



Daily Compliance Activity Report

Trade Date: 11/07/2013

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	S	300	518.99	n/a	n/a	12.00	4.0
NEUBERGER BERMAN	036	ABB	B	10,000	25.27	n/a	n/a	400.00	4.0
BMO / M&I FUNDS	047	ACAS	S	175,153	13.83	n/a	n/a	7,006.12	4.0
f ANTHONY SUTERA	FID	AEO	S	1000	15.20	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		AEO	B	150,000	16.06	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	AET	B	40,000	63.13	n/a	n/a	1,600.00	4.0
f EDWARD W WHEELER	FID	AGN	B	4000	88.94	30-Oct	29-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		ANN	B	100,000	35.53	n/a	n/a	non-brg	4.0
ESSENCIAL CAPITAL	031	APA	S	2,000	90.81	n/a	n/a	60.00	3.0
ß BUCK CAPITAL MGMT		ARO	B	100,000	8.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	B	50,000	8.68	n/a	n/a	non-brg	3.0
BROADARCH CAP/OLD NEWC	006	AXLL	B	5,000	42.59	n/a	n/a	200.00	4.0
ARDSLEY PARTNERS	280	AYI	SS	5,000	99.68	n/a	n/a	250.00	5.0
NEUBERGER BERMAN	036	BRKB	B	5,000	114.89	n/a	n/a	200.00	4.0
FRED ALGER MGMT	300	BRY	S	20,165	49.48	n/a	n/a	725.94	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	CAG	B	15,000	32.59	n/a	n/a	600.00	4.0
NEUBERGER BERMAN	036	CAH	B	5,000	60.92	n/a	n/a	200.00	4.0
MAPLE ROW	006	CAR	S	5,000	31.03	n/a	n/a	150.00	3.0
BROADARCH CAP/OLD NEWC	006	CMCSK	B	1,000	46.92	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		CONN	B	10,000	57.29	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CONN	B	7,531	57.81	n/a	n/a	non-brg	4.0
MSF CAPITAL (ENTRUST)	040	CVA	B	69,772	17.55	n/a	n/a	3,488.60	5.0
NEUBERGER BERMAN	036	CVE	B	10,000	28.87	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	006	CVS	B	3,000	63.73	n/a	n/a	120.00	4.0
AMICI CAPITAL N/C	044	DAL	S	80,000	26.82	23-Oct	4-Nov	3,200.00	4.0
BROADARCH CAP/OLD NEWC	006	DHR	SS	2,000	72.79	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	006	DOW	B	500	39.36	n/a	n/a	20.00	4.0
f EDWARD W WHEELER	FID	DXPE	B	20	26.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ELLI	B	12,632	22.63	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	006	ESRX	B	1,000	65.38	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		EXPE	SS	17,000	59.28	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	006	FAZ	B	1,000	26.52	n/a	n/a	40.00	4.0
f IAN L MILLER	FID	FBC	S	100	18.03	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	FBNIQ	S	2085	0.59	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	FB	S	4,500	48.34	n/a	n/a	180.00	4.0
CAMBIAR CAP	046	FDP	S	33,800	26.71	n/a	n/a	1,352.00	4.0
CAMBIAR CAP	046	FINL	S	10,066	24.82	n/a	7-Nov	402.64	4.0
ß BUCK CAPITAL MGMT		FNP	S	17,000	29.56	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		FTK	B	24,000	21.16	n/a	n/a	non-brg	4.0
f ANTHONY SUTERA	FID	FWM	B	2000	18.83	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FWM	B	10,000	22.62	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		FWM	B	30,000	21.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FWM	B	30,000	21.45	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FWM	B	84,000	19.99	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	006	GILD	S	1,000	67.52	n/a	n/a	40.00	4.0
ARDSLEY PARTNERS	280	GM	S	35,000	36.46	n/a	7-Nov	1,750.00	5.0
BROADARCH CAP/OLD NEWC	006	GOOG	S	2001,014.03		n/a	n/a	8.00	4.0
