



Daily Compliance Activity Report

Trade Date: 05/21/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLRACE FUND LP	028	ABG	B	2,000	25.98	n/a	27-Apr	80.00	4.0
B BUCK CAPITAL MGMT		AEO	B	20,000	20.09	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	B	20,000	26.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	50,000	18.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	50,000	18.34	n/a	n/a	non-brg	4.0
KAM ADVISORS LLC	041	AXL	B	117,000	9.04	n/a	30-Apr	3,510.00	3.0
CATAPULT	040	BC	SS	22,150	21.45	n/a	n/a	886.00	4.0
f KAREN F LEDDY	FID	BEE	S	1400	6.04	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	BONT	B	2,400	3.79	n/a	n/a	72.00	3.0
STATE TEACHERS RET SYS	047	BRE	S	5,000	49.67	n/a	n/a	250.00	5.0
CAERUS GLOBAL	041	CBRL	B	3,550	57.69	n/a	n/a	142.00	4.0
BASSWOOD PARTNERS	267	CIT	B	5,600	34.63	n/a	7-May	224.00	4.0
BASSWOOD PARTNERS	267	COF	B	19,000	50.00	n/a	17-May	760.00	4.0
SENATOR INVESTMENT GROUP	036	COG	B	100,000	35.79	n/a	9-May	3,000.00	3.0
B BUCK CAPITAL MGMT		COH	B	20,000	67.47	n/a	9-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	CROX	S	300	16.40	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CVS	S	2000	44.76	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		C	B	20,000	26.01	n/a	18-May	non-brg	1.0
B BUCK CAPITAL MGMT		DDS	B	25,000	67.54	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	DECK	S	200	55.31	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	DELL	SS	135,000	14.67	n/a	n/a	4,050.00	3.0
HIGHBRIDGE CAP	041	EC	SS	4,500	58.22	n/a	n/a	135.00	3.0
f JOHN M HICKEY	FID	FB	B	700	33.65	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	FB	B	100	33.50	n/a	n/a	0.00	0.0
f ROHINI T SADARANGANI	FID	FB	B	200	33.92	n/a	n/a	0.00	0.0
KINGDON ASSET MGMT	041	FDX	B	75,000	85.90	n/a	n/a	3,000.00	4.0
ROSEDALE CAPITAL	046	FITB	B	20,000	13.32	n/a	n/a	800.00	4.0
STATE TEACHERS RET SYS	047	FPO	S	6,372	11.85	n/a	n/a	318.60	5.0
CAMBIAR CAP	046	GES	S	200,000	24.56	n/a	9-May	8,000.00	4.0
SIMMONS VENTURES	041	GES	B	5,000	24.75	n/a	9-May	200.00	4.0
Õ Michael Ehrlich		GFIG	B	100	2.64	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GFIG	B	400	2.64	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Michael Ehrlich		GFIG	B	500	2.64	n/a	n/a	0.00	0.0
	HIGHBRIDGE CAP	041	GWV	SS	1,327	188.01	n/a	19-Apr	39.81	3.0
f	GAJANTHAN BALAKANES	FID	HALO	B	60	8.05	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		HBI	B	20,000	25.39	n/a	20-Apr	non-brg	4.0
ß	BUCK CAPITAL MGMT		HBI	B	40,000	25.42	n/a	20-Apr	non-brg	4.0
	NEUBERGER BERMAN	036	HITT	B	10,200	50.06	n/a	n/a	408.00	4.0
	HIGHBRIDGE CAP	041	HP	B	13,066	44.79	n/a	n/a	391.98	3.0
	ARMATURE CAPITAL	041	IP	B	50,000	29.60	n/a	27-Apr	2,000.00	4.0
ß	BUCK CAPITAL MGMT		IR	B	12,200	40.90	n/a	11-May	non-brg	4.0
	HIGHBRIDGE CAP	041	ITB	SS	18,000	14.23	n/a	n/a	360.00	2.0
ß	BUCK CAPITAL MGMT		JNY	B	50,000	9.32	n/a	26-Apr	non-brg	3.0
	BASSWOOD PARTNERS	267	JPM	C	12,287	33.36	n/a	18-May	491.48	4.0
ß	BUCK CAPITAL MGMT		JPM	B	15,000	32.48	n/a	18-May	non-brg	1.0
Õ	Ravi Sadarangani		KELYA	S	100	12.90	n/a	n/a	0.00	0.0
