



Daily Compliance Activity Report

Trade Date: 03/22/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	ALK	S	3,656	34.65	n/a	n/a	146.24	4.0
f DAVID GEORGE BUCK	FID	ANF	B	30	0.95	n/a	16-Feb	0.00	0.0
f DAVID GEORGE BUCK	FID	ANF	S	15	2.66	n/a	16-Feb	0.00	0.0
T. ROWE PRICE	033	APD	S	118,060	89.40	n/a	13-Feb	4,722.40	4.0
f KAREN F LEDDY	FID	ARCO	B	600	18.43	n/a	6-Mar	0.00	0.0
f THOMAS MACTAGGART LE	FID	ARCO	B	200	18.43	n/a	6-Mar	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	S	10,000	66.43	n/a	n/a	non-brg	4.0
f REUBEN D DVORETSKY	FID	BP	B	95	45.33	n/a	n/a	0.00	0.0
UBS OCONNOR	031	CAT	SS	8,000	106.87	n/a	27-Jan	240.00	3.0
CATAPULT	040	COF	S	1,050	54.67	n/a	21-Mar	42.00	4.0
SONTERRA CAP	041	CSX	B	10,000	20.92	n/a	n/a	400.00	4.0
NEWLAND CAPITAL MGT	025	CTAS	B	25,000	39.31	n/a	n/a	1,000.00	4.0
PRIMECAP MGMT	084	CVE	S	3,000	35.61	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		CZR	S	50,100	12.46	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	DG	B	10,000	46.36	n/a	16-Mar	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	DNR	B	161,065	18.08	n/a	n/a	8,053.25	5.0
BALLAST CAP	040	DPS	B	9,800	38.82	n/a	n/a	490.00	5.0
RBC CAPITAL MARKETS	040	DRI	B	1,800	51.49	n/a	27-Feb	72.00	4.0
ß BUCK CAPITAL MGMT		ET	B	287	19.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		ET	B	356	19.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		ET	B	357	19.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		ET	S	287	24.76	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		ET	S	356	24.76	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		ET	S	357	24.76	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		EXPR	S	106,650	25.51	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	EXP	B	50,000	35.42	n/a	n/a	2,500.00	5.0
1798 CAP/LOMBARD ASSET	040	FDO	C	25,000	57.26	n/a	16-Mar	1,250.00	5.0
RBC CAPITAL MARKETS	040	FDO	SS	10,000	57.27	n/a	16-Mar	400.00	4.0
KLEINHEINZ CAP PART	031	FL	S	200,000	31.02	n/a	7-Mar	10,000.00	5.0
f JILL ROSENBERG	FID	FNSXX	B	1032	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FNSXX	B	1057	1.00	n/a	n/a	0.00	0.0
CAPITAL RESEARCH GROUP		084 FTI	B	200,000	48.34		n/a	n/a	7,000.00 3.5
MOORE CAPITAL	041	FXI	SS	50,000	36.76	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	FX	S	6,141	14.50	n/a	n/a	245.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GIII	B	13,562	27.62	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	2,931	27.92	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	S	2,931	28.73	n/a	n/a	non-brg	1.0
SIMMONS VENTURES	041	JNY	B	804	11.15	n/a	9-Feb	32.16	4.0
f EDWARD W WHEELER	FID	KEM	B	10000	9.13	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LEA	S	11,000	46.12	n/a	3-Feb	non-brg	4.0
f REUBEN D DVORETSKY	FID	LQD	S	35	114.63	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LULU	C	10,000	74.05	n/a	17-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		LULU	C	10,000	74.05	n/a	17-Feb	non-brg	4.0
VERITION	028	LVS	S	35,000	57.80	n/a	13-Jun	1,050.00	3.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,157,516	111.14	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,755,418	111.14	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,157,516	111.14	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,755,418	111.14	n/a	n/a	non-brg	0.0
f JONATHAN RICHARD HAR	FID	MTW	B	100	14.25	n/a	2-Feb	0.00	0.0
SIMMONS VENTURES	041	M	B	5,000	39.85	n/a	2-Mar	200.00	4.0
MTB INV ADV	034	NAV	S	29,450	41.04	n/a	9-Mar	957.13	3.3
f JONATHAN RICHARD HAR	FID	NFLX	S	15	122.46	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	NVDA	S	10,000	14.47	n/a	n/a	400.00	4.0
THOMAS WEISEL ASSET MGMT	035	OCZ	S	85,016	7.47	n/a	n/a	2,550.48	3.0
⚡ BUCK CAPITAL MGMT		PAG	B	10,000	24.16	n/a	16-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PAG	B	10,000	24.50	n/a	16-Feb	non-brg	0.8
UBS OCONNOR	031	PCAR	B	20,000	46.16	n/a	1-Feb	600.00	3.0
⚡ BUCK CAPITAL MGMT		PLCE	S	25,000	50.90	n/a	7-Mar	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PLCE	S	25,000	51.59	n/a	7-Mar	non-brg	2.5
ACK ASSET	028	PNK	S	24,085	10.47	n/a	n/a	722.55	3.0
LANE GATE PARTNERS LLC	030	RGC	B	10,000	14.03	n/a	n/a	300.00	3.0
ARMATURE CAPITAL	041	RKT	SS	25,000	67.36	n/a	19-Mar	1,000.00	4.0
f THOMAS MACTAGGART LE	FID	RRR	S	400	22.19	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	SFY	B	29,235	28.21	n/a	n/a	1,169.40	4.0
BALLAST CAP	040	TAP	B	10,000	43.26	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	URBN	B	15,000	28.40	n/a	n/a	600.00	4.0
TUDOR INVESTORS	028	URI	B	2,000	41.52	n/a	n/a	60.00	3.0
⚡ BUCK CAPITAL MGMT		VNTV	B	4,307	17.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		VNTV	B	5,346	17.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		VNTV	B	5,347	17.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		VNTV	S	4,307	19.00	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		VNTV	S	5,346	19.00	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		VNTV	S	5,347	19.00	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	WNC	B	200	9.64	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	WNC	B	1500	9.54	n/a	n/a	0.00	0.0
f THOMAS MACTAGGART LE	FID	WNC	B	350	9.55	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	WRC	S	28,050	57.84	n/a	29-Feb	841.50	3.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	21.79	n/a	3-Feb	1,250.00	5.0
TOTAL (Trade Date):								50,814.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									50,814.75
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									50,814.75

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 22-Mar.
NONE

MRI Securities without Trade Activity on 22-Mar.
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)