



# Daily Compliance Activity Report

Trade Date: 11/21/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>Õ May Tang</b>		<b>AAPL</b>	<b>B</b>	<b>65</b>	<b>367.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MOORE CAPITAL	041	AATI	S	45,900	4.24	n/a	n/a	1,377.00	3.0
OHIO PERS	047	ABX	S	28,780	47.73	n/a	n/a	863.40	3.0
PATTEN & PATTEN	025	AGG	B	500	109.70	n/a	n/a	25.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>ALV</b>	<b>S</b>	<b>200</b>	<b>49.59</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	AML	S	2,000	15.84	n/a	n/a	100.00	5.0
<b>Õ May Tang</b>		<b>AMZN</b>	<b>B</b>	<b>115</b>	<b>187.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	APC	S	400	75.12	n/a	16-Nov	20.00	5.0
SIMMONS VENTURES	041	ARO	B	5,000	15.76	n/a	4-Nov	200.00	4.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>ASPS</b>	<b>S</b>	<b>300</b>	<b>45.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER PATH	028	A	S	100,000	35.58	n/a	n/a	3,000.00	3.0
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>1000</b>	<b>5.58</b>	<b>n/a</b>	<b>16-Nov</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	BBT	B	200	22.16	n/a	n/a	40.00	20.0
<b>ß BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>B</b>	<b>9,700</b>	<b>52.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	BOKF	B	4,718	52.29	n/a	n/a	188.72	4.0
BRONSON POINT	036	CCE	B	10,000	25.33	n/a	n/a	300.00	3.0
BALLAST CAP	040	CDE	B	10,400	26.53	n/a	n/a	520.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CHRS</b>	<b>S</b>	<b>2000</b>	<b>3.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>C</b>	<b>100,000</b>	<b>11.46</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>C</b>	<b>50,000</b>	<b>11.50</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COF</b>	<b>B</b>	<b>12,200</b>	<b>40.70</b>	<b>n/a</b>	<b>15-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>59.64</b>	<b>n/a</b>	<b>26-Oct</b>	<b>300.00</b>	<b>3.0</b>
GALT INVESTMENT	041	CONN	B	10,000	10.35	n/a	n/a	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>COP</b>	<b>S</b>	<b>1000</b>	<b>68.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COST</b>	<b>B</b>	<b>40,000</b>	<b>81.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	CWB	S	500	36.61	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>B</b>	<b>70,400</b>	<b>7.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>DAN</b>	<b>B</b>	<b>390</b>	<b>0.75</b>	<b>n/a</b>	<b>28-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>S</b>	<b>20,000</b>	<b>48.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>S</b>	<b>20,000</b>	<b>48.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		DDS	S	50,000	48.80	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DDS	S	50,000	48.80	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DECK	B	30,000	98.33	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DE	B	50,000	72.59	n/a	14-Sep	1,500.00	3.0
BUCK CAPITAL MGMT		DFS	B	22,100	22.88	n/a	15-Nov	non-brg	4.0
SOROS	036	DFS	B	4,000	22.50	n/a	15-Nov	160.00	4.0
DAVID GEORGE BUCK	FID	DIS	S	4500	34.39	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	DOW	S	700	25.38	n/a	1-Nov	35.00	5.0
BUCK CAPITAL MGMT		DSW	S	40,000	44.76	n/a	11-Feb	non-brg	2.5
FRANCIS MICHAEL MCCA	FID	EUO	B	600	18.88	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	EWC	S	800	26.02	n/a	n/a	40.00	5.0
PATTEN & PATTEN	025	EWG	S	1,000	19.13	n/a	n/a	50.00	5.0
PATTEN & PATTEN	025	FCX	S	500	35.70	n/a	n/a	25.00	5.0
SANDLER CAPITAL	028	FCX	SS	140,000	35.58	n/a	n/a	7,000.00	5.0
BUCK CAPITAL MGMT		FINL	B	50,000	19.99	n/a	23-Sep	non-brg	4.0
BASIX	033	FL	S	22,000	22.14	n/a	18-Nov	660.00	3.0
BUCK CAPITAL MGMT		FL	B	50,000	21.98	n/a	18-Nov	non-brg	4.0
SIMMONS VENTURES	041	FL	B	5,000	21.94	n/a	18-Nov	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	FL	B	155,000	22.18	n/a	18-Nov	4,650.00	3.0
LATEFF MGMT	035	FMER	S	1,000	13.71	n/a	n/a	100.00	10.0
<b>f TR U/W OF CH RISTINA</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>15</b>	<b>14.50</b>	<b>n/a</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>B</b>	<b>10,000</b>	<b>83.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MACQUARIE INVESTMENT MGMT.	040	FTI	B	2,500	48.12	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	F	S	1,500	9.97	n/a	2-Nov	75.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>S</b>	<b>50,000</b>	<b>56.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	GE	S	3,850,000	15.29	n/a	n/a	38,500.00	1.0
