

## **Daily Compliance Activity Report** Trade Date: 01/11/2012

**Potential ANALYST TRADE Violations: 0** Watch List ACTIVITY ALERT: 0

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	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	TUDOR INVESTORS	028	AAWW	В	14,000	41.47	n/a	n/a	420.00	3.0
	PATTEN & PATTEN	025	AA	В	5,000	9.60	n/a	n/a	250.00	5.0
	VISIUM/BALY BOBBY	044	AA	В	20,000	9.66	n/a	n/a	800.00	4.0
	PATTEN & PATTEN	025	ABT	S	100	55.40	n/a	n/a	5.00	5.0
ß	BUCK CAPITAL MGMT		AEO	s	100,000	13.05	n/a	2-Dec	non-brg	4.0
ß	BUCK CAPITAL MGMT		AEO	S	100,000	13.05	n/a	2-Dec	non-brg	4.0
ß	BUCK CAPITAL MGMT		AEO	S	100,000	13.05	n/a	2-Dec	non-brg	4.0
ß	BUCK CAPITAL MGMT		AEO	S	70,000	13.05	n/a	2-Dec	non-brg	4.0
	PATTEN & PATTEN	025	AMLP	В	1,000	16.54	n/a	n/a	50.00	5.0
ß	BUCK CAPITAL MGMT		ANN	s	100,000	22.95	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		ANN	S	100,000	22.95	n/a	n/a	non-brg	4.0
	PATTEN & PATTEN	025	APA	В	200	96.87	n/a	6-Jan	10.00	5.0
	PATTEN & PATTEN	025	APC	В	200	79.60	n/a	6-Jan	10.00	5.0
	PATTEN & PATTEN	025	APD	S	60	87.00	n/a	21-Oct	3.00	5.0
	SIMMONS VENTURES	041	ARO	В	5,000	16.26	n/a	n/a	200.00	4.0
	BALYASNY ASSET MGMT	044	ASNA	S	20,000	33.49	n/a	n/a	1,000.00	5.0
	COLUMBUS CIRCLE	036	BBG	S	11,562	32.24	n/a	n/a	462.48	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
f	WILLIAM J GAULT	FID	BGZ	S	1000	27.16	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	BP	S	100	43.71	n/a	n/a	5.00	5.0
ß	BUCK CAPITAL MGMT		CMN	s	1,600	29.47	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		CMN	S	100	29.47	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		CMN	S	100	29.47	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		CMN	S	200	29.47	n/a	n/a	non-brg	2.5
	KAYNE ANDERSON ADV	084	CNS	В	9,000	30.43	n/a	n/a	360.00	4.0
f	MARC PAUL LUCHANSKY	FID	COG	В	10	69.51	n/a	6-Jan	0.00	0.0
	MTB INV ADV	034	CPHD	В	5,175	35.85	n/a	n/a	258.75	5.0
ß	BUCK CAPITAL MGMT		CROX	В	25,000	17.50	n/a	n/a	non-brg	2.5
	GLOBAL 56 LLC	060	CROX	S	2,000	17.37	n/a	n/a	100.00	5.0
f	HARALAMBOS EFSTATHI	FID	CROX	S	600	17.59	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	CROX	s	300	17.52	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	CSX	В	1,000	23.46	n/a	n/a	50.00	5.0
f	MICHAEL C PERILLO	FID	CWTR	В	2000	0.90	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	DBA	В	600	29.28	n/a	n/a	30.00	5.0
	PATTEN & PATTEN	025	DD	S	100	47.13	n/a	6-Jan	5.00	5.0
ß	BUCK CAPITAL MGMT		DECK	SS	50,000	88.43	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
f	JONATHAN RICHARD HAR	FID	DECK	В	50	88.51	n/a	n/a	0.00	0.0
	ARSENAL ASSET MANAGEMENT	028	DHR	SS	10,000	49.71	n/a	n/a	400.00	4.0
ß	BUCK CAPITAL MGMT		DKS	В	20,000	36.25	n/a	4-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		DKS	В	30,000	36.25	n/a	4-Jan	non-brg	4.0
