



# Daily Compliance Activity Report

Trade Date: 02/21/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	ARII	S	1,400	31.37	n/a	n/a	56.00	4.0
BROADARCH CAP/OLD NEWC	070	ASML	S	1,000	46.71	n/a	n/a	40.00	4.0
FORTRESS INVESTMENT (US)	036	ATI	SS	10,000	45.44	n/a	27-Jan	200.00	2.0
BROADARCH CAP/OLD NEWC	070	BAC	S	2,000	8.12	n/a	16-Feb	80.00	4.0
CATAPULT	040	BAS	B	25,000	19.96	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>S</b>	<b>20,000</b>	<b>59.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>S</b>	<b>20,000</b>	<b>59.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	BHI	S	2,000	50.85	n/a	n/a	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>S</b>	<b>30,000</b>	<b>27.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	BYI	S	2,500	45.15	n/a	n/a	100.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CAKE</b>	<b>B</b>	<b>50,000</b>	<b>32.16</b>	<b>n/a</b>	<b>15-Feb</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	CAT	S	2,000	114.94	n/a	27-Jan	80.00	4.0
IVORY CAPITAL	034	CIEN	B	100,000	15.85	n/a	n/a	5,000.00	5.0
BROADARCH CAP/OLD NEWC	070	CI	B	2,500	45.66	n/a	n/a	100.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>CRK</b>	<b>B</b>	<b>10</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	CSL	S	5,000	50.30	n/a	n/a	200.00	4.0
<b>f</b> JOEL GIFFORD TISS	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>5000</b>	<b>13.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>750</b>	<b>12.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAMBIAR CAP	046	DBD	S	29,786	38.73	n/a	14-Feb	1,191.44	4.0
BROADARCH CAP/OLD NEWC	070	DELL	B	1,000	18.13	n/a	n/a	40.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>DG</b>	<b>B</b>	<b>50,000</b>	<b>42.51</b>	<b>n/a</b>	<b>27-Jan</b>	<b>non-brg</b>	<b>4.0</b>
FORTRESS INVESTMENT (US)	036	DOV	SS	1,000	66.42	n/a	n/a	20.00	2.0
BALYASNY ASSET MGMT	044	EAT	B	25,000	28.23	n/a	25-Jan	1,250.00	5.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>ESRX</b>	<b>B</b>	<b>100</b>	<b>51.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ETH</b>	<b>SS</b>	<b>30,000</b>	<b>25.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
FORTRESS INVESTMENT (US)	036	EXPD	SS	15,000	44.03	n/a	n/a	300.00	2.0
<b>B</b> BUCK CAPITAL MGMT		<b>EXPR</b>	<b>S</b>	<b>10,000</b>	<b>22.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARSENAL ASSET MANAGEMENT	028	FMC	B	9,622	98.55	n/a	8-Dec	384.88	4.0
BROADARCH CAP/OLD NEWC	070	FMC	S	3,500	98.23	n/a	8-Dec	140.00	4.0
<b>f</b> REUBEN D DVORETSKY	<b>FID</b>	<b>FRO</b>	<b>B</b>	<b>380</b>	<b>5.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	GDI	S	1,000	72.62	n/a	n/a	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>GIII</b>	<b>S</b>	<b>15,000</b>	<b>26.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>GIII</b>	<b>S</b>	<b>15,000</b>	<b>26.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
AVENUE CAPITAL MGMT	070	GM	S	100,000	27.17	n/a	17-Feb	4,000.00	4.0
MERRILL ASSET/BLACKROCK	297	HBHC	B	12,100	34.26	n/a	n/a	484.00	4.0
NEW JERSEY DIV OF INV.	030	HL	S	7,300	5.66	n/a	n/a	292.00	4.0
BALYASNY ASSET MGMT	044	HOG	S	10,000	46.17	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	IP	S	10,000	33.72	n/a	2-Feb	500.00	5.0
<b>f</b> GAVIN N CADWALLADER	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>100</b>	<b>35.23</b>	<b>n/a</b>	<b>13-Feb</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND/NICOLAS	033	JCI	B	6,593	35.18	n/a	13-Feb	263.72	4.0
BROADARCH CAP/OLD NEWC	070	JOY	S	1,000	89.78	n/a	25-Jan	40.00	4.0
<b>f</b> ALICE BEEBE LONGLEY	<b>FID</b>	<b>JRO</b>	<b>B</b>	<b>1500</b>	<b>11.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JWN</b>	<b>C</b>	<b>50,000</b>	<b>52.07</b>	<b>n/a</b>	<b>17-Feb</b>	<b>non-brg</b>	<b>4.0</b>
MTB INV ADV	034	KEX	B	6,375	67.17	n/a	n/a	318.75	5.0
MA CAPITAL MGMT/MELLON ADV	041	KSS	B	3,000	52.29	n/a	3-Feb	150.00	5.0
OZ MGMT	040	KSS	B	75,000	51.84	n/a	3-Feb	2,250.00	3.0
SANDLER O'NEILL ASSET	031	LAZ	S	25,000	30.03	n/a	16-Feb	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>LL</b>	<b>B</b>	<b>60,000</b>	<b>21.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	LOW	S	73,990	28.05	n/a	8-Feb	2,219.70	3.0
BROADARCH CAP/OLD NEWC	070	LOW	S	2,000	27.77	n/a	8-Feb	80.00	4.0
BROADARCH CAP/OLD NEWC	070	LRCX	B	1,000	40.80	n/a	n/a	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>45.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>45.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>B</b>	<b>20,000</b>	<b>53.56</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
FORTRESS INVESTMENT (US)	036	MMM	SS	20,000	87.63	n/a	10-Feb	400.00	2.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>MON</b>	<b>B</b>	<b>100</b>	<b>79.64</b>	<b>n/a</b>	<b>19-Jan</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	031	MTX	B	8,190	66.50	n/a	n/a	409.50	5.0
