



Daily Compliance Activity Report

Trade Date: 04/11/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		1913 HK	S	100,000	6.25	n/a	n/a	non-brg	1.3
BUCK CAPITAL MGMT		1913 HK	S	100,000	6.25	n/a	n/a	non-brg	1.3
BUCK CAPITAL MGMT		1913 HK	S	291,895	6.25	n/a	n/a	non-brg	1.3
BUCK CAPITAL MGMT		ABG	B	20,000	27.14	n/a	3-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ABG	B	20,000	27.14	n/a	3-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ACAT	B	37,500	41.84	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ACAT	B	37,500	41.84	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ANF	B	20,000	47.89	n/a	16-Feb	non-brg	4.0
BUCK CAPITAL MGMT		ANN	B	30,000	27.65	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	AOL	B	62,000	24.11	n/a	n/a	1,860.00	3.0
VERITION	028	ARO	B	5,000	20.60	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT		ASNA	B	20,000	21.26	n/a	n/a	non-brg	2.5
NWQ INVESTMENT MGMT CO	084	AU	B	25,000	33.61	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	025	AXL	B	25,000	10.98	n/a	6-Feb	1,000.00	4.0
CASTLEROCK	040	BBY	B	52,537	21.77	n/a	n/a	2,101.48	4.0
PATTEN & PATTEN	025	BDX	S	100	76.65	n/a	n/a	5.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BHI	B	10,000	40.93	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BODY	B	10,000	26.41	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BODY	B	10,000	26.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BONT	B	59,700	7.51	n/a	n/a	non-brg	3.0
PATTEN & PATTEN	025	BTU	B	300	28.08	n/a	n/a	15.00	5.0
ß BUCK CAPITAL MGMT		BYD	B	25,000	7.84	n/a	n/a	non-brg	3.0
NWQ INVESTMENT MGMT CO	084	CA	S	14,900	26.38	n/a	n/a	447.00	3.0
f JOEL GIFFORD TISS	FID	CVGI	B	10000	10.51	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	150	10.39	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	DAN	SS	50,000	14.13	n/a	22-Feb	2,500.00	5.0
MILLRACE FUND LP	028	DAN	SS	2,500	14.04	n/a	22-Feb	100.00	4.0
CONIFER/ISF	025	DELL	B	7,500	16.29	n/a	n/a	300.00	4.0
NWQ INVESTMENT MGMT CO	084	DEL	B	3,690	59.96	n/a	n/a	147.60	4.0
SCOPUS FUND	041	DG	B	15,000	45.84	n/a	23-Mar	600.00	4.0
ARSENAL ASSET MANAGEMENT	028	DOW	SS	60,000	32.14	n/a	21-Mar	2,400.00	4.0
f JASON ERIC COHEN	FID	ESSX	B	500	3.07	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	ESSX	B	5000	3.05	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		ESV	B	10,000	52.30	n/a	n/a	non-brg 4.0
KAREN F LEDDY	FID	FCH	S	4300	4.04	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		FDO	B	20,000	63.43	n/a	3-Apr	non-brg 4.0
BUCK CAPITAL MGMT		FDO	B	20,000	63.43	n/a	3-Apr	non-brg 4.0
BRONSON POINT	036	FDX	S	25,000	87.98	n/a	n/a	750.00 3.0
KAREN F LEDDY	FID	FIG	S	4000	3.66	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		FINL	B	10,000	21.08	n/a	2-Apr	non-brg 4.0
BUCK CAPITAL MGMT		FITB	S	50,000	14.01	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		FL	B	10,000	30.29	n/a	7-Mar	non-brg 4.0
REUBEN D DVORETSKY	FID	FTR	S	828	4.15	n/a	n/a	0.00 0.0
LEVIN CAPITAL STRATEGIES	041	F	C	15,000	11.96	n/a	4-Apr	450.00 3.0
BUCK CAPITAL MGMT		GCO	B	20,000	70.65	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		GCO	B	20,000	70.65	n/a	n/a	non-brg 4.0
