



Daily Compliance Activity Report

Trade Date: 03/15/2012

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	595.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	AAPL	B	20	599.24	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	AAPL	S	18,580	592.51	n/a	n/a	743.20	4.0
PROSPECTOR PARTNERS LLC	036	ABX	S	10,000	43.53	n/a	n/a	400.00	4.0
PNC CAPITAL ADV	028	AMP	S	28,775	56.66	n/a	n/a	1,151.00	4.0
f KEVIN MICHAEL O'GORM	FID	ANF	B	20	1.38	n/a	16-Feb	0.00	0.0
f GAVIN N CADWALLADER	FID	ANN	B	100	27.98	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	AON	B	5,000	48.91	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	ARCO	B	25,000	18.81	n/a	6-Mar	750.00	3.0
PROSPECTOR PARTNERS LLC	036	AU	S	2,000	38.58	n/a	n/a	80.00	4.0
CATAPULT	040	BAC	B	4,600	9.08	n/a	15-Mar	184.00	4.0
f JOSEPH CIRO AMATURO	FID	BBY	S	1000	24.80	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	BEAM	S	5,000	57.18	n/a	n/a	200.00	4.0
CATAPULT	040	BEN	B	5,000	124.27	n/a	2-Mar	200.00	4.0
MELLON/BANK OF NEW YORK	046	BIDU	B	24,221	136.51	n/a	n/a	968.84	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BWA	C	5,800	86.94	n/a	15-Feb	non-brg	4.0
WEISS PECK - ROBECO INV		040	BWS	S	158,560	9.39	n/a	n/a	6,342.40 4.0
f JOSEPH CIRO AMATURO	FID	COSI	S	16000	1.14	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	CRZO	B	14,000	29.60	n/a	n/a	560.00	4.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	50,000	12.17	n/a	n/a	2,500.00	5.0
f DAVID GEORGE BUCK	FID	C	B	20	0.58	n/a	15-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	C	S	10	1.09	n/a	15-Mar	0.00	0.0
MILLRACE FUND LP	028	DAN	SS	20,000	16.07	n/a	22-Feb	800.00	4.0
PROSPECTOR PARTNERS LLC	036	DD	S	10,000	53.00	n/a	15-Mar	400.00	4.0
f JONATHAN RICHARD HAR	FID	DECK	S	50	67.81	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	091	DELL	S	5,700	17.38	n/a	n/a	171.00	3.0
VISIUM/BALY BOBBY	044	DOW	C	47,000	35.00	n/a	15-Mar	2,350.00	5.0
TRELLUS PARTNERS LP	028	DRI	SS	5,000	52.77	n/a	27-Feb	150.00	3.0
B BUCK CAPITAL MGMT		DWRE	B	428	16.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		DWRE	B	464	16.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		DWRE	B	536	16.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		DWRE	B	72	16.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		DWRE	S	428	24.44	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DWRE	S	536	24.44	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DWRE	S	536	24.44	n/a	n/a	non-brg	2.5
ACK ASSET	028	EME	B	15,000	28.18	n/a	n/a	450.00	3.0
CATAPULT	040	EV	B	2,500	28.88	n/a	n/a	100.00	4.0
ß BUCK CAPITAL MGMT		EXPR	S	20,000	26.07	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		EXPR	S	50,000	25.92	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FBHS	B	50,000	21.30	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	GEOI	S	20,800	33.34	n/a	n/a	832.00	4.0
ß BUCK CAPITAL MGMT		GES	S	100,000	32.72	n/a	15-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		GES	S	170,000	32.85	n/a	15-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	10,000	27.38	n/a	9-Feb	non-brg	4.0
WHITE PINE CAPITAL	030	GLD	S	400	160.06	n/a	n/a	20.00	5.0
BALYASNY ASSET MGMT	044	GM	C	50,000	26.03	n/a	2-Mar	2,500.00	5.0
ß BUCK CAPITAL MGMT		GM	C	19,300	26.04	n/a	2-Mar	non-brg	4.0
SURVEYOR CAPITAL	251	GPS	SS	62,200	25.49	n/a	n/a	1,866.00	3.0
f MANNY I KORMAN	FID	HSC	B	5000	23.65	n/a	7-Mar	0.00	0.0
MELLON/BANK OF NEW YORK	046	IBM	B	42,622	205.97	n/a	n/a	1,704.88	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	IWM	SS	8,500	82.34	n/a	n/a	425.00	5.0
WHITE PINE CAPITAL	030	IWO	C	7,500	95.12	n/a	n/a	375.00	5.0
CAISSE DEPOT PLACEMENT Q	295	IYR	SS	60,000	61.87	n/a	n/a	3,000.00	5.0
LATEFF MGMT	035	JCI	B	2,525	32.90	n/a	8-Mar	393.75	18.5
ß BUCK CAPITAL MGMT		JNY	B	300,000	11.09	n/a	9-Feb	non-brg	4.0
T. ROWE PRICE	033	JOY	S	127,100	78.08	n/a	13-Mar	5,084.00	4.0
ß BUCK CAPITAL MGMT		LEA	S	10,900	45.99	n/a	3-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		LIZ 7 C13	SS	1,500	1.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		LIZ	S	40,000	12.29	n/a	7-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		LL	S	15,000	24.03	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		LL	S	30,000	24.20	n/a	n/a	non-brg	2.5
