



Daily Compliance Activity Report

Trade Date: 12/15/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	ACGL	S	10,000	36.61	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	ADP	S	7,800	51.15	n/a	n/a	312.00	4.0
f MARC PAUL LUCHANSKY	FID	AEMSX	S	300	12.68	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	AJG	S	6,600	32.57	n/a	n/a	264.00	4.0
BASIX	033	AME	SS	17,000	40.02	n/a	n/a	510.00	3.0
NEUBERGER BERMAN	036	AMT	B	49,894	58.11	n/a	n/a	1,995.76	4.0
f DAVID GEORGE BUCK	FID	AMZN	B	10	16.31	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AMZN	S	10	8.04	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	ARTKX	S	158	24.25	n/a	n/a	0.00	0.0
PENNANT CAP MGMT	029	BBY	SS	135,000	23.39	n/a	n/a	4,050.00	3.0
f DAVID GEORGE BUCK	FID	BIDU	B	1000	113.37	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	BP	S	200	41.72	n/a	n/a	10.00	5.0
MILLENNIUM PARTNERS ICSUS	041	BTU	B	50,000	33.02	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	251	CAT	S	5,973	88.09	n/a	25-Oct	179.19	3.0
ADALY INV MGMT	031	CDE	SS	35,000	24.81	n/a	n/a	1,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		COH	S	100,000	58.50	n/a	26-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		COH	S	16,700	58.81	n/a	26-Oct	non-brg	4.0
PENNANT CAP MGMT	029	COL	S	169,400	53.47	n/a	5-Dec	5,082.00	3.0
f MARC PAUL LUCHANSKY	FID	CRMMX	B	158	25.29	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	CROX	B	50,000	14.37	n/a	n/a	2,500.00	5.0
f MARC PAUL LUCHANSKY	FID	CRSOX	S	1102	7.94	n/a	n/a	0.00	0.0
OHIO PERS	047	CSCO	B	340,349	18.01	n/a	n/a	10,210.47	3.0
f JONATHAN RICHARD HAR	FID	CWTR	B	2000	0.99	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	DAL	B	360	8.38	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	DAN	S	31,000	10.92	n/a	1-Dec	1,240.00	4.0
B BUCK CAPITAL MGMT		DFS	B	21,700	23.09	n/a	15-Dec	non-brg	4.0
HARVEST MGMT	029	DRI	B	10,000	43.61	n/a	6-Dec	400.00	4.0
B BUCK CAPITAL MGMT		EDGR	B	100,000	0.39	n/a	n/a	non-brg	0.5
f DAVID GEORGE BUCK	FID	EFA	B	1000	48.52	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EFA	B	150	48.54	n/a	n/a	0.00	0.0
OHIO PERS	047	EP	B	129,000	24.83	n/a	n/a	3,870.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	EQT	S	58,000	53.71	n/a	n/a	1,740.00	3.0
HOPLITE MGMT	025	ESRX	B	98,236	43.64	n/a	n/a	3,929.44	4.0
RAINIER INV MGMT	035	EWBC	B	50,000	18.60	n/a	n/a	2,000.00	4.0
f MARC PAUL LUCHANSKY	FID	FDGFX	S	307	24.86	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FIVFX	B	924	10.82	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FMIHX	B	374	14.96	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	GLW	S	1500	13.12	n/a	12-Dec	0.00	0.0
BALYASNY ASSET MGMT	044	GM	SS	25,000	19.86	n/a	2-Dec	1,250.00	5.0
BNP PARIBAS SEC	040	GM	SS	20,000	19.60	n/a	2-Dec	1,000.00	5.0
f DAVID GEORGE BUCK	FID	HBC	S	5000	37.29	n/a	n/a	0.00	0.0
MASTERS CAPITAL MANAGE	025	HIG	B	100,000	16.39	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		HMB SS	C	134,802	30.37	n/a	n/a	non-brg	4.6
f DAVID GEORGE BUCK	FID	HNT	B	2000	28.61	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	HON	S	400	52.53	n/a	15-Dec	20.00	5.0
SURVEYOR CAPITAL	251	HON	B	3,000	52.38	n/a	15-Dec	90.00	3.0
f MARC PAUL LUCHANSKY	FID	HRINX	S	113	51.58	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	IEV	S	1500	32.69	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	IEV	S	200	32.68	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	IWF	B	1000	56.58	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IYG	B	825	43.84	n/a	n/a	41.25	5.0
B BUCK CAPITAL MGMT		JCP	SS	100,000	32.65	n/a	2-Dec	non-brg	4.0
OHIO PERS	047	JNPR	S	326,432	18.49	n/a	n/a	9,792.96	3.0
MFP INVESTORS	085	JNS	B	10,000	5.90	n/a	n/a	400.00	4.0
CATAPULT	040	JOY	S	10,000	73.89	n/a	15-Dec	400.00	4.0
PATTEN & PATTEN	025	JPM	S	700	31.82	n/a	15-Dec	35.00	5.0
BASIX	033	KMT	SS	20,000	35.57	n/a	28-Oct	600.00	3.0
PECONIC PARTNERS	036	KOG	S	55,300	8.24	n/a	n/a	2,212.00	4.0
B BUCK CAPITAL MGMT		KORS	B	1,000	20.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		KORS	B	100,000	20.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		KORS	S	101,000	24.16	n/a	n/a	non-brg	2.5
SANDLER CAPITAL	028	KSU	B	100,000	62.09	n/a	n/a	5,000.00	5.0
COPIA CAPITAL	031	LCC	B	115,088	5.69	n/a	n/a	4,028.09	3.5