PATTEN & PATTEN	025	GE	B	300	19.08	n/a	n/a	15.00 5.0
PATTEN & PATTEN	025	GLW	S	54,900	13.49	n/a	11-Apr	2,745.00 5.0
BUCK CAPITAL MGMT		GMCR	B	20,000	43.24	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEVENNY CAP LLC	044	GM	SS	10,000	24.04	n/a	4-Apr	300.00	3.0
PZENA INV ADV	044	GOOG	B	425	634.40	n/a	n/a	14.88	3.5
WILLIAMS TRADING/FOX POINT	025	GT	SS	125,000	10.64	n/a	n/a	5,000.00	4.0
B BUCK CAPITAL MGMT		HAL	B	20,000	32.63	n/a	n/a	non-brg	4.0
BASIX	033	HSC	B	19,000	21.66	n/a	11-Apr	570.00	3.0
NEWLAND CAPITAL MGT	025	HTZ	B	25,000	14.39	n/a	n/a	1,000.00	4.0
f KAREN F LEDDY	FID	ICON	S	500	16.79	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IXN	B	700	69.45	n/a	n/a	35.00	5.0
B BUCK CAPITAL MGMT		JCP	C	20,000	34.98	n/a	27-Mar	non-brg	2.5
B BUCK CAPITAL MGMT		JCP	C	30,000	35.02	n/a	27-Mar	non-brg	4.0
TUDOR INVESTORS	028	JOY	B	3,000	73.69	n/a	13-Mar	90.00	3.0
B BUCK CAPITAL MGMT		KBH	B	50,000	8.25	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		LAD	B	20,000	25.43	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		LIZ	B	50,000	12.93	n/a	7-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		LIZ	B	50,000	12.93	n/a	7-Oct	non-brg	4.0
DEVENNY CAP LLC	044	LMT	SS	5,000	88.55	n/a	14-Feb	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	LOW	S	33,000	31.00	n/a	28-Feb	1,320.00	4.0
B BUCK CAPITAL MGMT		LPX	B	100,000	8.48	n/a	7-Feb	non-brg	3.0
B BUCK CAPITAL MGMT		LULU	B	10,000	73.05	n/a	10-Apr	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	LYB	SS	20,000	41.64	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	MCD	S	50,000	97.73	n/a	8-Mar	2,000.00	4.0
f WILLIAM J GAULT	FID	MINI	B	1000	19.28	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MPC	S	200	41.47	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	084	MSI	S	21,600	48.61	n/a	n/a	864.00	4.0
B BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	108.07	n/a	n/a	non-brg	8.6
f JONATHAN RICHARD HAR	FID	MTW	S	260	12.89	n/a	2-Feb	0.00	0.0
B BUCK CAPITAL MGMT		M	B	20,000	39.21	n/a	9-Apr	non-brg	4.0
SCOPUS FUND	041	M	SS	20,000	39.35	n/a	9-Apr	800.00	4.0
TUDOR INVESTORS	028	NAV	B	5,000	36.29	n/a	9-Mar	150.00	3.0
B BUCK CAPITAL MGMT		NKE	B	10,000	107.75	n/a	23-Mar	non-brg	4.0
PATTEN & PATTEN	025	NSC	B	900	66.62	n/a	n/a	45.00	5.0
PZENA INV ADV	044	ORCL	B	100,950	28.31	n/a	n/a	3,533.25	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	OXY	S	2,100	90.12	n/a	n/a	84.00	4.0
ß BUCK CAPITAL MGMT		PAG	B	20,000	25.53	n/a	3-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		PAG	B	40,000	25.53	n/a	3-Apr	non-brg	4.0
BAIRD INVESTMENT	047	PCAR	S	8,425	43.11	n/a	29-Mar	421.25	5.0
ß BUCK CAPITAL MGMT		PCAR	B	20,000	41.93	n/a	29-Mar	non-brg	4.0
f KAREN F LEDDY	FID	PCH	S	1000	29.78	n/a	31-Jan	0.00	0.0
PLATTE RIVER CAPITAL	240	PGR	S	136,300	22.48	n/a	n/a	5,452.00	4.0
PATTEN & PATTEN	025	PHO	S	3,500	18.38	n/a	n/a	175.00	5.0
ß BUCK CAPITAL MGMT		PII	B	10,000	69.57	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		PLCE	B	30,000	49.27	n/a	7-Mar	non-brg	4.0
ROYCE TRADING	031	PLCE	B	2,000	49.32	n/a	7-Mar	100.00	5.0
