



Daily Compliance Activity Report

Trade Date: 02/06/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EDGEWOOD	085	AAPL	B	815	464.18	n/a	n/a	40.75	5.0
COLUMBIA PARTNERS	028	ACE	B	16,853	73.05	n/a	n/a	674.12	4.0
COLUMBIA PARTNERS	028	AFL	S	22,548	49.58	n/a	n/a	901.92	4.0
EDGEWOOD	085	AGN	B	2,697	86.33	n/a	6-Feb	134.85	5.0
COLUMBIA PARTNERS	028	AGO	S	49,825	16.37	n/a	n/a	1,993.00	4.0
EDGEWOOD	085	AMT	B	5,615	63.24	n/a	n/a	280.75	5.0
EDGEWOOD	085	AMZN	B	2,244	184.25	n/a	n/a	112.20	5.0
f JOHN MICHAEL ZOLIDIS	FID	AMZN	S	75	185.28	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	ANF	S	2,970	44.06	n/a	3-Feb	118.80	4.0
f JOHN MICHAEL ZOLIDIS	FID	APP	B	9000	0.79	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ARCO	SS	20,000	22.93	n/a	6-Feb	1,000.00	5.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	2000	23.66	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	2000	23.68	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	4000	23.77	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	BIG	S	25,000	43.31	n/a	2-Feb	1,250.00	5.0
B BUCK CAPITAL MGMT		BWLD	C	10,000	69.04	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARKWEST	084	CAP	S	8,302	18.85	n/a	n/a	332.08	4.0
EDGEWOOD	085	CELG	B	7,614	73.75	n/a	n/a	380.70	5.0
f KATHERINE L O'GORMAN	FID	CHD	B	300	45.17	n/a	11-Jan	0.00	0.0
STRONG/MARK GRONET	030	CIM	S	100,000	3.13	n/a	n/a	3,000.00	3.0
EDGEWOOD	085	CME	B	1,959	272.76	n/a	28-Apr	97.95	5.0
EDGEWOOD	085	COH	B	5,812	72.53	n/a	25-Jan	290.60	5.0
f JONATHAN RICHARD HAR	FID	CROX	S	150	20.30	n/a	n/a	0.00	0.0
EDGEWOOD	085	CTSH	B	7,250	72.49	n/a	n/a	362.50	5.0
KENNEDY CAPITAL	046	CVGI	S	16,608	12.92	n/a	n/a	664.32	4.0
EDGEWOOD	085	ECL	B	2,832	61.42	n/a	19-Jan	141.60	5.0
ETON PARK CAPITAL	041	EEM	C	173,000	43.35	n/a	n/a	5,190.00	3.0
TUDOR INVESTORS	028	EMR	S	20,000	53.77	n/a	n/a	600.00	3.0
f JOSEPH CIRO AMATURO	FID	EXC	B	1000	39.67	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FAZ	S	2000	26.33	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FAZ	S	4000	26.33	n/a	n/a	0.00	0.0
SMITH MGMT LLC	029	FINL	B	150,000	22.47	n/a	20-Jan	4,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	FLR	S	50,000	59.07	n/a	n/a	2,000.00	4.0
LATEFF MGMT	035	FL	S	5,875	27.19	n/a	9-Jan	613.75	11.1
ROARING BLUE LION MGMT	031	FL	S	10,375	27.10	n/a	9-Jan	415.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	B	550	15.05	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FRESX	B	83	30.11	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FRIFX	B	233	10.74	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FTR	B	10000	4.44	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO	B	65,000	63.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	B	65,000	63.30	n/a	n/a	non-brg	4.0
ETON PARK CAPITAL	041	GDX	S	377,000	55.97	n/a	n/a	15,080.00	4.0
CAERUS GLOBAL	041	GET	S	17,000	29.23	n/a	n/a	680.00	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	21.52	n/a	23-Jan	non-brg	4.0
MTB INV ADV	034	GLNG	S	17,175	41.20	n/a	n/a	858.75	5.0
B BUCK CAPITAL MGMT		GMCR	S	20,000	67.79	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	GM	S	15000	26.32	n/a	2-Feb	0.00	0.0
PHILADELPHIA FINANCIAL	033	GM	C	34,623	26.71	n/a	2-Feb	1,384.92	4.0
EDGEWOOD	085	GOOG	B	734	605.44	n/a	n/a	36.70	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		GPS	C	50,000	21.55	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	030	HPQ	S	100,000	28.81	n/a	n/a	4,000.00	4.0
SIMMONS VENTURES	041	HWD	B	5,000	12.10	n/a	n/a	200.00	4.0
EDGEWOOD	085	ILMN	B	6,245	52.02	n/a	n/a	312.25	5.0