	MOORE CAPITAL	041	DKS	В	5,000	36.15	n/a	4-Jan	150.00	3.0
f	DAEIL CHA	FID	DNKN	S	10	25.61	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	EMR	S	100	48.13	n/a	n/a	5.00	5.0
	TUDOR INVESTORS	028	EMR	В	10,000	47.88	n/a	n/a	300.00	3.0
	PATTEN & PATTEN	025	EWZ	В	200	61.32	n/a	n/a	10.00	5.0
	PATTEN & PATTEN	025	FHN	В	6,000	8.67	n/a	n/a	300.00	5.0
	ROYCE TRADING	031	FINL	В	25,000	19.36	n/a	22-Dec	1,250.00	5.0
ß	BUCK CAPITAL MGMT		FOSL	SS	50,000	79.88	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		FOSL	SS	50,000	79.88	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		FOSL	S	50,060	79.93	n/a	n/a	non-brg	4.0
	PATTEN & PATTEN	025	FWS	В	3,000	3.34	n/a	n/a	150.00	5.0
	LANE GATE PARTNERS LLC	030	F	S	14,000	11.84	n/a	6-Jan	420.00	3.0
	MTB INV ADV	034	GBX	S	6 <b>,</b> 175	26.59	n/a	n/a	308.75	5.0
	ARSENAL ASSET MANAGEMENT	028	GDI	SS	5,000	83.57	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
PATTEN & PATTEN	025	GDX	В	400	54.29	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT		GES	SS	50,000	29.69	n/a	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		GES	SS	50,000	29.69	n/a	9-Jan	non-brg	4.0
PATTEN & PATTEN	025	GE	В	1,000	18.85	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	GE	S	300	18.68	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT		GIL	S	100,000	20.71	n/a	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	50,000	20.92	n/a	9-Jan	non-brg	4.0
1798 CAP/LOMBARD ASSET	0 4	0 GM	С	5,000	24.20	n/a	6-Jan	250.00	5.0
PERRY PARTNERS	085	GM	S	81,000	24.52	n/a	6-Jan	4,050.00	5.0
PATTEN & PATTEN	025	GOV	В	1,000	23.12	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	GOV	S	1,200	22.98	n/a	n/a	60.00	5.0
SANDLER O'NEILL ASSET	031	GS	S	5,000	100.00	n/a	6-Jan	250.00	5.0
MA CAPITAL MGMT/MELLON	ADV041	HBI	В	3,000	23.77	n/a	9-Jan	150.00	5.0
PATTEN & PATTEN	025	HDV	S	650	55.19	n/a	n/a	32.50	5.0
PATTEN & PATTEN	025	HD	S	150	43.36	n/a	8-Dec	7.50	5.0
PATTEN & PATTEN	025	HPQ	В	800	26.55	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	IAT	В	500	22.50	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	INTC	S	200	25.65	n/a	n/a	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BALYASNY ASSET MGMT	044	JCI	SS	10,000	34.05	n/a	4-Jan	500.00	5.0
LANE GATE PARTNERS LLC	030	JCI	В	4,500	34.40	n/a	4-Jan	135.00	3.0
TUDOR INVESTORS	028	JCI	В	10,000	34.36	n/a	4-Jan	300.00	3.0
PATTEN & PATTEN	025	JNJ	S	100	64.96	n/a	n/a	5.00	5.0
WADDELL AND REED	047	JNPR	S	471 <b>,</b> 900	21.41	n/a	n/a	14,157.00	3.0
PATTEN & PATTEN	025	JPM	S	150	35.83	n/a	6-Jan	7.50	5.0
BUCK CAPITAL MGMT		JWN	SS	50,000	48.92	n/a	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		JWN	SS	50,000	49.01	n/a	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		КВН	s	135,000	8.94	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		KMT	С	27,400	40.36	n/a	28-Oct	non-brg	2.5