Õ	Ravi Sadarangani		KELYA	S	100	12.94	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		KORS	B	40,000	40.66	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		LL	C	9,095	27.94	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	MIC	B	15,000	32.47	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		MSMSBCM	C	50,000	103.31	n/a	n/a	non-brg	8.3
B BUCK CAPITAL MGMT		MS	B	38,000	13.20	n/a	18-May	non-brg	4.0
f DAVID GEORGE BUCK	FID	MS	S	30	0.73	n/a	18-May	0.00	0.0
f JASON ERIC COHEN	FID	NFLX	B	50	69.06	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	NQJ	B	2000	14.99	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	NYV	B	5000	15.97	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	OAS	B	27,542	25.00	n/a	n/a	1,101.68	4.0
f MARGARET ANNE MCAULE	FID	ONNN	B	300	6.86	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	ORLY	S	6,000	93.49	n/a	n/a	180.00	3.0
CATAPULT	040	PII	B	7,500	74.65	n/a	n/a	300.00	4.0
BASSWOOD PARTNERS	267	PNC	C	36,900	62.52	n/a	n/a	1,476.00	4.0
MADISON ST PARTNERS LLC	046	PPG	B	10,000	99.08	n/a	21-May	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	PVH	S	10,100	75.98	n/a	9-May	303.00	3.0
SHEFFIELD ASSET MGMT	031	RKT	B	19,000	52.42	n/a	26-Apr	760.00	4.0
BASSWOOD PARTNERS	267	R	B	28,200	42.52	n/a	n/a	1,128.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYRUS CAPITAL	025	SAM	SS	7,500	105.92	n/a	n/a	225.00	3.0
HIGHBRIDGE CAP	041	SDRL	B	7,000	36.36	n/a	n/a	210.00	3.0
f MANNY I KORMAN	FID	SLMAP	B	1598	43.00	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SYNT	B	2,700	57.63	n/a	n/a	108.00	4.0
Õ Nilsa Vazquez		TBT	B	500	16.40	n/a	n/a	0.00	0.0
WEISS PECK – ROBECO INV		040 TBT	B	30,400	16.43		n/a	n/a	912.00 3.0
NEUBERGER BERMAN	036	TEA	S	43,281	16.57	n/a	n/a	1,731.24	4.0
DELTEC ASSET MGMT.	040	TEX	S	10,000	17.34	n/a	27-Apr	500.00	5.0
B BUCK CAPITAL MGMT		TJX	S	30,000	39.72	n/a	16-May	non-brg	4.0
CORNERSTONE	030	TJX	S	390,178	39.75	n/a	16-May	11,705.34	3.0
EPOCH INV MGMT	030	TJX	S	100,000	39.77	n/a	16-May	3,000.00	3.0
COLUMBUS CIRCLE	036	TNGO	B	327	20.22	n/a	n/a	13.08	4.0
HIGHBRIDGE CAP	041	TXT	B	38,000	23.33	n/a	n/a	1,140.00	3.0
B BUCK CAPITAL MGMT		ULTA	B	20,000	86.66	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		URBN	B	20,000	26.81	n/a	n/a	non-brg	1.0
SANDLER CAPITAL	028	WFM	B	125,000	83.70	n/a	n/a	6,250.00	5.0
CYRUS CAPITAL	025	WY	S	60,000	19.09	n/a	4-May	1,800.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
WEISS PECK - ROBECO INV		040	XLFX	B	12,400	13.79	n/a	n/a	372.00	3.0
f HARALAMBOS EFSTATHI	FID	ZNGA	S	1000	6.57	n/a	n/a	0.00	0.0	
CAERUS GLOBAL	041	ZUMZ	B	12,721	32.19	n/a	n/a	508.84	4.0	
TOTAL (Trade Date):								63,793.05		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/18	DECADE CAPITAL PARTNERS	044	JPM	B	29,800	33.63	n/a	18-May	1192.00 4.0
AO,CXL	05/18	DEVENNY CAP LLC/MILLENIU	044	JPM	B	29,800	33.63	n/a	18-May	1192.00 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	63,793.05
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	63,793.05
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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-May.
NONE

MRI Securities without Trade Activity on 21-May.
ETN

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)