



Daily Compliance Activity Report

Trade Date: 03/20/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	B	20,000	26.57	n/a	15-Feb	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	100,000	16.66	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	100,000	16.66	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	100,000	16.66	n/a	2-Dec	non-brg	4.0
TUDOR INVESTORS	028	ANR	S	5,000	16.56	n/a	n/a	150.00	3.0
BALYASNY ASSET MGMT	044	ASNA	S	10,000	44.42	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		BODY	B	10,000	26.15	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BODY	B	10,000	26.15	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BODY	B	20,000	26.10	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BODY	B	5,500	26.25	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BODY	B	5,500	26.25	n/a	n/a	non-brg	4.0
KAREN F LEDDY	FID	BONT	B	1581	8.50	n/a	n/a	0.00	0.0
JET CAPITAL/CHRIS	041	BP	S	50,000	46.18	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT		BWA	C	6,000	83.44	n/a	15-Feb	non-brg	4.0
SANDLER CAPITAL	028	CBE	B	130,000	63.49	n/a	25-Jan	6,500.00	5.0
TUDOR INVESTORS	028	CF	SS	2,000	185.49	n/a	n/a	60.00	3.0
JASON ERIC COHEN	FID	CRK	S	250	16.79	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CAP MGMT LLC	084	CVGI	B	14,000	11.71	n/a	n/a	700.00	5.0
MTB INV ADV	034	CVGI	S	14,350	11.71	n/a	n/a	466.38	0.0
CATAPULT	040	C	S	11,350	38.20	n/a	15-Mar	454.00	4.0
DELTEC ASSET MGMT.	040	C	S	43,400	38.24	n/a	15-Mar	2,170.00	5.0
f KAREN F LEDDY	FID	DECK	B	200	66.75	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	DRYS	S	4050	3.43	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	ESSX	B	6890	4.13	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIL	B	10,000	27.00	n/a	9-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		GM	C	20,000	24.85	n/a	2-Mar	non-brg	4.0
TALPION LLC	040	GPI	B	5,000	55.05	n/a	10-Feb	200.00	4.0
B BUCK CAPITAL MGMT		GWW	C	2,400	210.11	n/a	12-Mar	non-brg	4.0
f EDWARD W WHEELER	FID	HEK	B	15000	4.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JNY	B	37,500	11.56	n/a	9-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		JNY	B	37,500	11.56	n/a	9-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		JNY	B	85,000	11.56	n/a	9-Feb	non-brg	4.0
FIRST NY SEC/CHRIS	041	JNY	B	2,536	11.40	n/a	9-Feb	76.08	3.0
SIMMONS VENTURES	041	JNY	B	20,000	11.50	n/a	9-Feb	800.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	KSS	S	19,486	48.58	n/a	2-Mar	764.60	3.9

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f AMY O'BANNON	FID	LGND	B	50	18.04	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	LGND	B	170	18.04	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LL	S	25,000	24.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MGM	B	300,000	14.19	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MGM	B	300,000	14.19	n/a	13-Jun	non-brg	4.0
MOORE CAPITAL	041	MGM	SS	25,000	14.16	n/a	13-Jun	750.00	3.0
SUFFOLK CAPITAL MGMT	040	MS	B	250,000	20.56	n/a	14-Mar	10,000.00	4.0
f JONATHAN RICHARD HAR	FID	MTW	B	200	15.02	n/a	2-Feb	0.00	0.0
TUDOR INVESTORS	028	MTW	B	10,000	14.90	n/a	2-Feb	300.00	3.0
ROSEDALE CAPITAL	046	PBCT	S	20,000	13.54	n/a	28-Feb	800.00	4.0
MERRILL ASSET/BLACKROCK	297	PBI	S	29,500	18.05	n/a	n/a	1,180.00	4.0
f MITCHELL JAMES SPEIS	FID	PIN	B	200	18.93	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PLCE	S	10,000	51.70	n/a	7-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	S	30,000	51.08	n/a	7-Mar	non-brg	4.0
SCHOTTENFELD ASSOC	041	RGC	B	30,000	14.20	n/a	n/a	900.00	3.0
ß BUCK CAPITAL MGMT		SAH	B	40,000	17.90	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	SWK	B	5,000	78.80	n/a	n/a	150.00	3.0
ARMATURE CAPITAL	041	SWN	SS	30,800	34.07	n/a	1-Mar	1,232.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	SWY	SS	200,000	21.43	n/a	n/a	6,000.00	3.0
ROTHSCHILD ASSET	040	TBI	B	11,173	17.25	n/a	n/a	446.92	4.0
BALYASNY ASSET MGMT	044	TIF	SS	10,000	72.27	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		TIF	C	30,000	73.48	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	TJX	B	104,730	38.01	n/a	2-Mar	3,141.90	3.0
PILOT ADV	041	TRV	B	39,900	59.38	n/a	n/a	1,197.00	3.0
BALYASNY ASSET MGMT	044	URBN	B	25,000	28.35	n/a	n/a	1,250.00	5.0
EDOMA PARTNERS LLP	046	VALE	S	179,950	22.87	n/a	n/a	6,174.43	0.0
f JONATHAN RICHARD HAR	FID	VRA	B	40	30.70	n/a	n/a	0.00	0.0
f JOHN M HICKEY	FID	VVTV	B	3000	2.28	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								48,363.31	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/19	COLUMBUS CIRCLE	036	ZOLL	S	5,300	92.75	n/a	n/a	212.00 4.0
TOTAL (AO, CXL, CRT) :										212.00

TOTAL (Trade Date):	48,363.31
TOTAL (AO, CXL, CRT):	212.00

TOTAL (RUN DATE) / NFS:	48,575.31
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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 20-Mar.
NONE

MRI Securities without Trade Activity on 20-Mar.
ETN, EL

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)