FORTRESS INVESTMENT (US)	036	MWV	SS	50,000	30.52	n/a	26-Jan	1,000.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>20,000</b>	<b>38.07</b>	<b>n/a</b>	<b>3-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>40,000</b>	<b>38.01</b>	<b>n/a</b>	<b>3-Feb</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NEW YORK LEDDY	035	NOK	S	30,000	5.60	n/a	n/a	1,200.00	4.0
MA CAPITAL MGMT/MELLON ADV041	NP		B	4,000	27.23	n/a	21-Feb	200.00	5.0
BROADARCH CAP/OLD NEWC	070	NSC	S	1,775	68.33	n/a	n/a	71.00	4.0
FORTRESS INVESTMENT (US)	036	NSC	SS	5,000	68.57	n/a	n/a	100.00	2.0
BROADARCH CAP/OLD NEWC	070	OC	S	2,000	31.66	n/a	n/a	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	OI	S	2,000	24.64	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	S	1,000	104.06	n/a	n/a	40.00	4.0
FORTRESS INVESTMENT (US)	036	PCAR	SS	20,000	46.19	n/a	1-Feb	400.00	2.0
<b>f GAVIN N CADWALLADER</b>	<b>FID</b>	<b>PCAR</b>	<b>S</b>	<b>50</b>	<b>46.28</b>	<b>n/a</b>	<b>1-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>PDLI</b>	<b>S</b>	<b>320</b>	<b>6.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	PENN	S	1,000	41.76	n/a	n/a	40.00	4.0
CAERUS GLOBAL	041	PG	B	10,000	64.48	n/a	16-Feb	400.00	4.0
BNP PARIBAS SEC	040	PKG	B	20,000	29.80	n/a	24-Jan	1,000.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	PKG	B	5,000	29.42	n/a	24-Jan	250.00	5.0
BROADARCH CAP/OLD NEWC	070	PNR	S	1,000	39.45	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	PPG	B	1,000	91.58	n/a	19-Jan	40.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>PSMT</b>	<b>S</b>	<b>10,000</b>	<b>69.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PSMT</b>	<b>S</b>	<b>3,200</b>	<b>68.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PSMT</b>	<b>S</b>	<b>6,800</b>	<b>69.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>RIG</b>	<b>B</b>	<b>45</b>	<b>49.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARSENAL ASSET MANAGEMENT	028	RKT	B	5,000	68.83	n/a	26-Jan	200.00	4.0
BMO NESBITT BURNS	041	RKT	S	15,000	68.11	n/a	26-Jan	750.00	5.0
BNP PARIBAS SEC	040	RKT	S	10,000	68.81	n/a	26-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	RL	B	10,000	173.42	n/a	9-Feb	500.00	5.0
CAERUS GLOBAL	041	SFLY	B	5,000	26.49	n/a	n/a	200.00	4.0
TUDOR INVESTORS	028	SHOO	SS	26,727	42.25	n/a	n/a	801.81	3.0
TUDOR INVESTORS	028	SHOO	S	23,273	42.23	n/a	n/a	698.19	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SLB</b>	<b>B</b>	<b>100</b>	<b>79.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f GAVIN N CADWALLADER</b>	<b>FID</b>	<b>SPR</b>	<b>S</b>	<b>100</b>	<b>23.85</b>	<b>n/a</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TEA</b>	<b>S</b>	<b>100</b>	<b>23.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	TECD	B	818	56.09	n/a	n/a	32.72	4.0
KLEINHEINZ CAP PART	031	TGT	B	50,000	52.97	n/a	8-Feb	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	TYC	S	7,500	51.30	n/a	2-Feb	300.00	4.0
FORTRESS INVESTMENT (US)	036	UAL	SS	13,000	21.35	n/a	n/a	260.00	2.0
IVORY CAPITAL	034	VIAB	S	5,200	48.50	n/a	n/a	260.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>WBC</b>	<b>S</b>	<b>200</b>	<b>61.07</b>	<b>n/a</b>	<b>17-Feb</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	WCC	B	2,000	65.68	n/a	n/a	80.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>WEFIX</b>	<b>S</b>	<b>2089</b>	<b>12.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	WFT	S	3,000	15.51	n/a	n/a	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	WMT	B	50,000	59.97	n/a	8-Feb	2,500.00	5.0
BALYASNY ASSET MGMT	044	WRC	C	10,000	58.74	n/a	3-Feb	500.00	5.0
⌘ BUCK CAPITAL MGMT		WRC	SS	5,000	58.62	n/a	3-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	SS	5,000	58.62	n/a	3-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WYNN	C	10,000	120.11	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WYNN	C	30,000	120.87	n/a	13-Jun	non-brg	4.0
FORTRESS INVESTMENT (US)	036	WY	S	26,000	20.75	n/a	3-Feb	520.00	2.0
FORTRESS INVESTMENT (US)	036	XLB	SS	80,000	37.63	n/a	n/a	1,600.00	2.0
FORTRESS INVESTMENT (US)	036	XLE	SS	60,000	75.45	n/a	n/a	1,200.00	2.0
FORTRESS INVESTMENT (US)	036	XLI	SS	24,000	37.40	n/a	n/a	480.00	2.0
<b>TOTAL (Trade Date):</b>								<b>42,443.71</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	02/17	LISTED ERR	097	RKT	B	2,000	68.78	n/a 26-Jan	0.00 0.0
TOTAL (AO, CXL, CRT) :									0.00

TOTAL (Trade Date):	42,443.71
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	42,443.71
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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 21-Feb.  
NONE

MRI Securities without Trade Activity on 21-Feb.  
NONE

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)