BAIRD INVESTMENT	047	KO	В	18,610	67.93	n/a	9-Jan	930.50	5.0
PATTEN & PATTEN	025	KO	S	100	67.94	n/a	9-Jan	5.00	5.0
BUCK CAPITAL MGMT		LEA	В	12,200	41.27	n/a	6-Jan	non-brg	4.0
BUCK CAPITAL MGMT		LEN	S	10,000	20.77	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		LEN	S	10,000	22.29	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LEN	S	30,000	21.84	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LL	s	15,000	18.88	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LL	S	15,000	18.88	n/a	n/a	non-brg	4.0
CASTLEROCK	040	LMT	SS	13,264	80.91	n/a	5-Dec	530.56	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
f	IAN L MILLER	FID	LPX	s	125	8.67	n/a	7-Nov	0.00	0.0
ß	BUCK CAPITAL MGMT		LULU	SS	50,000	59.71	n/a	10-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		LULU	SS	50,000	59.88	n/a	10-Jan	non-brg	4.0
	PATTEN & PATTEN	025	MMM	S	60	83.40	n/a	3-Jan	3.00	5.0
	PATTEN & PATTEN	025	MSFT	S	300	27.55	n/a	n/a	15.00	5.0
ß	BUCK CAPITAL MGMT		MSMSBCM	C	2,105,694	96.79	n/a	n/a	non-brg	0.3
ß	BUCK CAPITAL MGMT		MSMSBCM	SS	2,105,694	96.79	n/a	n/a	non-brg	0.0
	ROYCE TRADING	031	MTX	В	3,500	60.56	n/a	n/a	175.00	5.0
f	IAN L MILLER	FID	MUB	В	10	110.30	n/a	n/a	0.00	0.0
	TUDOR INVESTORS	028	MWV	S	7,041	30.26	n/a	26-Oct	211.23	3.0
f	JOHN BARTMAN COLE	FID	NCS	S	500	10.99	n/a	n/a	0.00	0.0
	CASTLEROCK	040	NOC	SS	16,041	58.51	n/a	21-Nov	641.64	4.0
	PATTEN & PATTEN	025	NOK	В	2,000	5.32	n/a	n/a	100.00	5.0
	PATTEN & PATTEN	025	NVS	S	100	56.06	n/a	n/a	5.00	5.0
	WADDELL AND REED	047	ORCL	S	1,009,200	26.90	n/a	n/a	30,276.00	3.0
	CASTLEROCK	040	PAG	SS	41,000	19.84	n/a	3-Nov	1,640.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	KOHALA CAPITAL PARTNERS	035	РСН	В	7,080	31.98	n/a	6-Dec	283.20	4.0
	CAPITAL GROWTH MGMT.	241	PCLN	S	103,000	479.91	n/a	n/a	5,150.00	5.0
	PATTEN & PATTEN	025	PCL	S	300	38.00	n/a	25-Oct	15.00	5.0
	PATTEN & PATTEN	025	PEP	S	75	64.56	n/a	n/a	3.75	5.0
	PATTEN & PATTEN	025	PG	S	100	66.10	n/a	10-Jan	5.00	5.0
	SCOPUS FUND	041	PG	SS	118,400	65.63	n/a	10-Jan	4,736.00	4.0
ß	BUCK CAPITAL MGMT		PLCE	В	10,300	49.14	n/a	5-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		PLCE	В	50,000	50.29	n/a	5-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		PLCE	В	50,000	50.47	n/a	5-Jan	non-brg	4.0
	METROPOLITAN CAPITAL	044	PLCE	В	4,000	49.25	n/a	5-Jan	200.00	5.0
	ROYCE TRADING	031	PLT	В	500	36.06	n/a	n/a	25.00	5.0
	TUDOR INVESTORS	028	PNR	SS	5,000	36.41	n/a	n/a	150.00	3.0
	MTB INV ADV	034	QCOR	В	4,125	37.05	n/a	n/a	206.25	5.0
	RBC CAPITAL MARKETS	040	RCL	S	10,000	28.25	n/a	n/a	400.00	4.0
	DEVENNY CAP LLC	044	RKT	S	5,000	64.64	n/a	5-Jan	150.00	3.0