B BUCK CAPITAL MGMT		LIZ	B	250,000	7.74	n/a	7-Oct	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	LIZ	B	20,000	7.77	n/a	7-Oct	600.00	3.0
B BUCK CAPITAL MGMT		MFRM	B	20,000	22.67	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	MGIA	S	250	23.01	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	MNDAX	B	212	16.98	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	MRSAX	B	1236	12.94	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	3,980,694	93.88	n/a	n/a	non-brg	0.4
B BUCK CAPITAL MGMT		MSMSBCM	SS	3,980,694	93.88	n/a	n/a	non-brg	0.0
SYSTEMATIC FINANCIAL MGT	035	MWV	B	150,000	28.67	n/a	26-Oct	4,500.00	3.0
THE JAY GOLDMAN	028	M	B	75,000	31.45	n/a	2-Dec	3,000.00	4.0
f KEVIN MICHAEL O'GORM	FID	NEYF	S	20000	0.56	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	NMBAX	S	425	9.11	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	20.69	n/a	9-Nov	400.00	4.0
PATTEN & PATTEN	025	NUE	S	300	38.30	n/a	n/a	15.00	5.0
f MARC PAUL LUCHANSKY	FID	OAKIX	S	533	16.07	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	OXY	S	6,365	88.75	n/a	n/a	318.25	5.0
BAIRD INVESTMENT	047	PCAR	S	9,295	36.56	n/a	26-Oct	464.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	PCRRX	B	1563	7.04	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PERY	S	75,000	13.25	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	PG	B	1000	65.14	n/a	16-Nov	0.00	0.0
MOORE CAPITAL	041	PIR	B	17,700	12.90	n/a	n/a	531.00	3.0
BALYASNY ASSET MGMT	044	PKG	B	25,000	24.30	n/a	18-Oct	1,250.00	5.0
NEWLAND CAPITAL MGT	025	PKG	B	59,821	24.25	n/a	18-Oct	2,392.84	4.0
SCOPUS FUND	041	PKG	B	5,800	24.33	n/a	18-Oct	232.00	4.0
f MARC PAUL LUCHANSKY	FID	PRITX	B	329	12.14	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PVH	B	30,000	68.63	n/a	2-Dec	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	P	B	10	2.25	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	P	B	18	2.20	n/a	n/a	0.00	0.0
Õ Abram Chappel		RIMM	S	75	15.14	n/a	n/a	0.00	0.0
MILLENNIUM PARTNERS ICSUS	041	RRC	B	25,000	59.45	n/a	13-Dec	1,000.00	4.0
f MARC PAUL LUCHANSKY	FID	RSEGX	S	77	39.80	n/a	n/a	0.00	0.0
HARVEST MGMT	029	SBUX	B	10,000	43.53	n/a	11-Nov	400.00	4.0
f KEVIN MICHAEL O'GORM	FID	SCHW	S	2000	11.01	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SCSS	B	20,000	19.10	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHESAPEAKE PARTNERS	028	SEMG	B	283	25.60	n/a	n/a	8.49	3.0
f JONATHAN RICHARD HAR	FID	SGI	S	880	11.92	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	SLB	S	300	67.27	n/a	n/a	15.00	5.0
f MARC PAUL LUCHANSKY	FID	SSAIX	S	457	8.08	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	251	ST	SS	5,000	27.11	n/a	n/a	150.00	3.0
f JASON ERIC COHEN	FID	SWN	B	90	33.70	n/a	13-Dec	0.00	0.0
PATTEN & PATTEN	025	TEVA	S	200	42.04	n/a	14-Dec	10.00	5.0
B BUCK CAPITAL MGMT		TPX	B	20,000	51.22	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	TSO	B	200,000	21.73	n/a	n/a	6,000.00	3.0
COPIA CAPITAL	031	UAL	B	31,728	20.72	n/a	n/a	1,110.49	3.5
HARVEST MGMT	029	UA	S	6,000	72.40	n/a	26-Oct	240.00	4.0
COOKBIELER	028	UMPQ	S	91,000	12.28	n/a	n/a	3,640.00	4.0
f DAVID GEORGE BUCK	FID	WCG	S	1000	51.56	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	WRC	B	25,000	48.46	n/a	4-Nov	1,250.00	5.0
B BUCK CAPITAL MGMT		WRC	S	21,000	48.62	n/a	4-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	S	30,000	48.54	n/a	4-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		WYNN	C	20,000	104.84	n/a	13-Jun	non-brg 4.0
PATTEN & PATTEN	025	XLFX	S	2,900	12.63	n/a	n/a	145.00 5.0
TOTAL (Trade Date):							98,984.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/14	SENATOR INVESTMENT GROUP	036	HD	SS	318,744	39.01	n/a	8-Dec	9562.32 3.0
AO,CXL	12/14	SENATOR INVESTMENT GROUP	036	HD	SS	318,744	39.01	n/a	8-Dec	9562.32 3.0
AO,CRT	12/14	PERRY PARTNERS	085	YHOO	B	50,000	15.00	n/a	n/a	1500.00 3.0
AO,CXL	12/14	PERRY PARTNERS	085	YHOO	B	50,000	15.00	n/a	n/a	2500.00 5.0
TOTAL (AO, CXL, CRT) :										-1,000.00

TOTAL (Trade Date) :	98,984.98
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS :	97,984.98
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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-Dec.
NONE

MRI Securities without Trade Activity on 15-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)