



Daily Compliance Activity Report

Trade Date: 01/23/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	750	10.23	n/a	n/a	75.00	10.0
B BUCK CAPITAL MGMT		AEO	S	20,000	13.86	n/a	2-Dec	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	AEO	B	102,600	13.88	n/a	2-Dec	4,104.00	4.0
B BUCK CAPITAL MGMT		ANF	C	20,000	44.17	n/a	9-Jan	non-brg	4.0
SENATOR INVESTMENT GROUP	036	AOS	S	50,000	41.09	n/a	21-Oct	1,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	3,000	20.08	n/a	6-Jan	0.00	0.0
MORTAR ROCK	033	AXL	SS	50,000	11.83	n/a	6-Jan	2,000.00	4.0
LISTED ERR	099	AXL	B	39,900	11.83	n/a	6-Jan	0.00	0.0
LISTED ERR	099	AXL	S	39,900	11.83	n/a	6-Jan	0.00	0.0
B BUCK CAPITAL MGMT		BAC	S	200,000	7.21	n/a	19-Jan	non-brg	3.0
ROYCE TRADING	031	BKE	B	2,000	42.18	n/a	n/a	100.00	5.0
B BUCK CAPITAL MGMT		BKS	S	10,000	11.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BKS	S	10,000	11.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BKS	S	10,000	11.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BKS	S	10,000	11.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BKS	S	25,000	11.82	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BKS	S	25,000	11.92	n/a	n/a	non-brg	1.0
CATAPULT	040	BLL	SS	10,000	37.64	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	BMS	S	300	29.92	n/a	n/a	42.00	14.0
f MANNY I KORMAN	FID	BWA	B	20000	76.26	n/a	6-Jan	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	CWTR	S	8000	0.92	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	DECK	B	35	80.81	n/a	n/a	0.00	0.0
f GAJANTHAN BALAKANES	FID	DLTNX	B	180	11.11	n/a	n/a	0.00	0.0
BASIX	033	EAT	S	31,000	27.53	n/a	20-Jan	930.00	3.0
WEINTRAUB CAPITAL MGT.	269	EXP	SS	25,000	28.98	n/a	n/a	1,000.00	4.0
TALPION LLC	040	FBRC	S	32,000	2.10	n/a	n/a	640.00	2.0
f DAVID GEORGE BUCK	FID	FCEA	S	2000	13.15	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	FCEA	S	500	13.19	n/a	n/a	0.00	0.0
LATEFF MGMT	035	FDX	S	200	91.21	n/a	n/a	60.00	30.0
ROYCE TRADING	031	FINL	B	2,000	20.51	n/a	20-Jan	100.00	5.0
SIMMONS VENTURES	041	GES	B	5,000	29.60	n/a	23-Jan	200.00	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	22.11	n/a	23-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	22.32	n/a	23-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	30,000	22.32	n/a	23-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	35,000	22.32	n/a	23-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	S	40,000	22.32	n/a	23-Jan	non-brg	4.0
LATEFF MGMT	035	GLW	S	600	14.20	n/a	3-Jan	60.00	10.0
⌘ BUCK CAPITAL MGMT		GM	C	36,900	24.98	n/a	19-Jan	non-brg	4.0
f ALEXANDRA ELISE ZOLI	FID	GS	B	25	110.43	n/a	18-Jan	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GS	B	45	110.15	n/a	18-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		HAL	B	30,000	35.27	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	B	20,000	24.10	n/a	23-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	B	30,000	24.10	n/a	23-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	B	30,000	24.10	n/a	23-Jan	non-brg	4.0
DELTEC ASSET MGMT.	040	HD	B	5,000	44.41	n/a	8-Dec	250.00	5.0
1798 CAP/LOMBARD ASSET	040	HON	S	7,000	58.09	n/a	19-Jan	350.00	5.0
SURVEYOR CAPITAL	251	HTLD	SS	20,000	14.65	n/a	n/a	600.00	3.0
SURVEYOR CAPITAL	251	HTZ	B	60,000	13.00	n/a	n/a	1,800.00	3.0
LATEFF MGMT	035	INTC	S	600	26.74	n/a	n/a	72.00	12.0
ASCEND PARTNERS	033	IP	B	35,000	31.64	n/a	23-Jan	1,400.00	4.0
EPOCH INV MGMT	030	IP	S	279,950	31.68	n/a	23-Jan	8,398.50	3.0
LATEFF MGMT	035	IP	S	250	31.59	n/a	23-Jan	35.00	14.0