ß BUCK CAPITAL MGMT		GPS	C	30,000	40.81	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GPS	C	75,000	41.13	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		GPS	SS	75,000	37.90	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	GSVC	S	200	13.77	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	GSVC	S	1000	14.04	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	GS	B	2,000	163.76	n/a	7-Nov	80.00	4.0
BARON ASSET MGMT*	006	GWRE	B	10,000	46.32	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		HOS	SS	9,500	52.98	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HRC	S	2000	40.61	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	HRC	S	400	40.62	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	HRC	S	250	40.65	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	HSIC	B	5,000	109.79	n/a	n/a	200.00	4.0
MSF CAPITAL (ENTRUST)	040	INT	SS	16,194	37.25	n/a	n/a	809.70	5.0
B BUCK CAPITAL MGMT		IP	B	11,500	43.18	n/a	25-Oct	non-brg	3.0
THOMPSON SIEGAL&WALMSLEY	029	JBLU	B	370,750	7.53	n/a	4-Nov	11,122.50	3.0
NEUBERGER BERMAN	036	JPM	B	10,000	51.97	n/a	7-Nov	400.00	4.0
B BUCK CAPITAL MGMT		KND	B	75,000	13.90	n/a	n/a	non-brg	3.0
MACELLUM CAPITAL	086	KSS	SS	26,000	56.70	n/a	n/a	780.00	3.0
SCOPUS FUND	041	LAD	B	4,300	63.72	n/a	n/a	172.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	S	40,000	40.14	24-Oct	7-Nov	2,000.00	5.0
B BUCK CAPITAL MGMT		LPNT	B	10,000	49.61	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	LRN	B	69,710	19.19	n/a	n/a	2,788.40	4.0
B BUCK CAPITAL MGMT		LZB	B	35,000	23.15	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	MAT	B	5,000	44.62	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	MDLZ	B	15,000	32.36	n/a	n/a	600.00	4.0
ARDSLEY PARTNERS	280	MRC	S	25,000	30.24	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	MSFT	B	10,000	37.70	n/a	n/a	400.00	4.0
ARDSLEY PARTNERS	280	MTZ	S	25,000	31.71	n/a	n/a	1,250.00	5.0
CORNERSTONE	030	MU	B	100,000	17.98	n/a	n/a	3,000.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	50,000	33.95	30-Oct	30-Oct	2,500.00	5.0
SOROS	036	MWV	S	50,000	33.92	30-Oct	30-Oct	2,000.00	4.0
f YANAI A FRANK	FID	MXIM	B	500	28.46	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	M	B	35,000	46.22	n/a	n/a	1,050.00	3.0
B BUCK CAPITAL MGMT		NCLH	S	25,000	31.74	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	NFG	B	5,000	71.16	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	NKTR	B	9,200	8.94	n/a	n/a	276.00	3.0
WELCH CAPITAL	025	ORCL	B	45,840	34.26	n/a	n/a	1,833.60	4.0
WOODWAY FINANCIAL	031	PAA	B	87,000	51.66	n/a	n/a	2,610.00	3.0
B BUCK CAPITAL MGMT		PBPB	C	31,800	25.82	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PBPB	C	8,200	25.83	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		PCLN	C	1,000	978.90	n/a	n/a	non-brg	3.0
f ANTHONY SUTERA	FID	PCYO	S	1200	6.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PETM	SS	7,000	73.23	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	PFE	B	10,000	31.21	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	006	PKG	SS	2,000	60.75	n/a	17-Oct	80.00	4.0
ALLIANZ/NICOLAS APPLGATE		084 PRU		S	226,500	84.54	n/a	n/a	2,265.00 1.0
HAHN CAPITAL MANAGEMENT	084	PWR	B	135,142	30.27	n/a	n/a	6,757.10	5.0
BROADARCH CAP/OLD NEWC	006	QCOM	SS	500	66.88	n/a	n/a	20.00	4.0
f DAVID GEORGE BUCK	FID	QCOR	S	2000	58.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RDN	S	30,000	14.22	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RDN	S	35,000	14.05	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RL	B	10,000	175.75	n/a	7-Nov	non-brg	4.0
