



# Daily Compliance Activity Report

Trade Date: 04/16/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f BRIAN W CRAGO</b>	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>5</b>	<b>586.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>100</b>	<b>590.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	ALV	SS	35,000	64.16	n/a	2-Feb	1,050.00	3.0
BALYASNY ASSET MGMT	044	ASNA	B	20,000	20.91	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	297	BAM	S	338,293	31.05	n/a	n/a	13,531.72	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BBY</b>	<b>B</b>	<b>3000</b>	<b>21.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BEAV</b>	<b>B</b>	<b>1000</b>	<b>43.80</b>	<b>n/a</b>	<b>13-Apr</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	BGC	B	10,000	27.95	n/a	n/a	400.00	4.0
IRIDIAN ASSET MGMT.	036	BLL	S	67,510	42.45	n/a	n/a	3,375.50	5.0
NEW JERSEY DIV OF INV.	030	BLL	S	150,000	42.40	n/a	n/a	6,000.00	4.0
MELLON/BANK OF NEW YORK	046	BMY	S	14,335	32.67	n/a	n/a	573.40	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CMA</b>	<b>S</b>	<b>3000</b>	<b>30.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	CMCSA	B	385,328	29.66	n/a	n/a	15,413.12	4.0
TUDOR INVESTORS	028	COL	B	3,000	57.15	n/a	13-Apr	90.00	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>200</b>	<b>10.16</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.	
CORNERSTONE	030	DKS	S	16,430	49.41	n/a	9-Apr	492.90	3.0
CASTLEROCK	040	DRI	SS	24,415	50.29	n/a	13-Apr	976.60	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>DRYS</b>	<b>S</b>	<b>800</b>	<b>3.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	EAT	SS	43,581	28.15	n/a	13-Apr	1,743.24	4.0
COLUMBUS CIRCLE	036	EDMC	S	2,148	12.52	n/a	n/a	85.92	4.0
JET CAPITAL/CHRIS	041	EP	S	50,000	29.34	n/a	n/a	1,500.00	3.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>ETAK</b>	<b>S</b>	<b>1000</b>	<b>1.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	EXPR	B	80,000	23.94	n/a	n/a	3,200.00	4.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>FBP</b>	<b>S</b>	<b>1000</b>	<b>3.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FCH</b>	<b>S</b>	<b>2500</b>	<b>4.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	SS	200,000	11.96	n/a	4-Apr	6,000.00	3.0
OZ MGMT	040	GM	SS	417,944	23.59	n/a	4-Apr	12,538.32	3.0
MERRILL ASSET/BLACKROCK	297	HBHC	B	5,040	34.22	n/a	n/a	201.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>10,000</b>	<b>26.99</b>	<b>n/a</b>	<b>27-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>26.98</b>	<b>n/a</b>	<b>27-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>27.04</b>	<b>n/a</b>	<b>27-Mar</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	HBI	B	10,000	26.96	n/a	27-Mar	400.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	HBI	B	4,000	26.94	n/a	27-Mar	200.00	5.0
SIMMONS VENTURES	041	HBI	B	7,500	27.10	n/a	27-Mar	300.00	4.0
TRELLUS PARTNERS LP	028	HBI	B	17,500	26.78	n/a	27-Mar	525.00	3.0
LATEFF MGMT	035	HD	S	225	51.74	n/a	21-Feb	33.75	15.0
LATEFF MGMT	035	HON	S	100	58.34	n/a	5-Apr	30.00	30.0
LATEFF MGMT	035	HPQ	S	225	24.47	n/a	n/a	31.50	14.0
SIMMONS VENTURES	041	HWD	B	10,000	13.90	n/a	n/a	400.00	4.0
LATEFF MGMT	035	INTC	S	425	28.40	n/a	n/a	72.50	17.5
CATAPULT	040	JWN	SS	14,682	55.24	n/a	30-Mar	587.28	4.0
1798 CAP/LOMBARD ASSET	040	KWK	SS	10,000	4.04	n/a	n/a	300.00	3.0
<b>B</b> BUCK CAPITAL MGMT		LPX	B	20,000	8.53	n/a	16-Apr	non-brg	3.0
<b>f</b> JOSEPH CIRO AMATURO	FID	LXK	B	2000	32.48	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	MAC	S	3,250	58.43	n/a	n/a	130.00	4.0
<b>B</b> BUCK CAPITAL MGMT		MSMSBCM	C	1,480,883	108.91	n/a	n/a	non-brg	0.1
<b>B</b> BUCK CAPITAL MGMT		MSMSBCM	C	2,089,845	108.91	n/a	n/a	non-brg	0.1
