



## Daily Compliance Activity Report

Trade Date: 09/23/2013

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	006	AAPL	B	200	489.25	n/a	n/a	8.00	4.0
BROADARCH CAP/OLD NEWC	006	AET	B	2,000	63.62	n/a	n/a	80.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMZN</b>	<b>S</b>	<b>5</b>	<b>3.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ANF</b>	<b>B</b>	<b>30</b>	<b>0.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BBRY</b>	<b>B</b>	<b>40</b>	<b>1.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J. GOLDMAN	028	BIG	S	42,159	37.22	n/a	n/a	1,686.36	4.0
NEWLAND CAPITAL MGT	025	BLDR	B	20,000	5.93	n/a	n/a	800.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CACH</b>	<b>S</b>	<b>14</b>	<b>6.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	006	CAH	SS	2,000	53.10	n/a	n/a	80.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CAT</b>	<b>S</b>	<b>30</b>	<b>0.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	006	CE	S	3,000	50.96	n/a	n/a	120.00	4.0
CORTEX CAPITAL	031	CLX	B	10,000	83.07	30-Aug	n/a	300.00	3.0
BARON ASSET MGMT*	006	CPRT	B	20,000	34.50	n/a	n/a	800.00	4.0
<b>f CAROL ANNE LACHENAU</b>	<b>FID</b>	<b>DGRIX</b>	<b>S</b>	<b>129</b>	<b>19.38</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.	
J. GOLDMAN	028	DG	B	30,000	58.00	5-Sep	17-Sep	1,200.00	4.0
BROADARCH CAP/OLD NEWC	006	DHR	SS	1,500	69.56	n/a	n/a	60.00	4.0
ENTRUST CAPITAL-N/C TO MSF CAP		040	DRI	B	19,653	45.57	23-Sep	23-Sep	982.65 5.0
LAGRANGE CAP ADV	087	EGO	B	20,000	6.88	n/a	n/a	1,000.00	5.0
TYVOR CAPITAL LLC	031	EXPR	S	15,000	23.85	n/a	n/a	450.00	3.0
BROADARCH CAP/OLD NEWC	006	FAZ	B	2,000	28.98	n/a	n/a	80.00	4.0
J. GOLDMAN	028	FDO	S	20,000	74.08	n/a	n/a	800.00	4.0
IONIC CAPITAL MANAGEMENT	041	FISV	B	4,600	101.23	n/a	n/a	138.00	3.0
ROTHSCHILD ASSET	040	FOE	B	19,833	8.87	n/a	n/a	793.32	4.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>8025</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAERUS GLOBAL	041	F	B	10,000	17.23	n/a	19-Sep	400.00	4.0
CASTLEROCK	040	F	S	40,000	17.10	n/a	19-Sep	1,600.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>F</b>	<b>B</b>	<b>10,000</b>	<b>17.13</b>	<b>n/a</b>	<b>19-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>F</b>	<b>S</b>	<b>10,000</b>	<b>17.01</b>	<b>n/a</b>	<b>19-Sep</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	GE	B	200,000	24.30	n/a	n/a	6,000.00	3.0
VISIUM/BALY BOBBY	044	GE	SS	20,000	24.23	n/a	n/a	1,000.00	5.0
CAERUS GLOBAL	041	GM	S	5,000	37.15	n/a	23-Sep	200.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
	CASTLEROCK	040	GM	B	11,260	36.92	n/a	23-Sep	450.40	4.0
	OZ MGMT	040	GM	S	50,000	37.19	n/a	23-Sep	1,500.00	3.0
	LISTED ERR	099	GM	B	5,000	36.93	n/a	23-Sep	0.00	0.0
	LISTED ERR	099	GM	S	5,000	36.93	n/a	23-Sep	0.00	0.0
	TYVOR CAPITAL LLC	031	GNC	S	10,000	53.84	n/a	n/a	300.00	3.0
	IONIC CAPITAL MANAGEMENT	041	GPN	B	9,400	49.67	n/a	n/a	282.00	3.0
f	BROADARCH CAP/OLD NEWC	006	GS	S	750	165.39	n/a	6-Sep	30.00	4.0
	DAVID GEORGE BUCK	FID	GS	S	10	3.56	n/a	6-Sep	0.00	0.0
	NOKOMIS PARTNERS	031	HCOM	S	2,701	26.96	n/a	n/a	81.03	3.0
f	DAVID GEORGE BUCK	FID	HMA	S	2500	12.77	n/a	n/a	0.00	0.0
	IONIC CAPITAL MANAGEMENT	041	HPY	B	12,300	38.91	n/a	n/a	369.00	3.0
f	JONATHAN RICHARD HAR	FID	HTZ	S	4300	25.63	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	006	HUN	B	2,000	20.45	n/a	n/a	80.00	4.0
	BROADARCH CAP/OLD NEWC	006	ITB	S	5,000	22.20	n/a	n/a	200.00	4.0
	SIGMA CAP BOBBY	041	JCP	B	50,000	12.34	n/a	23-Sep	1,500.00	3.0
	BROADARCH CAP/OLD NEWC	006	JPM	SS	1,500	51.65	n/a	17-Sep	60.00	4.0
	TIEDEMANN/TIG ADVISORS LLC006	KBH		B	5,900	17.04	n/a	n/a	295.00	5.0
