



Daily Compliance Activity Report

Trade Date: 01/06/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ANN BETTENDORF FREEM	FID	AAPL	S	25	420.88	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ABT	B	1500	55.88	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ABT	B	150	55.88	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	ANF	S	2,800	45.73	n/a	3-Jan	84.00	3.0
Ö Ann Bettendorf Freeman		APPL	S	15	420.87	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	ARCO	S	107,000	19.36	n/a	6-Jan	4,280.00	4.0
f BARBARA S LEDDY	FID	ARCO	B	250	19.15	n/a	6-Jan	0.00	0.0
f KAREN F LEDDY	FID	ARCO	B	500	19.11	n/a	6-Jan	0.00	0.0
TUDOR INVESTORS	028	ARII	B	5,643	25.80	n/a	n/a	169.29	3.0
TUDOR INVESTORS	028	AWI	S	10,000	47.14	n/a	n/a	300.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	17,500	11.51	n/a	6-Jan	875.00	5.0
WINSLOW CAPITAL	030	BEN	S	3,900	97.80	n/a	2-Mar	117.00	3.0
WINSLOW CAPITAL	030	BTU	S	2,900	35.86	n/a	n/a	87.00	3.0
BASIX	033	BWA	SS	13,000	65.35	n/a	6-Jan	390.00	3.0
FIRST NY SEC/CHRIS	041	BWA	SS	10,000	65.57	n/a	6-Jan	500.00	5.0
WINSLOW CAPITAL	030	BWA	S	4,800	65.50	n/a	6-Jan	144.00	3.0
TUDOR INVESTORS	028	CAT	B	5,000	95.50	n/a	21-Dec	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	CECO	B	4,131	7.24	n/a	n/a	123.93	3.0
TALPION LLC	040	CECO	S	4,131	8.00	n/a	n/a	123.93	3.0
NOMURA CAPITAL	029	CHMT	S	352	11.62	n/a	18-Feb	10.56	3.0
WINSLOW CAPITAL	030	CME	S	1,000	232.69	n/a	28-Apr	30.00	3.0
WINSLOW CAPITAL	030	CRM	S	3,800	98.76	n/a	n/a	114.00	3.0
B BUCK CAPITAL MGMT		CROX	B	20,000	15.40	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	CROX	B	500	15.32	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	CROX	B	5,000	15.06	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	45,000	41.25	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CSTR	S	5,000	41.12	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DECK	C	10,000	83.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	C	10,000	83.02	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	DG	B	40,000	40.90	n/a	5-Dec	2,000.00	5.0
WINSLOW CAPITAL	030	DHR	S	17,100	48.14	n/a	n/a	513.00	3.0
BESSEMER INVESTMENT	085	DIS	S	340	39.88	n/a	n/a	13.60	4.0
BESSEMER INVESTMENT	085	ECL	S	335	58.03	n/a	3-Jan	13.40	4.0
WINSLOW CAPITAL	030	EW	S	4,900	71.93	n/a	n/a	147.00	3.0
B BUCK CAPITAL MGMT		EXPR	B	20,000	19.12	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	FCX	B	850	39.06	n/a	n/a	42.50	5.0
TUDOR INVESTORS	028	FCX	S	5,000	39.56	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		FINL	B	20,000	19.56	n/a	22-Dec	non-brg	4.0
WINSLOW CAPITAL	030	FLR	S	7,100	52.17	n/a	n/a	213.00	3.0
f WILLIAM J GAULT	FID	FOR	S	1000	16.01	n/a	3-Nov	0.00	0.0
ß BUCK CAPITAL MGMT		FOSL	B	14,332	79.53	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	14,332	79.12	n/a	n/a	non-brg	4.0
f ANN BETTENDORF FREEM	FID	F	S	250	11.75	n/a	6-Jan	0.00	0.0
BESSEMER INVESTMENT	085	GE	S	1,060	18.74	n/a	n/a	42.40	4.0
ß BUCK CAPITAL MGMT		GIIL 3 C20	SS	337	4.04	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GIIL 3 C20	SS	338	4.04	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GIIL	S	25,000	23.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIIL	S	25,000	23.50	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	22.49	n/a	6-Jan	600.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GM	S	24,000	22.84	n/a	6-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		HLF	B	10,000	52.01	n/a	n/a	non-brg	4.0
TALPION LLC	040	HNT	S	5,000	32.04	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	IP	S	540	30.90	n/a	27-Oct	21.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	IP	SS	5,000	30.93	n/a	27-Oct	150.00	3.0
WINSLOW CAPITAL	030	ITW	S	5,700	47.72	n/a	5-Dec	171.00	3.0
JET CAPITAL/CHRIS	041	IYR	C	80,700	56.72	n/a	n/a	2,421.00	3.0
BALLAST CAP	040	JAH	SS	11,800	29.91	n/a	n/a	590.00	5.0
BESSEMER INVESTMENT	085	JCI	S	300	33.16	n/a	4-Jan	12.00	4.0
B BUCK CAPITAL MGMT		JOSB	S	1,450	47.09	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	JPM	S	350	35.60	n/a	6-Jan	14.00	4.0
