



Daily Compliance Activity Report

Trade Date: 03/21/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	AAPL	B	10	605.71	n/a	n/a	0.00	0.0
f JOHN MICHAEL DEMARTI	FID	AMCC	B	5000	7.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BODY	B	4,500	26.42	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	CAT	SS	15,000	109.25	n/a	27-Jan	600.00	4.0
SCOPUS FUND	041	COST	B	125,000	90.72	n/a	n/a	5,000.00	4.0
B BUCK CAPITAL MGMT		CZR	S	10,078	12.73	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CZR	S	101,800	12.80	n/a	n/a	non-brg	4.0
COHE & STEERS	041	DDR	S	209,587	14.98	n/a	n/a	6,287.61	3.0
f KAREN F LEDDY	FID	DECK	B	400	67.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DHI	S	55,000	15.93	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	DOW	SS	5,000	34.97	n/a	21-Mar	150.00	3.0
B BUCK CAPITAL MGMT		DSW	C	30,000	56.11	n/a	11-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		ESV	B	10,000	54.53	n/a	n/a	non-brg	4.0
f JILL ROSENBERG	FID	FAGIX	S	54	9.23	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAGIX	S	65	9.23	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JILL ROSENBERG	FID	FAUDX	B	73	10.05	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAUDX	B	165	10.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FBHS	B	20,000	21.14	n/a	n/a	non-brg	4.0
f JILL ROSENBERG	FID	FCSAX	S	66	12.14	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FCSAX	S	66	12.14	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FILEX	S	152	8.57	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	S	163	8.57	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FKRCX	B	14	35.90	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FKRCX	B	14	35.90	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FNSXX	B	2600	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FNSXX	B	2700	1.00	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	FOE	B	10000	6.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	C	40,000	133.78	n/a	n/a	non-brg	4.0
f JILL ROSENBERG	FID	FPCIX	B	75	10.66	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	84	10.66	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FPIOX	B	163	9.79	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPIOX	B	163	9.79	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSAMX	S	62	9.66	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSAMX	S	72	9.66	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	JILL ROSENBERG	FID	FSCFX	S	34	11.67	n/a	n/a	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	FSCFX	S	77	11.67	n/a	n/a	0.00	0.0	
f	JILL ROSENBERG	FID	FSGFX	S	76	13.14	n/a	n/a	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	FSGFX	S	84	13.14	n/a	n/a	0.00	0.0	
	CAPITAL RESEARCH GROUP		084 FTI	B	144,000	49.65		n/a	n/a	5,040.00	3.5
	MERRILL ASSET/BLACKROCK	297	FX	S	8,300	14.88	n/a	n/a	332.00	4.0	
f	KAREN F LEDDY	FID	GMCR	B	200	54.48	n/a	n/a	0.00	0.0	
	KINGDON ASSET MGMT	041	GPS	B	20,000	26.24	n/a	n/a	800.00	4.0	
	KINGDON ASSET MGMT	041	HD	S	40,000	49.57	n/a	21-Feb	1,600.00	4.0	
	ROTHSCHILD ASSET	040	HLX	B	17,071	18.17	n/a	n/a	682.84	4.0	
B	BUCK CAPITAL MGMT		HOT	B	50,000	57.30	n/a	13-Jun	non-brg	4.0	
B	BUCK CAPITAL MGMT		HOT	B	50,000	57.30	n/a	13-Jun	non-brg	4.0	
	MOORE CAPITAL	041	ITB	S	26,500	15.01	n/a	n/a	795.00	3.0	
	NUVEEN - US BANCORP		030 KBR	B	23,771	37.12		n/a	n/a	1,069.70	4.5
	MTB INV ADV	034	KEX	B	3,125	67.64	n/a	n/a	101.56	3.3	
B	BUCK CAPITAL MGMT		LEN	S	35,000	26.80	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		LVS	B	50,000	57.97	n/a	13-Jun	non-brg	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		LVS	B	50,000	58.04	n/a	13-Jun	non-brg	4.0
NUVEEN - US BANCORP		030 LYB	B	10,094	43.25		n/a	n/a	454.24 4.5
COLUMBUS CIRCLE	036	MCD	S	7,300	97.12	n/a	8-Mar	292.00	4.0
PRIMECAP MGMT	084	MDR	S	5,000	12.89	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		MGM	B	200,000	14.43	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MGM	B	200,000	14.43	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,157,516	111.77	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,755,418	111.77	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,157,516	111.77	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,755,418	111.77	n/a	n/a	non-brg	0.0
f JONATHAN RICHARD HAR	FID	MTW	B	125	14.94	n/a	2-Feb	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	MWV	B	5,000	31.05	21-Mar	21-Mar	200.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	30.69	21-Mar	21-Mar	1,250.00	5.0
DAVIDSON INV ADV	035	NKE	S	23,524	111.38	n/a	13-Mar	940.96	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.33	n/a	n/a	800.00	4.0
KACELA CAPITAL	034	ORCL	S	60,000	29.83	n/a	n/a	2,400.00	4.0
f JILL ROSENBERG	FID	PAHIX	S	306	6.74	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PAHIX	S	314	6.74	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	PFCB	B	13,373	40.68	n/a	16-Feb	534.92	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KINGDON ASSET MGMT	041	PG	SS	20,000	67.10	n/a	20-Mar	800.00	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	20,000	51.59	n/a	7-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	20,000	51.59	n/a	7-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PNRA	B	20,000	162.64	n/a	8-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PNRA	B	20,000	162.64	n/a	8-Feb	non-brg	4.0
NUVEEN - US BANCORP		030 POT	B	4,328	46.74		n/a	n/a	194.77 4.5
SCOUT/UMB	047	PXD	S	26,554	104.29	n/a	1-Mar	796.62	3.0
⌘ BUCK CAPITAL MGMT		RYL	S	40,000	20.29	n/a	n/a	non-brg	4.0
PLATTE RIVER CAPITAL	240	SWN	B	39,290	33.51	n/a	1-Mar	1,571.60	4.0
MTB INV ADV	034	TEN	S	15,425	38.75	n/a	n/a	501.31	3.3
f MARC PAUL LUCHANSKY	FID	TEVA	B	200	43.22	n/a	20-Mar	0.00	0.0
⌘ BUCK CAPITAL MGMT		TIF	C	30,000	73.01	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TIF	C	40,000	73.01	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TOL	S	20,000	24.30	n/a	n/a	non-brg	4.0
f JILL ROSENBERG	FID	TPINX	S	46	13.15	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TPINX	S	61	13.15	n/a	n/a	0.00	0.0
MTB INV ADV	034	TRW	S	37,050	46.50	n/a	n/a	1,204.13	3.3

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		UAL	S	50,000	20.75	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	VRA	B	400	31.30	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	WRC	SS	5,000	57.95	n/a	29-Feb	250.00	5.0
f ANTHONY NG	FID	ZNGA	S	365	13.96	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							34,849.26		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/19	CRAMER ROSENTHAL	070	GIS	S	20,700	38.64	n/a	n/a	828.00 4.0
AO,CXL	03/19	CRAMER ROSENTHAL	070	GIS	S	23,000	38.64	n/a	n/a	920.00 4.0
AO,CRT	03/19	CRAMER ROSENTHAL	070	GIS	S	2,300	38.64	n/a	n/a	92.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	34,849.26
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	34,849.26
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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 21-Mar.

MWV

MRI Securities without Trade Activity on 21-Mar.

AXE

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)