	PATTEN & PATTEN	025	RKT	В	400	64.78	n/a	5-Jan	20.00	5.0
ß	BUCK CAPITAL MGMT		RL	SS	10,000	144.77	n/a	9-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		RL	SS	10,000	144.77	n/a	9-Jan	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	SUN AMERICA ASSET MGMT	030	RL	S	10,277	144.04	n/a	9-Jan	411.08	4.0
	PATTEN & PATTEN	025	RSG	S	200	27.05	n/a	n/a	10.00	5.0
	TUDOR INVESTORS	028	RSG	В	10,000	27.31	n/a	n/a	300.00	3.0
f	IAN L MILLER	FID	RTN	В	25	48.86	n/a	21-Nov	0.00	0.0
f	GAVIN N CADWALLADER	FID	SBUX	В	45	46.74	n/a	6-Jan	0.00	0.0
ß	BUCK CAPITAL MGMT		SIG	В	100,000	44.93	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		SIG	В	15,000	44.93	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		SIG	В	50,000	44.93	n/a	n/a	non-brg	4.0
A	BUCK CAPITAL MGMT		SIG	В	50,000	44.93	n/a	n/a	non-brg	4.0
	MTB INV ADV	034	SLXP	В	2 <b>,</b> 075	48.13	n/a	9-Jan	103.75	5.0
f	IAN L MILLER	FID	SPY	В	10	129.08	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		SUMR	В	50,000	5.34	n/a	n/a	non-brg	2.5
f	ANGELOS EFSTATHIOU	FID	SWN	В	200	29.93	n/a	6-Jan	0.00	0.0
ß	BUCK CAPITAL MGMT		SWN	В	17,000	30.38	n/a	6-Jan	non-brg	4.0
f	HARALAMBOS EFSTATHI	FID	SWN	В	500	29.87	n/a	6-Jan	0.00	0.0
f	WILLIAM J GAULT	FID	SWN	В	1000	29.91	n/a	6-Jan	0.00	0.0
	TUDOR INVESTORS	028	SXC	В	5,000	11.35	n/a	n/a	150.00	3.0
f	JONATHAN RICHARD HAR	FID	TEA	В	1200	16.39	n/a	n/a	0.00	0.0
f	MARK DEVEREAUX KAICH	FID	TIVO	s	200	10.10	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
ß ß	BUCK CAPITAL MGMT BUCK CAPITAL MGMT		URBN URBN	c c	100,000	24.47 24.47	n/a n/a	n/a n/a	non-brg	4.0 4.0
	PATTEN & PATTEN	025	UTX	S	70	75.94	n/a	n/a	3.50	5.0
	PATTEN & PATTEN	025	VZ	S	600	38.76	n/a	n/a	30.00	5.0
	PATTEN & PATTEN	025	WAG	В	600	34.08	n/a	n/a	30.00	5.0
	FARALLON CAP MGMT	040	WFC	S	140,000	29.51	n/a	6-Jan	5,600.00	4.0
	BRONSON POINT	036	WMT	В	50,000	59.35	n/a	16-Nov	1,500.00	3.0
	TUDOR INVESTORS	028	WM	SS	10,000	33.30	n/a	n/a	300.00	3.0
	TALPION LLC	040	XYL	S	1,100	26.25	n/a	n/a	44.00	4.0
	SIMMONS VENTURES	041	ZQK	В	25,000	3.93	n/a	10-May	750.00	3.0
	BALYASNY ASSET MGMT	044	ZUMZ	В	10,000	31.61	n/a	n/a	500.00	5.0
f	JOHN BARTMAN COLE	FID		В	800	8.67	n/a	n/a	0.00	0.0

TOTAL (Trade Date): 83,236.94

Туре	Date Account	RR # Symbol B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL	(AO, CXL, CRT):					0.00
TOTAL	(Trade Date):				83 2	36.94
	(AO, CXL, CRT):				03,2	0.00
TOTAL	(RUN DATE) / NFS:				83,2	36.94

## BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.

MRI Securities with Trade Activity on 11-Jan. NONE

MRI Securities without Trade Activity on 11-Jan.

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%

YTD = 0%

## Legend:

O: 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)