BALYASNY ASSET MGMT	044	IP	SS	30,000	31.35	n/a	2-Feb	1,500.00	5.0
EDGEWOOD	085	ISRG	B	715	491.13	n/a	n/a	35.75	5.0
⌘ BUCK CAPITAL MGMT		JCP	SS	100,000	40.85	n/a	27-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	SS	20,000	41.26	n/a	27-Jan	non-brg	4.0
DENVER INST. ADV	046	JWN	S	250,000	49.83	n/a	3-Feb	10,000.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	B	40,000	48.85	n/a	3-Feb	non-brg	4.0
M&I FUNDS	047	KSS	B	16,913	48.79	n/a	3-Feb	676.52	4.0
NOMURA CAPITAL	029	LEA	S	825	45.56	n/a	3-Feb	24.75	3.0
⌘ BUCK CAPITAL MGMT		LIZ	S	50,000	9.68	n/a	7-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		LIZ	S	50,000	9.75	n/a	7-Oct	non-brg	3.0
DAVIDSON INV ADV	035	LL	S	9,300	22.53	n/a	n/a	372.00	4.0
⌘ BUCK CAPITAL MGMT		LTD	S	20,000	44.43	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LTD	S	50,000	44.22	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	MCY	S	13,542	43.42	n/a	n/a	541.68	4.0
f WILLIAM J GAULT	FID	MINI	S	1000	22.39	n/a	n/a	0.00	0.0
EDGEWOOD	085	MJN	B	3,451	74.95	n/a	n/a	172.55	5.0
TUDOR INVESTORS	028	MMM	B	5,000	87.60	n/a	26-Jan	150.00	3.0
ROYCE TRADING	031	MTX	B	7,700	67.46	n/a	n/a	385.00	5.0
VISIUM/BALY BOBBY	044	MT	C	10,000	21.24	n/a	n/a	500.00	5.0
BASIX	033	NAV	B	19,000	47.34	n/a	25-Jan	570.00	3.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	5.04	n/a	n/a	800.00	4.0
EDGEWOOD	085	NOV	B	5,045	81.93	n/a	n/a	252.25	5.0
EDGEWOOD	085	ORCL	B	13,381	28.87	n/a	n/a	669.05	5.0
B BUCK CAPITAL MGMT		PVH	B	10,000	78.43	n/a	23-Jan	non-brg	4.0
EDGEWOOD	085	PWR	B	13,079	22.22	n/a	n/a	653.95	5.0
NEW JERSEY DIV OF INV.	030	PWR	B	134,000	22.39	n/a	n/a	5,360.00	4.0
EDGEWOOD	085	PX	B	2,842	107.94	n/a	26-Jan	142.10	5.0
EDGEWOOD	085	QCOM	B	8,669	60.64	n/a	n/a	433.45	5.0
CATAPULT	040	RKT	SS	5,000	65.80	n/a	26-Jan	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SFER IM	S	25,000	17.65	n/a	n/a	non-brg	2.6
f JONATHAN RICHARD HAR	FID	SIMO	B	160	21.92	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SIMO	B	1500	22.09	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	SWY	S	72,810	21.72	n/a	n/a	2,912.40	4.0
B BUCK CAPITAL MGMT		SYU	C	30,000	29.49	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	THS	B	5,700	55.30	n/a	n/a	228.00	4.0
f CHRISTOPHER ROBERT C	FID	TIN	S	500	31.89	n/a	23-Jan	0.00	0.0
DAVIDSON INV ADV	035	TRLG	B	7,600	36.72	n/a	n/a	304.00	4.0
EDGEWOOD	085	TROW	B	6,466	59.27	n/a	n/a	323.30	5.0
f JOSEPH CIRO AMATURO	FID	TZA	S	2000	18.42	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TZA	S	9000	18.43	n/a	n/a	0.00	0.0
SCOPUS FUND	041	UA	B	26,308	80.86	n/a	27-Jan	1,052.32	4.0
CATAPULT	040	USG	SS	10,000	14.70	n/a	23-Jan	400.00	4.0
WEINTRAUB CAPITAL MGT.	269	VC	B	20,000	52.44	n/a	n/a	800.00	4.0
EDGEWOOD	085	VIAB	B	6,074	48.60	n/a	n/a	303.70	5.0
EDGEWOOD	085	V	B	4,974	107.51	n/a	5-Jan	248.70	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		WNC	S	25,000	9.11	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		WNC	S	75,000	9.13	n/a	n/a	non-brg	3.0
EDGEWOOD	085	YUM	B	5,169	63.53	n/a	6-Feb	258.45	5.0
TOTAL (Trade Date) :								77,917.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/03	KENNEDY CAPITAL	046	CVGI	S	61,860	12.95	n/a	n/a	2474.40 4.0
TOTAL (AO, CXL, CRT) :										2,474.40

TOTAL (Trade Date):										77,917.43
TOTAL (AO, CXL, CRT):										2,474.40
TOTAL (RUN DATE) / NFS:										80,391.83

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-Feb.
NONE

MRI Securities without Trade Activity on 6-Feb.
CMI, LAZ, GLW

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

<u>Legend:</u>
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)