SCOPUS FUND	041	LPX	S	200	9.67	n/a	7-Feb	8.00	4.0
JP MORGAN VENTURES	046	LTD	S	10,000	47.46	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		LULU	SS	10,000	72.44	n/a	17-Feb	non-brg	2.5
f JOSEPH CIRO AMATURO	FID	LXK	S	1000	35.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MFRM	S	10,000	33.66	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ARTHUR K	FID	MWV	B	500	31.25	n/a	26-Jan	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	MWV	B	500	31.26	n/a	26-Jan	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041		MWV	B	4,000	31.23	n/a	26-Jan	200.00	5.0
SUTTON BROOK	086	MWV	B	25,000	31.38	n/a	26-Jan	1,000.00	4.0
JP MORGAN VENTURES	046	M	B	10,000	39.80	n/a	2-Mar	400.00	4.0
MA CAPITAL MGMT/MELLON ADV041		NAV	S	3,000	41.88	n/a	9-Mar	150.00	5.0
f RAVI SADARANGANI	FID	NAV	B	300	41.97	n/a	9-Mar	0.00	0.0
f ROHINI T SADARANGANI	FID	NAV	B	200	41.95	n/a	9-Mar	0.00	0.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.06	n/a	n/a	800.00	4.0
CRAMER ROSENTHAL	070	PCP	S	1,100	175.02	n/a	29-Feb	44.00	4.0
MATRIX ASSET ADV.	091	PEP	B	2,000	63.85	n/a	n/a	80.00	4.0
CRAMER ROSENTHAL	070	PG	S	4,000	67.65	n/a	24-Feb	160.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	51.74	n/a	7-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	51.74	n/a	7-Mar	non-brg	4.0
CATAPULT	040	PNC	S	5,000	62.47	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		RMS FP	C	10,000	326.24	n/a	n/a	non-brg	48.9
f PATRICK O'GRADY	FID	ROIAC	B	600	1.03	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041		ROST	B	3,000	55.06	n/a	2-Mar	150.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV	041	ROST	S	3,000	56.01	n/a	2-Mar	150.00	5.0
SIMMONS VENTURES	041	ROST	B	5,000	55.30	n/a	2-Mar	200.00	4.0
SIMMONS VENTURES	041	ROST	S	5,000	56.40	n/a	2-Mar	200.00	4.0
WEINTRAUB CAPITAL MGT.	269	ROST	B	42,897	55.43	n/a	2-Mar	1,715.88	4.0
ELM RIDGE ADVISORS	044	RYN	B	100,100	44.62	n/a	26-Jan	4,004.00	4.0
B BUCK CAPITAL MGMT		SCSS	B	25,000	33.17	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	251	SFD	SS	50,000	22.71	n/a	n/a	1,500.00	3.0
f JONATHAN RICHARD HAR	FID	SIMO	B	100	19.16	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL	070	SLB	S	11,800	74.76	n/a	n/a	472.00	4.0
SONTERRA CAP	041	SLE	B	50,000	21.18	n/a	n/a	2,000.00	4.0
CAISSE DEPOT PLACEMENT Q	295	SLM	SS	250,000	16.18	n/a	8-Mar	7,500.00	3.0
f JOSEPH CIRO AMATURO	FID	SLM	S	3000	16.08	n/a	8-Mar	0.00	0.0
f MANNY I KORMAN	FID	STT	B	5000	45.15	n/a	14-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	STWD	B	2000	21.14	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	STWD	B	400	21.13	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	STWD	B	400	21.13	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	TBT	B	1,000	20.84	n/a	n/a	50.00	5.0
KAM ADVISORS LLC	041	TGT	S	34,200	58.65	n/a	1-Mar	1,026.00	3.0
WHITE PINE CAPITAL	030	TLT	SS	250	111.34	n/a	n/a	12.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	TSN	B	150,000	19.64	n/a	n/a	4,500.00	3.0
MELLON/BANK OF NEW YORK	046	TXN	S	9,000	32.62	n/a	n/a	360.00	4.0
PROSPECTOR PARTNERS LLC	036	UFS	S	5,000	99.44	n/a	n/a	200.00	4.0
ADAGE CAPITAL MGMT	030	URBN	B	61,100	28.06	n/a	n/a	1,833.00	3.0
CAISSE DEPOT PLACEMENT Q	295	USB	B	100,000	31.50	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		VRA	S	20,000	35.01	n/a	n/a	non-brg	4.0
TALPION LLC	040	VSI	B	2,340	41.80	n/a	n/a	93.60	4.0
BALLAST CAP	040	WAG	S	16,100	33.62	n/a	n/a	805.00	5.0
f JOSEPH CIRO AMATURO	FID	WNC	S	5000	10.10	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	WSM	B	10,000	36.85	n/a	n/a	300.00	3.0
VERITION	028	WSM	S	15,000	36.85	n/a	n/a	450.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	WY	B	3,000	21.99	n/a	3-Feb	150.00	5.0
MELLON/BANK OF NEW YORK	046	XOM	S	10,615	85.87	n/a	n/a	424.60	4.0
DSG CAPITAL	030	XPO	B	5,000	16.55	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID		B	50000	100.00	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

71,639.65

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) :									71,639.65
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									71,639.65

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-Mar.
NONE

MRI Securities without Trade Activity on 15-Mar.
DFS, IR, AXP

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)