



Daily Compliance Activity Report

Trade Date: 04/09/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	B	20,000	26.94	n/a	3-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ACAT	S	15,000	41.52	n/a	n/a	non-brg	2.5
ADAGE CAPITAL MGMT	030	AEO	S	150,000	16.89	n/a	2-Dec	4,500.00	3.0
BUCK CAPITAL MGMT		AEO	S	100,000	16.88	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		ANF	B	40,000	48.89	n/a	16-Feb	non-brg	4.0
BUCK CAPITAL MGMT		ANN	B	200,000	28.11	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	APOL	S	30,125	36.04	n/a	n/a	1,054.38	3.5
BUCK CAPITAL MGMT		ARO	S	100,000	21.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	200,000	21.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BAC	B	56,000	8.93	n/a	4-Apr	non-brg	3.0
PATTEN & PATTEN	025	BAC	B	15,000	9.00	n/a	4-Apr	750.00	5.0
MERRILL ASSET/BLACKROCK	297	BAM	S	21,200	31.00	n/a	n/a	848.00	4.0
BUCK CAPITAL MGMT		BBBY	S	10,000	71.36	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	S	32,692	71.51	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	BBBY	S	15,720	71.68	n/a	n/a	786.00	5.0
IRIDIAN ASSET MGMT.	036	BHI	S	9,570	40.50	n/a	n/a	478.50	5.0
NWQ INVESTMENT MGMT CO	084	BHI	B	3,800	40.67	n/a	n/a	146.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	BP	S	450	42.78	n/a	n/a	22.50	5.0
PATTEN & PATTEN	025	BTO	S	5,750	16.80	n/a	n/a	287.50	5.0
⌘ BUCK CAPITAL MGMT		BWA	C	7,000	81.86	n/a	15-Feb	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	CA	S	10,600	26.80	n/a	n/a	318.00	3.0
CAPITAL RESEARCH GROUP		296 CCL	B	200,000	31.05		n/a	n/a	7,000.00 3.5
⌘ BUCK CAPITAL MGMT		COH	S	20,000	74.58	n/a	2-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		COH	S	50,000	74.59	n/a	2-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CROX	S	50,000	20.16	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CROX	S	50,000	20.17	n/a	n/a	non-brg	4.0
SCOUT/UMB	047	CRR	S	13,821	99.48	n/a	1-Mar	414.63	3.0
PATTEN & PATTEN	025	CVX	S	20	103.45	n/a	n/a	1.00	5.0
⌘ BUCK CAPITAL MGMT		C	B	15,000	33.94	n/a	4-Apr	non-brg	4.0
PATTEN & PATTEN	025	DD	S	100	51.88	n/a	23-Mar	5.00	5.0
NWQ INVESTMENT MGMT CO	084	DEL	B	18,055	59.99	n/a	n/a	722.20	4.0
⌘ BUCK CAPITAL MGMT		DFS	S	2,800	32.75	n/a	9-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DHI	B	25,000	14.02	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
PATTEN & PATTEN	025	DKS	B	5,600	48.65	n/a	9-Apr	280.00 5.0
ß BUCK CAPITAL MGMT		DLTR	S	7,501	94.71	n/a	13-Mar	non-brg 4.0
ß BUCK CAPITAL MGMT		DLTR	S	7,501	94.71	n/a	13-Mar	non-brg 4.0
PATTEN & PATTEN	025	DOW	B	250	32.76	n/a	21-Mar	12.50 5.0
ß BUCK CAPITAL MGMT		DPZ	SS	50,000	35.49	n/a	20-Mar	non-brg 4.0
ß BUCK CAPITAL MGMT		DPZ	SS	50,000	35.49	n/a	20-Mar	non-brg 4.0
ß BUCK CAPITAL MGMT		DRI	SS	50,000	49.06	n/a	26-Mar	non-brg 4.0
ß BUCK CAPITAL MGMT		DRI	SS	50,000	49.06	n/a	26-Mar	non-brg 4.0
ß BUCK CAPITAL MGMT		EAT	SS	50,000	27.23	9-Apr	9-Apr	non-brg 4.0
ß BUCK CAPITAL MGMT		EAT	SS	50,000	27.23	9-Apr	9-Apr	non-brg 4.0
CATAPULT	040	EAT	B	13,300	27.17	9-Apr	9-Apr	532.00 4.0
JP MORGAN VENTURES	046	EAT	B	8,000	27.05	9-Apr	9-Apr	320.00 4.0
PATTEN & PATTEN	025	ESRX	B	1,450	56.10	n/a	n/a	72.50 5.0
PATTEN & PATTEN	025	EWG	S	56,950	21.86	n/a	n/a	2,847.50 5.0
PATTEN & PATTEN	025	EWZ	S	1,000	62.51	n/a	n/a	50.00 5.0
ß BUCK CAPITAL MGMT		FBHS	B	10,000	20.94	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		FDO	B	10,000	64.14	n/a	3-Apr	non-brg 4.0
ß BUCK CAPITAL MGMT		FDO	B	20,000	64.05	n/a	3-Apr	non-brg 4.0
ß BUCK CAPITAL MGMT		FDO	B	20,000	64.05	n/a	3-Apr	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	FDX	S	200	88.78	n/a	n/a	10.00	5.0