ß BUCK CAPITAL MGMT		PVH	B	20,000	88.73	n/a	29-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH	B	20,000	88.73	n/a	29-Mar	non-brg	4.0
f PATRICK O'GRADY	FID	REVV	B	10000	0.04	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RUSHA	B	6,200	19.47	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SAH	B	20,000	17.48	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	SBUX	B	100	59.04	n/a	9-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f REUBEN D DVORETSKY	FID	SDS	B	70	15.85	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SFER IM	S	30,000	19.58	n/a	n/a	non-brg	2.9
ß BUCK CAPITAL MGMT		SFER IM	S	30,000	19.58	n/a	n/a	non-brg	2.9
MOORE CAPITAL	041	SHOO	S	7,500	42.26	n/a	n/a	225.00	3.0
ARSENAL ASSET MANAGEMENT	028	SHW	S	5,000	113.92	n/a	9-Apr	200.00	4.0
ß BUCK CAPITAL MGMT		SIG	B	20,000	46.14	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	20,000	46.14	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SLB	B	10,000	68.41	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	SLE	S	10,000	21.27	n/a	n/a	400.00	4.0
NWQ INVESTMENT MGMT CO	084	SNY	S	6,800	36.50	n/a	n/a	272.00	4.0
ß BUCK CAPITAL MGMT		SWN	B	20,000	29.49	n/a	11-Apr	non-brg	4.0
NEW JERSEY DIV OF INV.	030	SWY	S	165,000	19.98	n/a	n/a	6,600.00	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	2.76	n/a	n/a	800.00	4.0
f JONATHAN RICHARD HAR	FID	TEX	S	455	21.92	n/a	16-Feb	0.00	0.0
BNP PARIBAS SEC	040	TGT	S	40,600	57.06	n/a	9-Apr	2,030.00	5.0
NEWLAND CAPITAL MGT	025	TRN	S	5,200	30.91	n/a	n/a	208.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TXN	S	2,000	31.98	n/a	n/a	100.00	5.0
BRONSON POINT	036	UTX	SS	50,000	79.58	n/a	n/a	1,500.00	3.0
BAIRD INVESTMENT	047	WBC	S	9,900	56.97	n/a	5-Apr	495.00	5.0
f EDWARD W WHEELER	FID	WCRX	B	10000	15.72	n/a	9-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		WRC	B	10,000	54.47	n/a	23-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		WY	B	20,000	20.49	n/a	3-Feb	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	XRX	S	10,000	7.76	n/a	n/a	400.00	4.0
BRONSON POINT	036	X	B	20,000	27.30	n/a	n/a	600.00	3.0
NEW JERSEY DIV OF INV.	030	YUM	S	30,000	68.96	n/a	8-Feb	1,200.00	4.0
TOTAL (Trade Date) :								54,520.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	04/10	COLUMBUS CIRCLE	036	CREE	B	142	29.50	n/a	n/a	1.07	0.8
AO,CRT	04/10	SIMMONS VENTURES	041	JNY	B	5,000	11.73	n/a	9-Feb	200.00	4.0
AO,CXL	04/10	SIMMONS VENTURES	041	JNY	B	5,000	11.73	n/a	9-Feb	250.00	5.0
AO,CRT	04/10	NEWLAND CAPITAL MGT	025	MWA	B	25,000	3.19	n/a	n/a	500.00	2.0
AO,CXL	04/10	NEWLAND CAPITAL MGT	025	MWA	B	25,000	3.19	n/a	n/a	750.00	3.0
AO,CXL	04/10	GEORGE WEISS	034	ROST	S	63,984	57.90	n/a	9-Apr	1919.52	3.0
AO,CRT	04/10	GEORGE WEISS	034	ROST	S	63,984	57.90	n/a	9-Apr	1919.52	3.0
TOTAL (AO, CXL, CRT) :										-298.93	

TOTAL (Trade Date):	54,520.46
TOTAL (AO, CXL, CRT):	-298.93

TOTAL (RUN DATE) / NFS:	54,221.53
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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 11-Apr.
NONE

MRI Securities without Trade Activity on 11-Apr.
KO

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)