



# Daily Compliance Activity Report

Trade Date: 12/13/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	AAPL	B	745	392.95	n/a	n/a	37.25	5.0
DEVENNY CAP LLC	044	AA	B	10,000	9.44	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	251	AGCO	SS	5,000	44.02	n/a	12-Dec	150.00	3.0
BALYASNY ASSET MGMT	044	ASNA	C	25,000	28.09	n/a	n/a	1,250.00	5.0
SEVEN LOCKS CAPITAL	025	ASPS	S	5,000	51.21	n/a	n/a	150.00	3.0
CATAPULT	040	AWI	B	1,732	42.69	n/a	n/a	69.28	4.0
PZENA INV ADV	044	BAC	B	22,775	5.51	n/a	5-Dec	797.13	3.5
CATAPULT	040	BA	B	1,176	72.18	n/a	29-Nov	47.04	4.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>BLDR</b>	<b>S</b>	<b>2500</b>	<b>1.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	BLL	B	200	34.58	n/a	n/a	50.00	25.0
LATEFF MGMT	035	BMS	S	350	29.42	n/a	n/a	42.00	12.0
SURVEYOR CAPITAL	251	BWA	B	2,500	65.44	n/a	9-Nov	75.00	3.0
SURVEYOR CAPITAL	251	CAT	B	2,000	94.54	n/a	25-Oct	60.00	3.0
CHESAPEAKE PARTNERS	028	CMC	B	10,000	14.00	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	COH	B	10,000	60.07	n/a	26-Oct	400.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CROX</b>	<b>S</b>	<b>250</b>	<b>15.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	CRS	B	590	50.56	n/a	n/a	23.60	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CWTR</b>	<b>B</b>	<b>5000</b>	<b>1.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	DAL	S	550	8.11	n/a	n/a	55.00	10.0
SCOPUS FUND	041	DIN	S	12,600	43.45	n/a	n/a	504.00	4.0
ETON PARK CAPITAL	041	DLTR	S	9,200	83.32	n/a	22-Nov	368.00	4.0
LATEFF MGMT	035	DRE	B	900	11.55	n/a	n/a	90.00	10.0
<b>f FRANCIS PATRICK GALL</b>	<b>FID</b>	<b>DRR</b>	<b>B</b>	<b>210</b>	<b>44.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JANA CAPITAL	044	EP	S	50,000	24.91	n/a	n/a	2,000.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>FAS</b>	<b>S</b>	<b>5000</b>	<b>57.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>FCSAX</b>	<b>S</b>	<b>85</b>	<b>10.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FCSAX</b>	<b>S</b>	<b>94</b>	<b>10.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FILEX</b>	<b>B</b>	<b>52</b>	<b>7.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>FKRCX</b>	<b>B</b>	<b>16</b>	<b>37.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FKRCX</b>	<b>B</b>	<b>13</b>	<b>37.40</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.	
CATAPULT	040	FLS	B	582	101.79	n/a	n/a	23.28	4.0
⌘ BUCK CAPITAL MGMT		FOSL	SS	10,000	83.58	n/a	n/a	non-brg	4.0
f JILL ROSENBERG	FID	FPCIX	B	161	10.59	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	132	10.59	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSAMX	B	70	8.56	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSAMX	B	47	8.56	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSGFX	S	53	11.34	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	S	53	11.34	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FVSAX	S	63	12.64	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FVSAX	S	71	12.64	n/a	n/a	0.00	0.0
ADALY INV MGMT	031	GDXJ	SS	2,300	26.50	n/a	n/a	115.00	5.0
LATEFF MGMT	035	GE	B	150	16.57	n/a	n/a	30.00	20.0
⌘ BUCK CAPITAL MGMT		GIL	B	20,000	19.09	n/a	2-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	50,000	19.09	n/a	2-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	80,000	19.09	n/a	2-Dec	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	13.33	n/a	12-Dec	400.00	4.0
⌘ BUCK CAPITAL MGMT		GMCR	B	10,000	50.61	n/a	n/a	non-brg	4.0
CATAPULT	040	HAR	B	1,693	38.50	n/a	3-Feb	67.72	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>50,000</b>	<b>22.56</b>	<b>n/a</b>	<b>30-Nov</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	HD	S	125	40.02	n/a	8-Dec	31.25	25.0
TRUSTCO/SUNTRUST	040	HPQ	B	41,600	26.84	n/a	n/a	1,456.00	3.5
PILOT ADV	041	INTC	B	13,000	24.03	n/a	n/a	390.00	3.0
CATAPULT	040	ITT	B	4,206	19.70	n/a	n/a	168.24	4.0