ß BUCK CAPITAL MGMT		FL	S	50,000	30.80	n/a	7-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	S	50,000	30.80	n/a	7-Mar	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	FOCPX	S	36	62.87	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	12,316	14.97	n/a	23-Feb	615.80	5.0
ß BUCK CAPITAL MGMT		GCO	B	10,000	71.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	B	5,000	72.69	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GCO	S	5,000	70.91	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	27.10	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	50,000	27.19	n/a	9-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		GM	C	21,000	24.25	n/a	4-Apr	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	GM	S	5,000	24.14	n/a	4-Apr	150.00	3.0
RAINIER INV MGMT	035	GPI	B	26,000	56.98	n/a	3-Apr	1,040.00	4.0
BRONSON POINT	036	GPN	B	25,000	44.87	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		GS	B	4,500	116.22	n/a	4-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		GWW	C	2,400	213.10	n/a	4-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	30,000	28.17	n/a	27-Mar	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT (JMP)	029	HD	B	30,000	50.65	n/a	21-Feb	1,200.00	4.0
NWQ INVESTMENT MGMT CO	084	HIG	S	6,500	20.39	n/a	n/a	195.00	3.0
⚡ BUCK CAPITAL MGMT		HLF	B	30,000	68.98	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HLF	S	10,000	68.57	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL	070	HOT	S	208,300	54.22	n/a	13-Jun	8,332.00	4.0
PATTEN & PATTEN	025	HYG	B	2,000	89.40	n/a	n/a	100.00	5.0
PATTEN & PATTEN	025	INTC	B	6,350	27.75	n/a	n/a	317.50	5.0
COLUMBUS CIRCLE	036	IPGP	S	1,100	48.94	n/a	n/a	44.00	4.0
PATTEN & PATTEN	025	ISRG	S	50	538.78	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	IYR	B	400	60.88	n/a	n/a	20.00	5.0
⚡ BUCK CAPITAL MGMT		JBHT	C	10,000	55.25	n/a	n/a	non-brg	4.0
MFP INVESTORS	085	JNS	B	44,118	8.26	n/a	n/a	1,764.72	4.0
SIMMONS VENTURES	041	JNY	B	5,000	12.00	n/a	9-Feb	200.00	4.0
⚡ BUCK CAPITAL MGMT		JPM	B	11,500	43.34	n/a	4-Apr	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	JPM	S	10,500	44.12	n/a	4-Apr	315.00	3.0
⚡ BUCK CAPITAL MGMT		KBH	B	50,000	8.21	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		KSS	S	90,000	49.65	n/a	30-Mar	non-brg 4.0
PARKWEST	084	KTOS	S	14,580	5.50	n/a	n/a	437.40 3.0
BUCK CAPITAL MGMT		LAD	S	60,000	26.03	n/a	n/a	non-brg 4.0
SANDLER O'NEILL ASSET	031	LAZ	SS	13,492	27.01	n/a	4-Apr	674.60 5.0
BUCK CAPITAL MGMT		LIZ	S	50,000	12.94	n/a	7-Oct	non-brg 4.0
BUCK CAPITAL MGMT		LIZ	S	50,000	12.94	n/a	7-Oct	non-brg 4.0
PATTEN & PATTEN	025	LQD	B	1,500	115.64	n/a	n/a	75.00 5.0
BUCK CAPITAL MGMT		LTD	S	44,383	47.50	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		LVS	S	20,000	58.98	n/a	13-Jun	non-brg 4.0
MOORE CAPITAL	041	MCD	C	10,500	99.05	n/a	8-Mar	315.00 3.0
AMBER CAPITAL	046	MET	B	100,000	35.75	n/a	n/a	4,000.00 4.0
NWQ INVESTMENT MGMT CO	084	MET	B	25,000	35.81	n/a	n/a	1,000.00 4.0
BUCK CAPITAL MGMT		MGM	S	50,000	13.41	n/a	13-Jun	non-brg 4.0
PATTEN & PATTEN	025	MRK	S	50	38.67	n/a	n/a	2.50 5.0
BUCK CAPITAL MGMT		MSMSBCM	SS	100,000	108.53	n/a	n/a	non-brg 8.7
BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	108.72	n/a	n/a	non-brg 8.7
BUCK CAPITAL MGMT		MS	B	28,000	17.94	n/a	4-Apr	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KATHERINE L O'GORMAN	FID	MWA	S	5000	3.32	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	MW	S	10,000	38.30	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		M	S	3,020	40.00	9-Apr	9-Apr	non-brg	4.0
KLEINHEINZ CAP PART	031	M	S	20,000	39.86	9-Apr	9-Apr	1,000.00	5.0
RBC CAPITAL MARKETS	040	M	B	10,000	40.03	9-Apr	9-Apr	400.00	4.0
SIMMONS VENTURES	041	M	B	5,000	39.80	9-Apr	9-Apr	200.00	4.0
