



# Daily Compliance Activity Report

Trade Date: 04/18/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		1913 HK	S	100,000	6.56	n/a	n/a	non-brg	1.3
BUCK CAPITAL MGMT		1913 HK	S	100,000	6.56	n/a	n/a	non-brg	1.3
COOPER CREEK PART	028	ABFS	SS	10,000	18.43	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		ACAT	S	20,000	45.33	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	AEO	B	1,100	17.24	n/a	2-Dec	44.00	4.0
LEVIN CAPITAL STRATEGIES	041	APC	S	5,000	73.35	n/a	14-Mar	150.00	3.0
BUCK CAPITAL MGMT		ARCO	B	20,000	18.29	n/a	13-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ARCO	B	200	18.24	n/a	13-Apr	non-brg	1.0
BUCK CAPITAL MGMT		ARCO	B	40,500	18.29	n/a	13-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ARCO	B	40,500	18.29	n/a	13-Apr	non-brg	4.0
PECONIC PARTNERS	036	ARCO	B	25,000	18.53	n/a	13-Apr	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	AXL	B	14,000	10.94	n/a	18-Apr	560.00	4.0
DAVID GEORGE BUCK	FID	BBD	S	3000	16.37	n/a	n/a	0.00	0.0
CHARTER OAK	033	BUD	S	5,000	73.23	n/a	4-Apr	250.00	5.0
SURVEYOR CAPITAL	251	BYD	SS	75,000	7.95	n/a	n/a	2,250.00	3.0
JANA CAPITAL	044	CCE	B	39,000	28.43	n/a	n/a	1,560.00	4.0
LATEFF MGMT	035	CMCSK	S	200	29.55	n/a	n/a	30.00	15.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		COST	B	27,000	87.87	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	CPN	S	728	17.67	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	CVGI	B	1816	9.98	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	250	10.12	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	5000	9.95	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	CVGI	S	3000	9.95	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	DAL	B	150,000	10.50	n/a	n/a	4,500.00	3.0
B BUCK CAPITAL MGMT		DECK	B	20,000	66.42	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	B	60,000	66.72	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	DFS	S	42	32.66	n/a	13-Apr	0.00	0.0
ROTHSCHILD ASSET	040	DPS	S	8,783	40.10	n/a	n/a	351.32	4.0
CRAMER ROSENTHAL	070	DSW	B	94,950	56.23	n/a	11-Feb	3,798.00	4.0
COLUMBUS CIRCLE	036	EDMC	S	1,859	12.38	n/a	n/a	74.36	4.0
HARVEST MGMT (JMP)	029	EMC	S	20,000	29.10	n/a	n/a	800.00	4.0
BALTHAZAR CAPITAL PARTNERS LTD	085	ETN	SS	10,000	47.23	n/a	18-Apr	500.00	5.0
B BUCK CAPITAL MGMT		FDO	B	30,000	66.89	n/a	3-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		FDO	B	30,000	66.89	n/a	3-Apr	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	F	SS	15,000	11.74	n/a	18-Apr	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	GDP	B	13,400	15.10	n/a	n/a	536.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>10000</b>	<b>13.53</b>	<b>n/a</b>	<b>11-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>GMCR</b>	<b>S</b>	<b>132</b>	<b>43.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	041	GM	SS	37,500	23.81	n/a	18-Apr	1,125.00	3.0
OZ MGMT	040	GM	C	50,000	24.12	n/a	18-Apr	1,500.00	3.0
VISIUM/BALY BOBBY	044	GM	C	36,000	24.10	n/a	18-Apr	1,800.00	5.0
VERITION	028	GNC	S	10,000	35.09	n/a	n/a	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>B</b>	<b>100,000</b>	<b>27.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>B</b>	<b>100,000</b>	<b>27.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>S</b>	<b>20,000</b>	<b>33.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BALLAST CAP	040	HAS	SS	10,100	36.22	n/a	n/a	505.00	5.0
LATEFF MGMT	035	HD	S	500	51.64	n/a	21-Feb	75.00	15.0
KACELA CAPITAL	034	INFA	S	56,559	51.83	n/a	n/a	2,262.36	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>JADE</b>	<b>S</b>	<b>35000</b>	<b>1.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MFP INVESTORS	085	JNS	B	75,000	8.09	n/a	n/a	3,000.00	4.0
