



Daily Compliance Activity Report

Trade Date: 05/15/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		1913 HK	S	189,941	5.93	n/a	n/a	non-brg	1.2
B BUCK CAPITAL MGMT		1913 HK	S	204,200	5.93	n/a	n/a	non-brg	1.2
EDGEWOOD	085	AAPL	B	547	560.83	n/a	n/a	27.35	5.0
MILLRACE FUND LP	028	ABG	B	2,000	25.86	n/a	27-Apr	80.00	4.0
B BUCK CAPITAL MGMT		AEO	B	100,000	19.55	n/a	2-Dec	non-brg	4.0
EDGEWOOD	085	AGN	B	2,671	91.36	n/a	14-May	133.55	5.0
BRONSON POINT	036	AIG	S	50,000	31.27	n/a	n/a	1,500.00	3.0
EDGEWOOD	085	AMT	B	5,561	67.65	n/a	n/a	278.05	5.0
EDGEWOOD	085	AMZN	B	2,222	229.39	n/a	n/a	111.10	5.0
CADIAN CAPITAL	041	ANF	S	120,000	45.94	n/a	30-Apr	3,600.00	3.0
f ALANA J A MADIGAN-SI	FID	ARCO	B	500	13.43	n/a	7-May	0.00	0.0
BASSWOOD PARTNERS	267	AXP	SS	8,176	57.93	n/a	15-May	327.04	4.0
ARSENAL ASSET MANAGEMENT	028	BBBY	B	10,000	71.63	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		BBBY	B	50,000	71.59	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	BBY	SS	10,000	19.17	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	BLL	B	15,000	40.60	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		BYD	B	100,000	7.05	n/a	n/a	non-brg	3.0
KINGDON ASSET MGMT	041	CAT	B	100,000	94.02	n/a	26-Apr	4,000.00	4.0
EDGEWOOD	085	CELG	B	7,540	71.44	n/a	n/a	377.00	5.0
STATE TEACHERS RET SYS	047	CMA	S	17,529	30.56	n/a	n/a	876.45	5.0
EDGEWOOD	085	CME	B	1,940	259.82	n/a	28-Apr	97.00	5.0
BASSWOOD PARTNERS	267	COF	B	18,600	51.51	n/a	15-May	744.00	4.0
EDGEWOOD	085	COH	B	5,756	67.40	n/a	9-May	287.80	5.0
ROARING BLUE LION MGMT	031	CROX	B	26,000	17.14	n/a	n/a	1,040.00	4.0
EDGEWOOD	085	CTSH	B	8,699	61.49	n/a	n/a	434.95	5.0
STATE TEACHERS RET SYS	047	CUBE	B	15,000	12.02	n/a	n/a	750.00	5.0
CRAMER ROSENTHAL	070	CVG	B	11,200	13.47	n/a	n/a	448.00	4.0
NEUBERGER BERMAN	036	CYBX	B	12,900	39.58	n/a	n/a	516.00	4.0
BALYASNY ASSET MGMT	044	DLPH	B	15,000	27.75	n/a	n/a	750.00	5.0
EDGEWOOD	085	ECL	B	4,331	64.34	n/a	9-May	216.55	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALEXANDRA ELISE ZOLI	FID	EWZ	S	40	54.47	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FDO	B	20,000	66.88	n/a	7-May	non-brg	4.0
EGS ASSOCIATES LP	091	FINL	B	3,000	21.09	n/a	2-Apr	150.00	5.0
BALTHAZAR CAPITAL PARTNERS LTD	085	FL	B	10,000	28.88	n/a	8-May	600.00	6.0
B BUCK CAPITAL MGMT		FL	S	100,000	29.16	n/a	8-May	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	50,000	29.17	n/a	8-May	non-brg	2.5
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	15.19	n/a	11-May	400.00	4.0
BALLAST CAP	040	FWLT	S	11,500	20.07	n/a	n/a	575.00	5.0
B BUCK CAPITAL MGMT		GCO	B	25,000	67.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	B	20,000	24.83	n/a	4-May	non-brg	4.0
f MARK ANTHONY GRONET	FID	GLW	S	1000	13.29	n/a	1-May	0.00	0.0
SCOPUS FUND	041	GM	B	25,000	21.57	n/a	4-May	1,000.00	4.0
EDGEWOOD	085	GOOG	B	727	612.43	n/a	n/a	36.35	5.0
B BUCK CAPITAL MGMT		HLF	S	50,000	42.83	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	HON	S	10,000	58.00	n/a	3-May	300.00	3.0