NEUBERGER BERMAN	036	SLB	B	5,000	93.18	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	006	SNDK	SS	2,000	67.65	n/a	n/a	80.00	4.0
BMO / M&I FUNDS	047	SPLS	S	20,000	16.08	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	006	SSO	SS	2,000	92.95	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	006	SUNE	B	1,000	11.24	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	006	TMO	SS	2,000	97.34	n/a	n/a	80.00	4.0
CAERUS GLOBAL	041	TPX	S	744	46.87	n/a	n/a	29.76	4.0
CADIAN CAPITAL	041	TSCO	S	21,000	70.69	n/a	n/a	630.00	3.0
B BUCK CAPITAL MGMT		TWTR	B	1,000	26.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		TWTR	S	1,000	45.50	n/a	n/a	non-brg	2.5
BROADARCH CAP/OLD NEWC	006	TWX	S	4,000	67.04	n/a	n/a	160.00	4.0
B BUCK CAPITAL MGMT		UAL	B	15,000	34.65	25-Oct	4-Nov	non-brg	4.0
BROADARCH CAP/OLD NEWC	006	UHS	SS	2,000	78.91	n/a	n/a	80.00	4.0
ESSENCIAL CAPITAL	031	UNH	S	3,000	70.84	n/a	n/a	90.00	3.0
BROADARCH CAP/OLD NEWC	006	VXX	B	1,000	12.46	n/a	n/a	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRED ALGER MGMT	300	WMGI	B	36,000	26.75	n/a	n/a	1,296.00	4.0
f ANTHONY SUTERA	FID	WNC	S	2000	11.20	n/a	31-Oct	0.00	0.0
f JONATHAN RICHARD HAR	FID	WTSL	S	7500	3.19	n/a	n/a	0.00	0.0
f IOANNIS KOULOURIOTI	FID	XOOM	B	75	27.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XPO	B	25,300	19.51	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		XPO	B	25,300	19.68	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							71,615.36		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/06	SAC CHRIS C	041	ARNA	B	250,000	4.17	n/a	n/a	7500.00 0.0
AO,CRT	11/06	SAC CHRIS C	041	ARNA	B	250,000	4.17	n/a	n/a	7500.00 0.0
AO,CRT	11/06	MAGNETAR FINANCIAL	031	CBS	B	72,118	59.37	n/a	n/a	2163.54 0.0
AO,CXL	11/06	MAGNETAR FINANCIAL	031	CBS	B	72,118	59.37	n/a	n/a	3605.90 0.0
AO,CXL	11/06	FIFTH THIRD BANK/FREEMAN	047	CPWR	S	38,259	10.50	n/a	n/a	1912.95 0.0
AO,CRT	11/06	FIFTH THIRD BANK/FREEMAN	047	CPWR	S	38,259	10.50	n/a	n/a	765.18 2.0
AO,CXL	11/06	WOODWAY FINANCIAL	031	EEP	S	75,000	30.01	n/a	n/a	3750.00 0.0
AO,CRT	11/06	WOODWAY FINANCIAL	031	EEP	S	75,000	30.01	n/a	n/a	2250.00 3.0
AO,CRT	11/06	CAERUS GLOBAL	041	GM	B	25,000	36.91	n/a-2013-11-07	1000.00	0.0
AO,CXL	11/06	CAERUS GLOBAL	041	GM	B	25,000	36.91	n/a-2013-11-07	1250.00	0.0
AO,CRT	11/06	WOODWAY FINANCIAL	031	PAA	B	13,000	51.95	n/a	n/a	390.00 3.0
AO,CXL	11/06	WOODWAY FINANCIAL	031	PAA	B	13,000	51.95	n/a	n/a	650.00 0.0
AO,CXL	11/06	HAHN CAPITAL MANAGEMENT	084	PWR	B	556	30.29	n/a	n/a	27.80 0.0
AO,CRT	11/06	HAHN CAPITAL MANAGEMENT	084	PWR	B	556	30.29	n/a	n/a	27.80 0.0
AO,CRT	11/06	FIFTH THIRD BANK/FREEMAN	047	XLF	B	6,700	20.60	n/a	n/a	268.00 4.0
AO,CXL	11/06	FIFTH THIRD BANK/FREEMAN	047	XLF	B	6,700	20.60	n/a	n/a	335.00 0.0
AO,CRT	11/06	FIFTH THIRD BANK/FREEMAN	047	XLK	S	4,100	33.95	n/a	n/a	164.00 4.0
AO,CXL	11/06	FIFTH THIRD BANK/FREEMAN	047	XLK	S	4,100	33.95	n/a	n/a	205.00 0.0
TOTAL (AO, CXL, CRT) :										-4,708.13

TOTAL (Trade Date):	71,615.36
TOTAL (AO, CXL, CRT):	-4,708.13

TOTAL (RUN DATE) / NFS:	66,907.23
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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 7-Nov.
NONE

MRI Securities without Trade Activity on 7-Nov.
SMG, HSP, SPR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)