SIMMONS VENTURES	041	JNY	B	5,000	12.73	n/a	9-Feb	200.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>KEG</b>	<b>S</b>	<b>20000</b>	<b>13.69</b>	<b>n/a</b>	<b>1-Mar</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	KMB	S	100	75.45	n/a	20-Mar	30.00	30.0
SEVEN LOCKS CAPITAL	025	KNOL	S	60,000	19.34	n/a	n/a	1,800.00	3.0
GLENHILL CAPITAL	036	KSS	B	100,000	51.10	n/a	30-Mar	3,000.00	3.0
MOORE CAPITAL	041	LIZ	B	3,500	12.83	n/a	7-Oct	105.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LPX</b>	<b>B</b>	<b>25,000</b>	<b>8.30</b>	<b>n/a</b>	<b>16-Apr</b>	<b>non-brg</b>	<b>3.0</b>
LANE GATE PARTNERS LLC	030	LVS	B	2,500	59.80	n/a	13-Jun	75.00	3.0
SCOPUS FUND	041	MAN	B	11,302	43.87	n/a	n/a	452.08	4.0
LEVIN CAPITAL STRATEGIES	041	MET	S	5,000	35.94	n/a	n/a	150.00	3.0
KACELA CAPITAL	034	MFRM	B	12,000	45.96	n/a	n/a	480.00	4.0
SOROS	036	MS	SS	378,000	17.64	n/a	4-Apr	15,120.00	4.0
BALYASNY ASSET MGMT	044	M	B	20,000	39.77	n/a	9-Apr	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>B</b>	<b>5,601</b>	<b>3.90</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>6,200</b>	<b>3.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>PCAR</b>	<b>B</b>	<b>25</b>	<b>3.86</b>	<b>n/a</b>	<b>18-Apr</b>	<b>0.00</b>	<b>0.0</b>
FARBER/WEISS PECK	085	PH	B	17,400	82.94	n/a	18-Apr	696.00	4.0
WOODWAY FINANCIAL	031	PH	B	20,000	82.96	n/a	18-Apr	1,200.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	B	25,000	29.05	n/a	18-Apr	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		PSMT	B	23,813	78.84	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PSMT	B	8,474	78.84	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	PVH	B	10,643	89.77	n/a	29-Mar	532.15	5.0
⚡ BUCK CAPITAL MGMT		RLJA	B	50,000	9.90	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		RLJA	B	50,000	9.90	n/a	n/a	non-brg	3.0
LEVIN CAPITAL STRATEGIES	041	ROK	S	5,000	79.13	n/a	n/a	150.00	3.0
⚡ EDWARD W WHEELER	FID	R	B	2000	49.47	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SCSS	B	50,000	35.16	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SCSS	B	50,000	35.16	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	SCSS	B	24,000	35.32	n/a	n/a	960.00	4.0
⚡ BUCK CAPITAL MGMT		SFER IM	S	30,000	20.34	n/a	n/a	non-brg	3.1
⚡ BUCK CAPITAL MGMT		SFER IM	S	30,000	20.34	n/a	n/a	non-brg	3.1
SENATOR INVESTMENT GROUP	036	SHW	SS	30,000	117.13	n/a	12-Apr	900.00	3.0
⚡ BUCK CAPITAL MGMT		SKX	C	40,000	13.91	n/a	n/a	non-brg	4.0
LATEFF MGMT	035	SPLS	S	300	15.92	n/a	n/a	30.00	10.0
PALESTRA	040	SWK	B	5,100	78.59	n/a	n/a	255.00	5.0
⚡ MICHAEL ALEXANDER SM	FID	SWN	B	30	3.04	n/a	17-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	TOL	B	25,000	23.52	n/a	n/a	1,000.00	4.0
LATEFF MGMT	035	UAL	S	950	23.01	n/a	n/a	105.00	12.5
ROTHSCHILD ASSET	040	UNH	S	48,210	57.33	n/a	n/a	1,928.40	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>VRA</b>	<b>B</b>	<b>70</b>	<b>0.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GLG PARTNERS	034	WMT	SS	11,494	62.08	n/a	13-Apr	344.82	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>10,000</b>	<b>53.64</b>	<b>n/a</b>	<b>23-Mar</b>	<b>non-brg</b>	<b>4.0</b>
MA CAPITAL MGMT/MELLON ADV041		XLF	B	4,000	15.35	n/a	n/a	160.00	4.0
MA CAPITAL MGMT/MELLON ADV041		XLF	S	4,000	15.35	n/a	n/a	160.00	4.0
EVERGREEN	047	XLU	B	77,866	34.86	n/a	n/a	3,114.64	4.0
<b>TOTAL (Trade Date):</b>								<b>63,269.13</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									63,269.13
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									63,269.13
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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 18-Apr.  
NONE

MRI Securities without Trade Activity on 18-Apr.  
BK, KO

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)**