⌘ BUCK CAPITAL MGMT		JWN	SS	20,000	49.88	n/a	9-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		LIZ	S	50,000	9.19	n/a	7-Oct	non-brg	3.0
⚡ BUCK CAPITAL MGMT		LIZ	S	50,000	9.21	n/a	7-Oct	non-brg	3.0
⚡ BUCK CAPITAL MGMT		LIZ	S	50,000	9.30	n/a	7-Oct	non-brg	3.0
ROYCE TRADING	031	MLI	B	1,800	42.08	n/a	26-Oct	90.00	5.0
⚡ BUCK CAPITAL MGMT		MPXL	S	20,000	11.29	n/a	13-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	50,000	99.95	n/a	n/a	non-brg	8.0
f GAVIN N CADWALLADER	FID	MTW	B	200	12.34	n/a	26-Oct	0.00	0.0
RIDGECREST INV MGMT LLC	028	MTW	S	20,000	12.19	n/a	26-Oct	1,000.00	5.0
ROYCE TRADING	031	MTX	B	10,000	63.56	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		M	S	50,000	35.15	n/a	9-Jan	non-brg	4.0
SIMMONS VENTURES	041	M	SS	5,000	35.65	n/a	9-Jan	200.00	4.0
NEWLAND CAPITAL MGT	025	NAV	S	25,000	41.10	n/a	10-Jan	1,000.00	4.0
f CLIFFORD A LONGLEY	FID	NOK	B	25	5.74	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	NSRGY	B	200	57.46	n/a	n/a	0.00	0.0
LATEFF MGMT	035	NYB	B	500	13.19	n/a	5-Jan	60.00	12.0
LATEFF MGMT	035	OI	S	500	22.97	n/a	n/a	70.00	14.0
LATEFF MGMT	035	OLN	S	425	22.17	n/a	n/a	59.50	14.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	PEP	B	1000	65.55	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	PEP	B	200	65.56	n/a	n/a	0.00	0.0
NORTHWESTERN MUTUAL LIFE	047	PG	B	116,450	65.05	n/a	10-Jan	4,658.00	4.0
B BUCK CAPITAL MGMT		PH	C	15,000	81.13	23-Jan	23-Jan	non-brg	4.0
BALYASNY ASSET MGMT	044	PKG	S	25,000	26.57	n/a	23-Jan	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	57,700	26.65	n/a	23-Jan	2,885.00	5.0
FARALLON CAP MGMT	040	RIMM	B	60,100	15.90	n/a	n/a	1,803.00	3.0
f JASON ERIC COHEN	FID	RIMM	S	200	15.93	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	RKT	S	30,000	66.18	n/a	23-Jan	1,500.00	5.0
EPOCH INV MGMT	030	RKT	B	50,000	66.03	n/a	23-Jan	1,500.00	3.0
SENATOR INVESTMENT GROUP	036	RKT	B	23,400	65.87	n/a	23-Jan	702.00	3.0
f JOHN FRANCIS MCERLEA	FID	RRR	S	1500	20.11	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	S	20,000	23.10	n/a	n/a	non-brg	4.0
MOORE CAPITAL	041	SPY	C	25,000	131.20	n/a	n/a	750.00	3.0
LATEFF MGMT	035	SYI	B	450	30.14	n/a	n/a	2,601.00	8.5
TROUBH PART	070	S	S	25,000	2.27	n/a	n/a	1,250.00	5.0
f JOSEPH CIRO AMATURO	FID	THOR	B	1000	30.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TIF	SS	30,000	62.85	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		TIF	SS	30,000	62.85	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TPX	S	20,000	61.51	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	TPX	SS	16,508	62.03	n/a	n/a	660.32	4.0
⚡ BUCK CAPITAL MGMT		ULTA	S	10,000	76.42	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ULTA	S	20,000	76.16	n/a	n/a	non-brg	2.5
M&I FUNDS	047	UNT	B	28,816	42.96	n/a	6-Jan	1,152.64	4.0
⚡ MATTHEW FRANCIS BUCK	FID	WAG	B	300	33.71	n/a	n/a	0.00	0.0
M&I FUNDS	047	WHR	S	9,274	54.45	n/a	n/a	370.96	4.0
COUGAR TRADING	044	WRC	S	5,000	53.89	n/a	23-Jan	250.00	5.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	16,250	54.63	n/a	n/a	487.50	3.0
TUDOR INVESTORS	028	ZUMZ	SS	2,579	30.15	n/a	n/a	77.37	3.0
TOTAL (Trade Date):								48,993.79	

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) :									48,993.79
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									48,993.79

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 23-Jan.

PH

MRI Securities without Trade Activity on 23-Jan.

NONE

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)