DAVIDSON KEMPNER ADVISOR	040	IVN	B	50,000	17.49	n/a	n/a	2,500.00	5.0
PZENA INV ADV	044	JCP	S	35,900	32.83	n/a	2-Dec	1,256.50	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>JIVE</b>	<b>B</b>	<b>5,000</b>	<b>12.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JIVE</b>	<b>S</b>	<b>5,000</b>	<b>15.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BASIX	033	JNY	S	24,000	9.67	n/a	27-Oct	720.00	3.0
LATEFF MGMT	035	KR	S	500	24.03	n/a	n/a	50.00	10.0
THE JAY GOLDMAN	028	KSS	B	10,000	50.25	n/a	2-Dec	400.00	4.0
KACELA CAPITAL	034	LEA	SS	25,000	38.29	n/a	31-Oct	1,000.00	4.0
OSKIE CAPITAL MGMT	224	LEA	B	20,000	36.94	n/a	31-Oct	1,000.00	5.0
HOLLIS CAPITAL	033	LEG	SS	7,500	22.42	n/a	n/a	375.00	5.0
SURVEYOR CAPITAL	251	MGA	SS	5,000	33.98	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	PCAR	B	5,000	38.54	n/a	26-Oct	150.00	3.0
SURVEYOR CAPITAL	251	PCP	B	2,000	154.90	n/a	28-Oct	60.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PCRRX</b>	<b>B</b>	<b>54</b>	<b>7.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	PKG	B	125	24.28	n/a	18-Oct	31.25	25.0
BALYASNY ASSET MGMT	044	PLCE	SS	10,000	56.96	n/a	22-Nov	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>104,060</b>	<b>56.21</b>	<b>n/a</b>	<b>22-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>PTRAX</b>	<b>S</b>	<b>55</b>	<b>10.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PTRAX</b>	<b>S</b>	<b>55</b>	<b>10.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RCII</b>	<b>B</b>	<b>50,000</b>	<b>35.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RCII</b>	<b>B</b>	<b>50,000</b>	<b>36.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	297	RKT	S	27,800	55.65	n/a	10-Nov	1,112.00	4.0
RAINIER INV MGMT	035	ROG	S	12,100	39.89	n/a	n/a	484.00	4.0
CATAPULT	040	RYL	B	3,836	15.25	n/a	n/a	153.44	4.0
NORTHWESTERN MUTUAL LIFE	047	SFSF	S	200,000	39.78	n/a	n/a	8,000.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>SGI</b>	<b>S</b>	<b>200</b>	<b>14.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	SPR	B	3,391	19.88	n/a	11-Nov	135.64	4.0
RIDGECREST INV MGMT LLC	028	SPY	SS	25,000	124.71	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	251	ST	SS	5,000	29.34	n/a	n/a	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	SWK	B	117,950	64.97	n/a	n/a	4,718.00	4.0
CATAPULT	040	TGI	B	752	57.63	n/a	n/a	30.08	4.0
MOORE CAPITAL	041	TIN	B	25,000	31.65	n/a	19-Oct	750.00	3.0
⚡ BUCK CAPITAL MGMT		TPX	B	100,000	52.81	n/a	n/a	non-brg	4.0
LATEFF MGMT	035	UAL	S	325	20.44	n/a	n/a	71.50	22.0
LATEFF MGMT	035	UN	S	125	33.50	n/a	n/a	31.25	25.0
⚡ BUCK CAPITAL MGMT		URBN	S	168,645	28.48	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	55,000	27.84	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	95,000	27.84	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	98,900	28.48	n/a	n/a	non-brg	4.0
HARVEST MGMT	029	URBN	SS	5,000	27.84	n/a	n/a	200.00	4.0
MERRILL ASSET/BLACKROCK	297	VNO	B	25,600	72.33	n/a	n/a	1,024.00	4.0
⚡ BUCK CAPITAL MGMT		WRC	B	10,000	49.80	n/a	4-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WYNN	C	20,300	107.95	n/a	13-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WYNN	C	39,700	104.16	n/a	13-Jun	non-brg	4.0
CATAPULT	040	XPO	B	4,400	11.59	n/a	n/a	176.00	4.0
⚡ JONATHAN RICHARD HAR	FID	XPO	S	340	11.68	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN BARTMAN COLE	FID		B	600	7.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								35,928.45	

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) :									35,928.45
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									35,928.45



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 13-Dec.  
NONE

MRI Securities without Trade Activity on 13-Dec.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 2%

**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)**