<b>B</b> BUCK CAPITAL MGMT		MSMSBCM	SS	1,495,000	108.91	n/a	n/a	non-brg	0.0
<b>B</b> BUCK CAPITAL MGMT		MSMSBCM	SS	2,111,435	108.91	n/a	n/a	non-brg	0.0
OSKIE CAPITAL MGMT	224	MWV	B	20,000	31.11	n/a	16-Apr	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	M	S	50,000	39.71	n/a	9-Apr	2,500.00	5.0
BASIX	033	NAV	S	19,000	36.53	n/a	13-Apr	570.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>B</b>	<b>11,700</b>	<b>3.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>B</b>	<b>8,400</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
LATEFF MGMT	035	NYB	S	250	13.26	n/a	30-Mar	30.00	12.0
LATEFF MGMT	035	OI	B	400	24.24	n/a	n/a	40.00	10.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PEP</b>	<b>S</b>	<b>2000</b>	<b>66.14</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>PEP</b>	<b>S</b>	<b>200</b>	<b>66.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	PLCE	S	20,000	48.24	n/a	7-Mar	1,000.00	5.0
NEW JERSEY DIV OF INV.	030	PPG	B	67,000	96.45	n/a	9-Apr	2,680.00	4.0
STATE TEACHERS RET SYS	047	PSA	S	3,000	138.38	n/a	n/a	150.00	5.0
ASCEND PARTNERS	033	PVH	B	10,000	88.64	n/a	29-Mar	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>1,432</b>	<b>88.72</b>	<b>n/a</b>	<b>29-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SGI</b>	<b>S</b>	<b>1500</b>	<b>9.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>893</b>	<b>47.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MAIRS AND POWER INV	030	SLB	B	20,000	68.26	n/a	n/a	1,000.00	5.0
SONTERRA CAP	041	SLE	B	20,000	21.43	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOODWAY FINANCIAL	031	SNPK	B	1,000	1.94	n/a	n/a	60.00	6.0
STATE TEACHERS RET SYS	047	SPG	S	3,000	146.35	n/a	n/a	150.00	5.0
ROTHSCHILD ASSET	040	SPW	S	2,120	76.17	n/a	n/a	84.80	4.0
FIRST NY SEC/CHRIS	041	SPY	SS	25,000	137.17	n/a	n/a	750.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>1000</b>	<b>8.71</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>STWD</b>	<b>B</b>	<b>1000</b>	<b>20.86</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>STWD</b>	<b>B</b>	<b>400</b>	<b>20.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IVORY CAPITAL	034	SWY	S	55,000	21.46	n/a	n/a	2,750.00	5.0
DELTEC ASSET MGMT.	040	TEN	B	10,000	36.99	n/a	n/a	500.00	5.0
IRIDIAN ASSET MGMT.	036	TEVA	S	75,220	44.16	n/a	16-Apr	3,761.00	5.0
LATEFF MGMT	035	UAL	S	200	22.34	n/a	n/a	30.00	15.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>UTSI</b>	<b>S</b>	<b>7000</b>	<b>1.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CORNERSTONE	030	VFC	B	5,412	150.04	n/a	17-Feb	162.36	3.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>VVTV</b>	<b>S</b>	<b>1000</b>	<b>1.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	V	S	14,209	120.89	n/a	2-Apr	568.36	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>10000</b>	<b>9.13</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.
LATEFF MGMT	035	WRI	S	325	25.48	n/a	n/a	32.50 10.0
<b>TOTAL (Trade Date):</b>							<b>90,101.37</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) :									90,101.37
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									90,101.37

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/13	BUCK CAPITAL MGMT	MSMSBCM	SS	50,000	109.03	n/a	n/a	4361.31 8.7
CXL	04/13	BUCK CAPITAL MGMT.	WYNN	SS	30,000	125.91	n/a	13-Jun	1200.00
CRT	04/13	BUCK CAPITAL MGMT	WYNN	SS	30,000	125.91	n/a	13-Jun	1200.00 4.0
CXL	04/13	BUCK CAPITAL MGMT.	WYNN	SS	30,000	125.91	n/a	13-Jun	1200.00
CRT	04/13	BUCK CAPITAL MGMT	WYNN	SS	30,000	125.91	n/a	13-Jun	1200.00 4.0

MRI Securities with Trade Activity on 16-Apr.  
NONE

MRI Securities without Trade Activity on 16-Apr.  
YUM

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)**