EDGEWOOD	085	ILMN	B	8,343	45.02	n/a	n/a	417.15	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	IP	B	20,000	30.95	n/a	27-Apr	1,000.00	5.0
f JOEL GIFFORD TISS	FID	IR	B	20	5.50	n/a	11-May	0.00	0.0
EDGEWOOD	085	ISRG	B	485	555.16	n/a	n/a	24.25	5.0
BALTHAZAR CAPITAL PARTNERS LTD	085	JCP	B	10,000	33.03	n/a	19-Apr	600.00	6.0
BARROW HANLEY MEWHINNEY	031	JPM	B	437,500	36.62	n/a	11-May	15,312.50	3.5
f MARK ANTHONY GRONET	FID	JPM	B	1000	36.86	n/a	11-May	0.00	0.0
BNP PARIBAS SEC	040	JWN	B	20,000	50.45	n/a	11-May	1,000.00	5.0
B BUCK CAPITAL MGMT		KSS	B	20,000	47.20	n/a	11-May	non-brg	4.0
EGS ASSOCIATES LP	091	KSS	B	3,000	47.15	n/a	11-May	150.00	5.0
ARSENAL ASSET MANAGEMENT	028	LEN	S	20,000	29.55	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		LVS	S	20,000	48.70	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		MC FP	S	24,300	157.22	n/a	n/a	non-brg	23.6
B BUCK CAPITAL MGMT		MCD	SS	50,000	91.03	n/a	8-May	non-brg	4.0
B BUCK CAPITAL MGMT		MCD	SS	50,000	91.03	n/a	8-May	non-brg	4.0
B BUCK CAPITAL MGMT		MGM	S	50,000	10.98	n/a	13-Jun	non-brg	4.0
f JASON ERIC COHEN	FID	MINI	B	100	14.64	n/a	n/a	0.00	0.0
EDGEWOOD	085	MJN	B	3,417	83.76	n/a	n/a	170.85	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	MMM	B	6,000	85.69	n/a	1-May	180.00	3.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,715,000	107.46	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,826,000	107.46	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	155,000	108.50	n/a	n/a	non-brg	8.7
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,675,245	107.46	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,784,000	107.46	n/a	n/a	non-brg	0.0
f MARK ANTHONY GRONET	FID	MUX	S	2000	2.41	n/a	n/a	0.00	0.0
PZENA INV ADV	044	MWW	B	6,500	8.68	n/a	n/a	227.50	3.5
⌘ BUCK CAPITAL MGMT		M	B	50,000	37.58	n/a	10-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	B	70,000	37.41	n/a	10-May	non-brg	4.0
METROPOLITAN CAPITAL	044	M	B	9,900	37.07	n/a	10-May	495.00	5.0
⌘ BUCK CAPITAL MGMT		NKE	B	10,000	108.40	n/a	23-Mar	non-brg	4.0
EDGEWOOD	085	NOV	B	4,996	66.62	n/a	n/a	249.80	5.0
f ANGELO CHRISTOS EFST	FID	NVDA	B	150	13.19	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	NVDA	B	300	13.20	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	NVDA	B	1500	13.17	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	NWL	B	40,000	18.09	n/a	n/a	1,200.00	3.0
SENATOR INVESTMENT GROUP	036	NWL	B	270,000	18.13	n/a	n/a	8,100.00	3.0
CATAPULT	040	OAS	SS	25,000	25.76	n/a	n/a	1,000.00	4.0
EDGEWOOD	085	ORCL	B	14,023	27.40	n/a	n/a	701.15	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
YORK CAPITAL	036	ORCL	SS	200,000	27.14	n/a	n/a	6,000.00	3.0
WEINTRAUB CAPITAL MGT.	269	PHM	B	150,000	9.84	n/a	n/a	6,000.00	4.0
B BUCK CAPITAL MGMT		PII	B	20,000	77.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	B	30,000	77.60	n/a	n/a	non-brg	4.0
COLUMBUS CIRCLE	036	PLXS	S	890	29.59	n/a	n/a	35.60	4.0
TUDOR INVESTORS	028	PPG	B	3,000	103.12	n/a	9-Apr	90.00	3.0
B BUCK CAPITAL MGMT		PVH	S	10,000	79.78	n/a	9-May	non-brg	4.0
EDGEWOOD	085	PWR	B	12,953	22.90	n/a	n/a	647.65	5.0
