



Daily Compliance Activity Report

Trade Date: 03/27/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JASON ERIC COHEN	FID	AAPL	S	2	613.18	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	AGG	B	165	109.73	n/a	n/a	8.25	5.0
f MANNY I KORMAN	FID	AIG	B	5000	29.25	n/a	n/a	0.00	0.0
CATAPULT	040	AMTD	B	6,471	20.22	n/a	n/a	258.84	4.0
CASTLE ARK	031	AMZN	B	154,820	208.29	n/a	n/a	7,741.00	5.0
SCOPUS FUND	041	ARB	B	10,000	36.84	n/a	n/a	400.00	4.0
f KAREN F LEDDY	FID	ARCO	B	800	18.16	n/a	6-Mar	0.00	0.0
f SEAN F LEDDY	FID	ARCO	B	200	18.16	n/a	6-Mar	0.00	0.0
f THOMAS MACTAGGART LE	FID	ARCO	B	200	18.16	n/a	6-Mar	0.00	0.0
f KAREN F LEDDY	FID	BAC	B	1500	9.70	n/a	26-Mar	0.00	0.0
f SEAN F LEDDY	FID	BAC	B	200	9.74	n/a	26-Mar	0.00	0.0
f THOMAS MACTAGGART LE	FID	BAC	B	400	9.74	n/a	26-Mar	0.00	0.0
BNP PARIBAS SEC	040	BIG	SS	65,000	46.36	n/a	5-Mar	3,250.00	5.0
f DAVID GEORGE BUCK	FID	BNPQY	B	2500	24.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BODY	S	7,900	27.79	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	BTO	B	30	17.35	n/a	n/a	1.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	CAT	SS	28,240	108.61	n/a	27-Jan	1,129.60	4.0
ARMATURE CAPITAL	041	CAT	S	21,760	108.59	n/a	27-Jan	870.40	4.0
B BUCK CAPITAL MGMT		CHRS	S	100,000	5.41	n/a	n/a	non-brg	3.0
MTB INV ADV	034	CTB	S	10,300	15.97	n/a	n/a	334.75	3.3
PZENA INV ADV	044	C	S	200	36.97	27-Mar	27-Mar	7.00	3.5
MTB INV ADV	034	DAN	S	20,600	16.21	n/a	22-Feb	669.50	3.3
SENATOR INVESTMENT GROUP	036	DD	B	50,000	53.44	n/a	23-Mar	1,500.00	3.0
CYRUS CAPITAL	025	DHI	B	25,000	15.98	n/a	n/a	750.00	3.0
PATTEN & PATTEN	025	DVY	B	80	56.21	n/a	n/a	4.00	5.0
PATTEN & PATTEN	025	EFA	B	85	55.36	n/a	n/a	4.25	5.0
DE SHAW	070	EMC	S	50,000	29.69	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		EXPR	S	10,200	26.04	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		EXPR	S	20,000	25.65	n/a	n/a	non-brg	4.0
WEINTRAUB CAPITAL MGT.	269	FDO	SS	50,000	58.26	n/a	16-Mar	2,000.00	4.0
B BUCK CAPITAL MGMT		FINL	S	40,000	25.45	n/a	16-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	40,000	31.69	n/a	7-Mar	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	FNB	S	93,700	12.28	n/a	n/a	3,748.00	4.0
MTB INV ADV	034	FTK	S	14,400	12.79	n/a	n/a	468.00	3.3
TROUBH PART	070	F	S	25,000	12.35	n/a	12-Mar	1,250.00	5.0
TROUBH PART	070	GM	S	40,000	25.54	n/a	2-Mar	2,000.00	5.0
PZENA INV ADV	044	GS	S	2,950	126.72	n/a	26-Mar	103.26	3.5
MTB INV ADV	034	GTLS	S	2,075	74.59	n/a	n/a	67.44	3.3
IMPALA ASSET MMT	040	HAL	S	100,000	32.83	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	HDV	B	30	57.42	n/a	n/a	1.50	5.0
f JOHN MICHAEL ZOLIDIS	FID	HOTT	S	10	1.70	n/a	n/a	0.00	0.0
MOORE CAPITAL	041	HTZ	B	18,500	15.00	n/a	n/a	555.00	3.0
SIMMONS VENTURES	041	HWD	B	2,200	14.85	n/a	n/a	88.00	4.0
PATTEN & PATTEN	025	ILF	B	50	48.75	n/a	n/a	2.50	5.0
MELLON/BANK OF NEW YORK	046	IR	B	25,630	41.89	n/a	21-Mar	1,025.20	4.0
PATTEN & PATTEN	025	IVW	B	10	75.73	n/a	n/a	0.50	5.0
PZENA INV ADV	044	JAH	S	17,925	40.15	n/a	n/a	627.38	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	028	JBHT	B	75,000	54.78	n/a	n/a	3,000.00	4.0