WINSLOW CAPITAL	030	JPM	S	8,700	35.34	n/a	6-Jan	261.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	S	21,900	27.25	n/a	6-Jan	1,095.00	5.0
FIRST NY SEC/CHRIS	041	LEA	B	10,000	42.66	6-Jan	6-Jan	500.00	5.0
SCOPUS FUND	041	LPX	B	50,000	8.34	n/a	7-Nov	2,000.00	4.0
f EDWARD W WHEELER	FID	LRD LN	B	50000	2.32	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	MET	S	10,000	32.86	n/a	n/a	300.00	3.0
BRONSON POINT	036	MGA	SS	30,000	36.24	n/a	n/a	900.00	3.0
TUDOR INVESTORS	028	MHK	B	5,000	59.87	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	MHS	B	1000	60.82	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	MON	S	7,800	77.36	n/a	6-Jan	234.00	3.0
f JOHN BARTMAN COLE	FID	MSHL	S	500	1.10	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MTOR	S	200	0.80	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	MWA	S	1140	2.70	n/a	n/a	0.00	0.0
ACK ASSET	028	MWV	SS	100,000	29.54	n/a	26-Oct	3,000.00	3.0
ARMATURE CAPITAL	041	MWV	SS	50,000	29.70	n/a	26-Oct	2,000.00	4.0
ß BUCK CAPITAL MGMT		M	B	50,000	34.22	6-Jan	6-Jan	non-brg	4.0
M&I FUNDS	047	M	B	60,483	34.44	6-Jan	6-Jan	2,419.32	4.0
TUDOR INVESTORS	028	NUE	B	8,000	41.12	n/a	n/a	240.00	3.0
f DAVID GEORGE BUCK	FID	ONXX	B	10	1.80	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	PFE	S	795	21.66	n/a	n/a	31.80	4.0
ß BUCK CAPITAL MGMT		PII	S	13,500	57.11	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PII	S	13,500	57.11	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PII	S	23,000	57.11	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PII	S	51,251	57.89	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PII	S	51,252	57.89	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PII	S	87,000	57.89	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	B	125,000	48.79	n/a	5-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	B	16,900	49.00	n/a	5-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PLCE	B	25,000	48.44	n/a	5-Jan	non-brg	2.0
⌘ BUCK CAPITAL MGMT		PLCE	B	50,000	48.96	n/a	5-Jan	non-brg	2.0
⌘ BUCK CAPITAL MGMT		PSMT	B	10,000	58.26	n/a	n/a	non-brg	2.5
Õ Ann Bettendorf Freeman		QCOM	S	50	56.14	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	RKT	S	5,300	61.46	n/a	5-Jan	159.00	3.0
SENATOR INVESTMENT GROUP	036	RKT	B	18,080	59.45	n/a	5-Jan	542.40	3.0
TRELLUS PARTNERS LP	028	RKT	B	300	58.75	n/a	5-Jan	15.00	5.0
WEINTRAUB CAPITAL MGT.	269	RKT	S	15,000	61.78	n/a	5-Jan	600.00	4.0
⌘ BUCK CAPITAL MGMT		RRR	S	50,000	18.62	n/a	n/a	non-brg	4.0
THIRD COAST CAPITAL	035	SEAC	S	40,000	6.78	n/a	n/a	2,000.00	5.0
⌘ BUCK CAPITAL MGMT		SHOO	B	10,000	34.53	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKX	SS	60,000	11.79	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKX	SS	60,000	11.79	n/a	n/a	non-brg	4.0
TALPION LLC	040	SLM	S	7,500	13.88	n/a	5-Jan	300.00	4.0
⌘ BUCK CAPITAL MGMT		SSI	S	2,500	13.50	n/a	n/a	non-brg	2.5
SANDLER O'NEILL ASSET	031	STT	SS	15,000	41.30	n/a	6-Jan	750.00	5.0
TUDOR INVESTORS	028	SXC	B	7,725	11.91	n/a	n/a	231.75	3.0
FIRST NY SEC/CHRIS	041	UFS	SS	5,000	86.98	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	UNH	S	16,200	52.78	n/a	n/a	486.00	3.0
WINSLOW CAPITAL	030	UNP	S	9,400	107.28	n/a	n/a	282.00	3.0
WINSLOW CAPITAL	030	V	S	9,000	100.51	n/a	5-Jan	270.00	3.0
WINSLOW CAPITAL	030	YUM	S	4,900	59.40	n/a	6-Jan	147.00	3.0
f EDWARD W WHEELER	FID		B	50000	94.10	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								34,177.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/03	HAMILTON CAP PART FIN	031	C	B	20,000	27.85	n/a	6-Jan	800.00 4.0
AO,CXL	01/03	HAMILTON CAP PART FIN	031	C	B	20,000	27.85	n/a	6-Jan	800.00 4.0
AO,	01/05	PLATTE RIVER CAPITAL	240	WFC	B	27,600	28.71	n/a	6-Jan	1104.00 4.0

TOTAL (AO, CXL, CRT) :	1,104.00
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TOTAL (Trade Date) :	34,177.48
TOTAL (AO, CXL, CRT) :	1,104.00

TOTAL (RUN DATE) / NFS:	35,281.48
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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 6-Jan.

LEA, M

MRI Securities without Trade Activity on 6-Jan.

TJX, APA, COG, DVN, KSS, ROST, CHD, BUD

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)