EDGEWOOD	085	PX	B	2,267	110.73	n/a	3-May	113.35	5.0
EDGEWOOD	085	QCOM	B	8,585	61.85	n/a	n/a	429.25	5.0
SIMMONS VENTURES	041	RNDY	B	15,000	10.09	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		RUSHA	B	20,000	15.85	n/a	n/a	non-brg	4.0
f ALEXANDRA ELISE ZOLI	FID	SBUX	B	60	53.81	n/a	27-Apr	0.00	0.0
f KAREN F LEDDY	FID	SIMO	S	2500	14.62	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SLXP	SS	5,000	51.39	n/a	14-May	non-brg	4.0
HALCYON LLC	041	SON	B	10,000	32.17	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	SSI	B	1300	15.49	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	STI	B	41,800	22.86	n/a	n/a	1,672.00	4.0
B BUCK CAPITAL MGMT		SUMR	S	2,500	3.24	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SUMR	S	82,500	3.26	n/a	n/a	non-brg	2.0
CASTLE ARK	031	SWN	B	120,301	28.65	n/a	9-May	6,015.05	5.0
HIGHFIELDS CAP MGMT	030	TGT	S	202,400	55.35	n/a	3-May	6,072.00	3.0
EDGEWOOD	085	TROW	B	6,404	59.81	n/a	n/a	320.20	5.0
TUDOR INVESTORS	028	UNP	SS	2,000	113.56	n/a	n/a	60.00	3.0
CAPITAL RESEARCH GROUP		070 UPL	B	158,800	19.05		n/a 9-May	5,558.00	3.5
KINGDON ASSET MGMT	041	URI	S	100,000	39.11	n/a	17-Apr	4,000.00	4.0
HALCYON LLC	041	UTX	B	9,000	76.19	n/a	n/a	270.00	3.0
f EDWARD W WHEELER	FID	VE	B	5000	12.87	n/a	n/a	0.00	0.0
EDGEWOOD	085	VIAB	B	6,295	47.24	n/a	n/a	314.75	5.0
EDGEWOOD	085	V	B	4,926	117.48	n/a	2-May	246.30	5.0
TUDOR INVESTORS	028	WCC	SS	2,000	60.15	n/a	n/a	60.00	3.0
ARSENAL ASSET MANAGEMENT	028	WLK	SS	15,000	56.01	n/a	n/a	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	WRE	B	10,000	29.50	n/a	n/a	500.00	5.0
ARSENAL ASSET MANAGEMENT	028	WY	B	25,000	19.45	n/a	4-May	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	19.45	n/a	4-May	2,500.00	5.0
KINGDON ASSET MGMT	041	XOM	C	150,000	82.42	n/a	n/a	6,000.00	4.0
B BUCK CAPITAL MGMT		YUM	SS	70,000	69.79	n/a	20-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		YUM	SS	70,000	69.79	n/a	20-Apr	non-brg	4.0
EDGEWOOD	085	YUM	B	5,119	70.63	n/a	20-Apr	255.95	5.0
BASSWOOD PARTNERS	267	ZION	B	18,300	19.11	n/a	n/a	732.00	4.0
f JOEL GIFFORD TISS	FID		S	5000	11.19	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID		B	145000	0.09	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID		S	1500	11.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							102,226.49		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/14	DECADE CAPITAL PARTNERS	040	ASBC	SS	38,400	12.94	n/a	n/a	1536.00 4.0
AO,CXL	05/14	DEVENNY CAP LLC/MILLENIUM	044	ASBC	SS	38,400	12.94	n/a	n/a	1536.00 4.0
AO,CRT	05/14	DECADE CAPITAL PARTNERS	040	KEY	B	64,500	7.70	n/a	n/a	2580.00 4.0
AO,CXL	05/14	DEVENNY CAP LLC/MILLENIUM	044	KEY	B	64,500	7.70	n/a	n/a	2580.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	102,226.49
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	102,226.49
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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 15-May.
NONE

MRI Securities without Trade Activity on 15-May.
DKS

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)