BASSWOOD PARTNERS	267	JCI	B	21,000	32.80	n/a	23-Mar	840.00	4.0
PZENA INV ADV	044	JNY	S	9,100	11.47	n/a	9-Feb	318.50	3.5
SIMMONS VENTURES	041	JNY	B	10,000	11.54	n/a	9-Feb	400.00	4.0
PZENA INV ADV	044	JPM	S	175	46.13	n/a	26-Mar	6.13	3.5
B BUCK CAPITAL MGMT		LEN	S	10,000	27.46	n/a	n/a	non-brg	4.0
CYRUS CAPITAL	025	MAS	B	20,000	14.33	n/a	n/a	600.00	3.0
SURVEYOR CAPITAL	251	MAS	SS	112,500	13.92	n/a	n/a	3,375.00	3.0
CYRUS CAPITAL	025	MWV	B	30,000	31.43	n/a	21-Mar	900.00	3.0
KENNEDY CAPITAL	046	NP	S	20,525	30.30	n/a	21-Feb	821.00	4.0
PATTEN & PATTEN	025	PHB	B	250	18.69	n/a	n/a	12.50	5.0
KACELA CAPITAL	034	PHM	B	130,000	9.24	n/a	n/a	3,900.00	3.0
MELLON/BANK OF NEW YORK	046	PH	S	12,270	86.96	n/a	25-Jan	490.80	4.0
B BUCK CAPITAL MGMT		PLCE	S	48,650	52.43	n/a	7-Mar	non-brg	4.0
f DAVID GEORGE BUCK	FID	PNRA	B	800	164.78	n/a	8-Feb	0.00	0.0
PZENA INV ADV	044	PPG	S	75	96.00	n/a	15-Mar	2.63	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIMMONS VENTURES	041	PSS	B	5,000	18.10	n/a	n/a	200.00	4.0
PATTEN & PATTEN	025	QQQ	S	25	68.36	n/a	n/a	1.25	5.0
VERITION	028	RCL	B	12,500	30.44	n/a	n/a	375.00	3.0
f KAREN F LEDDY	FID	RRR	S	1000	22.40	n/a	n/a	0.00	0.0
f THOMAS MACTAGGART LE	FID	RRR	S	250	22.40	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	SBUX	S	50,000	56.31	n/a	9-Mar	1,500.00	3.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	44.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	44.60	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	44.60	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	S	500	49.94	n/a	n/a	non-brg	4.0
BASIX	033	SPR	S	36,000	25.11	n/a	21-Mar	1,080.00	3.0
f DAVID GEORGE BUCK	FID	SPY	S	800	141.48	n/a	n/a	0.00	0.0
f WILLIAM WEINBERG	FID	SQBG	B	20000	0.35	n/a	n/a	0.00	0.0
BASIX	033	TBT	S	22,000	20.03	n/a	n/a	660.00	3.0
f JONATHAN RICHARD HAR	FID	VRA	B	125	29.77	n/a	n/a	0.00	0.0
THIRD POINT MGMT	044	VRA	C	25,000	29.66	n/a	n/a	1,000.00	4.0
f JASON ERIC COHEN	FID	VTG	S	2000	1.60	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WNC	S	25,000	11.01	n/a	n/a	non-brg	1.0
ASCEND PARTNERS	033	WRC	S	25,000	58.37	n/a	23-Mar	750.00	3.0
PATTEN & PATTEN	025	XLV	B	40	37.35	n/a	n/a	2.00	5.0
PATTEN & PATTEN	025	XLY	S	25	45.54	n/a	n/a	1.25	5.0
SIMMONS VENTURES	041	ZQK	B	5,000	4.40	n/a	10-May	150.00	3.0
TOTAL (Trade Date):								54,751.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/26	M&I FUNDS	047	CHK	S	25,411	24.28	n/a	n/a	1016.44 4.0
AO,CXL	03/26	M&I FUNDS	047	CHK	S	25,411	24.28	n/a	n/a	858.33 17.9

TOTAL (AO, CXL, CRT) :	158.11
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TOTAL (Trade Date) :	54,751.93
TOTAL (AO, CXL, CRT) :	158.11

TOTAL (RUN DATE) / NFS:	54,910.04
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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 27-Mar.

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MRI Securities without Trade Activity on 27-Mar.

SLXP

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)