728.00	0.0
SIMMONS VENTURES	041	M	B	7,500	37.98	n/a	31-Aug	300.00	4.0
EAGLE ASSET MGMT. (FLORIDA)	093	NGG	B	1,130	55.90	n/a	n/a	22.60	0.0
EMPYREAN CAPITAL	084	NNN	S	32,000	30.92	n/a	n/a	1,600.00	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	OII	B	1,550	55.81	n/a	n/a	31.00	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	OMC	B	1,570	53.42	n/a	n/a	31.40	0.0
SAC CHICAGO ANDREW	031	OMX	B	12,978	8.08	n/a	n/a	454.23	3.5
BROADARCH CAP/OLD NEWC	070	ORCL	SS	2,000	32.16	n/a	n/a	80.00	4.0
EAGLE ASSET MGMT. (FLORIDA)	093	PG	B	930	69.56	n/a	18-Sep	18.60	0.0
THREE G	285	PG	SS	470,000	69.57	n/a	18-Sep	14,100.00	3.0
1798 CAP/LOMBARD ASSET	040	PHM	S	35,000	16.71	n/a	n/a	1,750.00	0.0
BROADARCH CAP/OLD NEWC	070	PH	SS	500	85.11	n/a	n/a	20.00	4.0
LATEEF MGMT	035	PKG	S	1,000	34.86	24-Sep	24-Sep	100.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	QQQ	B	2,000	69.72	n/a	n/a	80.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	S	900	30.59	n/a	n/a	45.00	0.0
1798 CAP/LOMBARD ASSET	040	RKT	S	30,000	73.06	24-Sep	24-Sep	1,500.00	0.0
BROADARCH CAP/OLD NEWC	070	RKT	B	1,000	72.96	24-Sep	24-Sep	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RKT</b>	<b>S</b>	<b>30,000</b>	<b>73.01</b>	<b>24-Sep</b>	<b>24-Sep</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	RKT	S	35,000	72.94	24-Sep	24-Sep	1,400.00	4.0
WILLIAMS TRADING/BLUE MTN	087	RKT	B	92,240	72.94	24-Sep	24-Sep	2,767.20	0.0
BROADARCH CAP/OLD NEWC	070	ROC	B	1,000	48.18	n/a	n/a	40.00	4.0
EAGLE ASSET MGMT. (FLORIDA)	093	SFD	B	3,360	19.69	n/a	n/a	67.20	0.0
BROADARCH CAP/OLD NEWC	070	SI	SS	500	101.72	n/a	n/a	20.00	4.0
HARVEST MGMT (JMP)	029	SKS	S	30,000	10.58	n/a	n/a	1,200.00	4.0
BROADARCH CAP/OLD NEWC	070	SMH	B	2,000	31.81	n/a	n/a	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPLS</b>	<b>C</b>	<b>30,000</b>	<b>12.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SPLS</b>	<b>C</b>	<b>30,000</b>	<b>12.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
EAGLE ASSET MGMT. (FLORIDA)	093	SPW	B	1,015	66.96	n/a	n/a	20.30	0.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>SRI</b>	<b>B</b>	<b>5000</b>	<b>5.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EAGLE ASSET MGMT. (FLORIDA)	093	STBZ	B	2,335	16.25	n/a	n/a	46.70	0.0
FINDLAY PARK PART	085	STT	B	304,000	43.37	n/a	11-Sep	19,669.38	0.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>B</b>	<b>29,300</b>	<b>8.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
COOPER CREEK PART	028	SWFT	B	10,000	8.59	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	SWKS	SS	1,000	24.41	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	TJX	S	1,500	44.42	n/a	31-Aug	60.00	4.0
DISIPLINED GROWTH INV.	030	TJX	S	200	44.28	n/a	31-Aug	10.00	0.0
IVORY CAPITAL	034	TOL	B	87,767	36.06	n/a	n/a	4,388.35	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>TROX</b>	<b>S</b>	<b>2500</b>	<b>26.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>TROX</b>	<b>S</b>	<b>300</b>	<b>26.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EAGLE ASSET MGMT. (FLORIDA)	093	TUP	B	1,140	55.81	n/a	n/a	22.80	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	T	B	1,345	38.34	n/a	n/a	26.90	0.0
EAGLE ASSET MGMT. (FLORIDA)	093	UNP	B	620	120.76	n/a	n/a	12.40	0.0
MASTERS CAPITAL MANAGE	025	VMC	S	34,867	48.17	n/a	n/a	1,394.68	4.0
BROADARCH CAP/OLD NEWC	070	WAT	SS	1,500	84.12	n/a	n/a	60.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>B</b>	<b>24,000</b>	<b>21.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAC CHICAGO ANDREW	031	WFM	SS	10,000	100.25	n/a	n/a	350.00	3.5
CHESAPEAKE PARTNERS	028	WLL	B	10,000	48.38	n/a	n/a	300.00	3.0
BROADARCH CAP/OLD NEWC	070	XLI	SS	1,500	36.80	n/a	n/a	60.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		XLY	SS	90,000	47.36	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XLY	SS	90,000	47.36	n/a	n/a	non-brg	2.0
HARVEST MGMT (JMP)	029	XRT	B	5,000	63.56	n/a	n/a	200.00	4.0
EAGLE ASSET MGMT. (FLORIDA) 093		XRX	B	5,610	7.76	n/a	n/a	112.20	0.0
EAGLE ASSET MGMT. (FLORIDA) 093		ZMH	B	1,255	67.40	n/a	n/a	25.10	0.0
<b>TOTAL (Trade Date):</b>							<b>122,976.72</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	------	--------	-----	--------	-------	--------------	-------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (Trade Date):									122,976.72
---------------------	--	--	--	--	--	--	--	--	------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									122,976.72
-------------------------	--	--	--	--	--	--	--	--	------------

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 24-Sep.

IP, PKG, RKT

MRI Securities without Trade Activity on 24-Sep.

GIL, DRI

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)**