	CAERUS GLOBAL	041	KORS	B	5,000	74.76	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	K	B	250	60.28	n/a	n/a	50.00	20.0
FRED ALGER MGMT	300	LEN	B	8,500	34.33	n/a	n/a	306.00	4.0
KORT	025	LPX	S	100,000	17.50	n/a	20-Sep	3,000.00	3.0
BROADARCH CAP/OLD NEWC	006	MCK	S	1,000	130.65	n/a	n/a	40.00	4.0
FRED ALGER MGMT	300	MSM	B	19,105	80.34	n/a	n/a	687.78	4.0
CORTEX CAPITAL	031	M	B	10,000	44.66	n/a	n/a	300.00	3.0
LATEEF MGMT	033	NUE	S	400	49.89	n/a	n/a	48.00	12.0
J. GOLDMAN	028	PKG	SS	28,000	58.74	17-Sep	18-Sep	1,120.00	4.0
MERRILL ASSET/BLACKROCK	085	PRE	S	10,600	90.82	n/a	n/a	424.00	4.0
BROADARCH CAP/OLD NEWC	006	PX	SS	1,500	121.11	n/a	n/a	60.00	4.0
RIVERPARK CAPITAL	025	RLGY	B	10,201	43.21	n/a	n/a	510.05	5.0
BROADARCH CAP/OLD NEWC	006	SI	SS	1,500	121.14	n/a	n/a	60.00	4.0
S.A.C. CAPITAL	044	SPY	B	225,000	169.96	n/a	n/a	6,750.00	3.0
GOLD SACHS SPECIAL SIT	030	SRI	B	40,000	11.18	n/a	n/a	2,000.00	5.0
TYVOR CAPITAL LLC	031	SSI	B	2,401	19.94	n/a	13-Sep	72.03	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RIVERPARK CAPITAL	025	SWN	B	13,160	36.86	n/a	n/a	658.00	5.0
FSI GROUP, LLC	047	TCO	S	30,000	68.34	n/a	n/a	1,200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TDG</b>	<b>C</b>	<b>10,000</b>	<b>135.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
HAWK RIDGE	025	TECD	B	12,000	49.73	n/a	n/a	360.00	3.0
BRONSON POINT	036	TFSL	B	20,000	11.12	n/a	n/a	600.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>THC</b>	<b>B</b>	<b>2000</b>	<b>40.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	006	TMO	S	4,000	93.32	n/a	n/a	160.00	4.0
LATEEF MGMT	033	TRV	S	150	86.47	n/a	n/a	36.00	24.0
IONIC CAPITAL MANAGEMENT	041	TSS	B	15,900	29.37	n/a	n/a	477.00	3.0
BROADARCH CAP/OLD NEWC	006	UNH	SS	1,500	70.86	n/a	n/a	60.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>B</b>	<b>10</b>	<b>0.93</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	084	WFC	B	3,000	42.22	n/a	10-Sep	120.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	WNC	B	80,425	11.55	n/a	23-Sep	2,412.75	3.0
NOKOMIS PARTNERS	031	WTW	SS	18,000	37.58	n/a	n/a	540.00	3.0
BROADARCH CAP/OLD NEWC	006	XLI	SS	2,000	46.73	n/a	n/a	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	XRT	SS	15,000	82.11	n/a	n/a	450.00	3.0
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>YELP</b>	<b>B</b>	<b>200</b>	<b>66.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ROHINI T SADARANGANI</b>	<b>FID</b>	<b>YELP</b>	<b>B</b>	<b>100</b>	<b>66.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	YUM	SS	11,618	71.62	9-Sep	9-Sep	464.72	4.0
PRIMECAP MGMT	084	ZMH	S	1,000	83.93	n/a	n/a	40.00	4.0
<b>TOTAL (Trade Date):</b>								<b>47,012.09</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/20	FIFTH THIRD BANK/FREEMAN	047	EFA	B	6,250	64.43	n/a	n/a	250.00 4.0
AO,CXL	09/20	FIFTH THIRD BANK/FREEMAN	047	EFA	B	6,250	64.43	n/a	n/a	312.50 0.0
AO,CXL	09/16	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	S	13,885	52.16	n/a	n/a	473.10 0.0
AO,	09/16	GUGGENHEIM GLOBAL TRADING (GGT)	251	SUSS	S	13,885	52.25	n/a	n/a	416.55 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-119.05</b>

TOTAL (Trade Date) :	47,012.09
TOTAL (AO, CXL, CRT) :	-119.05

<b>TOTAL (RUN DATE) / NFS :</b>	<b>46,893.04</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	09/18	BUCK CAPITAL MGMT.	KORS	S	50,000	74.05	n/a	n/a	250.00
CRT	09/18	BUCK CAPITAL MGMT	KORS	S	50,000	74.44	n/a	n/a	2000.00 4.0
CXL	09/18	BUCK CAPITAL MGMT.	KORS	S	50,000	74.05	n/a	n/a	250.00
CRT	09/18	BUCK CAPITAL MGMT	KORS	S	50,000	74.05	n/a	n/a	500.00 1.0

MRI Securities with Trade Activity on 23-Sep.

DRI

MRI Securities without Trade Activity on 23-Sep.

COL

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)**