PATTEN & PATTEN	025	NIO	B	14,500	14.70	n/a	n/a	725.00	5.0
B BUCK CAPITAL MGMT		PAG	B	40,000	25.85	n/a	3-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		PAG	B	40,000	25.85	n/a	3-Apr	non-brg	4.0
PATTEN & PATTEN	025	PAY	B	1,975	52.68	n/a	n/a	98.75	5.0
NWQ INVESTMENT MGMT CO	084	PFE	S	32,900	22.14	n/a	n/a	987.00	3.0
PATTEN & PATTEN	025	PFF	B	4,000	38.70	n/a	n/a	200.00	5.0
B BUCK CAPITAL MGMT		PII	B	20,000	71.25	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PNRA	S	20,000	160.75	n/a	8-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		PSS	S	100,000	18.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PSS	S	50,000	18.91	n/a	n/a	non-brg	4.0
DONALD SMITH	088	RSH	B	267,000	6.00	n/a	n/a	5,340.00	2.0
B BUCK CAPITAL MGMT		RYL	B	20,000	17.68	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	RYL	B	50,000	18.28	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		SAH	B	20,000	17.82	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	SCSC	B	800	35.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SCSS	B	40,000	33.74	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SHOO	S	20,000	42.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SHOO	S	20,000	42.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	10,000	47.10	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	10,000	47.18	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	11,000	46.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKUL	S	50,000	16.77	n/a	n/a	non-brg	2.5
PATTEN & PATTEN	025	SLB	B	1,000	67.68	n/a	n/a	50.00	5.0
SOROS	036	SLE	B	20,000	21.17	n/a	n/a	800.00	4.0
NWQ INVESTMENT MGMT CO	084	SNY	S	19,900	37.09	n/a	n/a	597.00	3.0
f JESSICA PERNO	FID	SVU	B	95	5.22	n/a	n/a	0.00	0.0
Õ Nilsa Vazquez		TBT	B	500	19.17	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TJX	S	30,000	40.03	9-Apr	9-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		TPX	S	20,000	84.44	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TRN	B	7,250	32.25	n/a	n/a	362.50	5.0
PATTEN & PATTEN	025	TSCO	S	25	92.30	n/a	n/a	1.25	5.0
B BUCK CAPITAL MGMT		TXRH	SS	30,000	16.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TXRH	SS	30,000	16.18	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	TYC	B	65,160	54.06	n/a	28-Mar	3,258.00	5.0
f ALEXANDRA ELISE ZOLI	FID	UA	S	150	94.40	n/a	27-Jan	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	UA	S	250	94.40	n/a	27-Jan	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	UA	S	75	94.37	n/a	27-Jan	0.00	0.0
RAINIER INV MGMT	035	VRSK	B	23,670	46.75	n/a	n/a	946.80	4.0
PATTEN & PATTEN	025	V	S	30	119.43	n/a	2-Apr	1.50	5.0
NWQ INVESTMENT MGMT CO	084	WFC	S	7,400	33.62	n/a	4-Apr	222.00	3.0
PATTEN & PATTEN	025	WFC	B	250	33.30	n/a	4-Apr	12.50	5.0
HARVEST MGMT (JMP)	029	WMT	SS	20,000	60.21	n/a	22-Feb	800.00	4.0
B BUCK CAPITAL MGMT		WNC	B	8,300	8.95	n/a	n/a	non-brg	3.0
DONALD SMITH	088	WPX	B	30,000	16.71	n/a	n/a	900.00	3.0
THOMAS WEISEL ASSET MGMT	035	WRC	B	5,304	56.53	n/a	23-Mar	159.12	3.0
PATTEN & PATTEN	025	XOP	S	350	54.24	n/a	n/a	17.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	041	YUM	S	14,250	70.07	n/a	8-Feb	427.50	3.0
ROTHSCHILD ASSET	040	ZOLL	S	22,750	92.87	n/a	n/a	910.00	4.0
THOMAS WEISEL ASSET MGMT	035	ZUMZ	B	8,391	35.33	n/a	n/a	251.73	3.0
TOTAL (Trade Date) :								64,177.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									64,177.38
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									64,177.38
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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 9-Apr.

EAT, M, TJX

MRI Securities without Trade Activity on 9-Apr.

TGT, ROST, SHW

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)