PATTEN & PATTEN	025	GE	S	1,500	15.48	n/a	n/a	75.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>30,000</b>	<b>19.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>73,100</b>	<b>19.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>80,000</b>	<b>23.35</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	GLW	S	650	14.39	n/a	14-Nov	71.50	11.0
SENATOR INVESTMENT GROUP	036	GRA	B	90,000	38.61	n/a	n/a	2,700.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>120,000</b>	<b>24.12</b>	<b>n/a</b>	<b>3-Nov</b>	<b>non-brg</b>	<b>4.0</b>
KACELA CAPITAL	034	HIBB	B	45,000	43.92	n/a	n/a	1,800.00	4.0
PATTEN & PATTEN	025	HON	S	500	51.29	n/a	7-Nov	25.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	HTLD	SS	5,000	13.35	n/a	n/a	150.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>HTZ</b>	<b>B</b>	<b>47,300</b>	<b>10.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MACQUARIE INVESTMENT MGMT.	040	HUN	B	15,000	10.33	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IJH	S	300	84.66	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	ILF	S	500	42.09	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	IYT	S	200	84.97	n/a	n/a	10.00	5.0
CHESAPEAKE PARTNERS	028	JAKK	B	5,000	19.00	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	JCI	S	1,000	29.00	n/a	21-Nov	50.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>JEF</b>	<b>B</b>	<b>700</b>	<b>10.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MFP INVESTORS	085	JNS	B	10,000	5.87	n/a	n/a	400.00	4.0
LATEFF MGMT	035	JPM	B	825	29.76	n/a	16-Nov	82.50	10.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>KBH</b>	<b>S</b>	<b>2100</b>	<b>6.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>KEG</b>	<b>S</b>	<b>220</b>	<b>13.60</b>	<b>n/a</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	KEG	B	25,000	13.27	n/a	2-Nov	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	LEA	B	50,000	39.75	n/a	31-Oct	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LL</b>	<b>B</b>	<b>40,000</b>	<b>15.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓕ BUCK CAPITAL MGMT		LVS 12 C48	C	1,000	0.68	n/a	n/a	non-brg 100.0	
Ⓕ FRANCIS MICHAEL MCCA	FID	LVS	S	450	44.29	n/a	13-Jun	0.00	0.0
PATTEN & PATTEN	025	MIC	S	600	26.07	n/a	n/a	30.00	5.0
Ⓕ BUCK CAPITAL MGMT		MSMSBCD	C	458,435	91.59	n/a	n/a	non-brg	0.1
Ⓕ BUCK CAPITAL MGMT		MSMSBCD	SS	458,435	91.59	n/a	n/a	non-brg	0.0
Ⓕ BUCK CAPITAL MGMT		MSMSBCM	C	4,275,694	91.32	n/a	n/a	non-brg	0.1
Ⓕ BUCK CAPITAL MGMT		MSMSBCM	SS	4,275,694	91.32	n/a	n/a	non-brg	0.0
BASIX	033	MTW	B	47,000	10.05	n/a	26-Oct	1,410.00	3.0
Ⓕ BUCK CAPITAL MGMT		M	B	20,000	30.98	n/a	10-Nov	non-brg	4.0
OHIO PERS	047	NEM	B	21,724	64.54	n/a	n/a	651.72	3.0
PATTEN & PATTEN	025	NRTLQ	S	13	0.02	n/a	n/a	0.00	0.0
OHIO PERS	047	NSC	S	188,132	71.51	n/a	n/a	5,643.96	3.0
PATTEN & PATTEN	025	NUE	S	300	37.40	n/a	n/a	15.00	5.0
STELLIAM INV ADV	034	NWSA	B	40,000	16.06	n/a	n/a	2,000.00	5.0
LATEFF MGMT	035	NYB	B	500	11.72	n/a	19-Oct	50.00	10.0
PATTEN & PATTEN	025	PCAR	S	300	38.30	n/a	26-Oct	15.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PCH	S	400	31.00	n/a	24-Oct	20.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PFE</b>	<b>S</b>	<b>4000</b>	<b>19.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	PH	B	17,000	79.29	n/a	19-Oct	680.00	4.0
SURVEYOR CAPITAL	041	PH	SS	11,000	78.88	n/a	19-Oct	330.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PII</b>	<b>B</b>	<b>20,000</b>	<b>58.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COOPER CREEK PART	028	PKG	SS	10,000	25.06	n/a	18-Oct	400.00	4.0
COOPER CREEK PART	028	PKG	S	10,000	25.06	n/a	18-Oct	400.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>PKG</b>	<b>B</b>	<b>10,000</b>	<b>25.06</b>	<b>n/a</b>	<b>18-Oct</b>	<b>0.00</b>	<b>0.0</b>
STELLIAM INV ADV	034	PLD	B	25,000	26.24	n/a	n/a	1,250.00	5.0
SURVEYOR CAPITAL	041	PLL	S	17,000	51.81	n/a	n/a	510.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>63.15</b>	<b>n/a</b>	<b>21-Oct</b>	<b>300.00</b>	<b>3.0</b>
PATTEN & PATTEN	025	QCOM	S	300	54.38	n/a	n/a	15.00	5.0
MELLON/BANK OF NEW YORK	046	QCOR	B	83,870	41.14	n/a	n/a	3,354.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RCL</b>	<b>B</b>	<b>19,600</b>	<b>25.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KACELA CAPITAL	034	RCL	S	53,300	25.44	n/a	n/a	2,132.00	4.0
COOPER CREEK PART	028	RKT	S	10,000	54.72	n/a	10-Nov	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>143.07</b>	<b>n/a</b>	<b>11-Nov</b>	<b>non-brg</b>	<b>4.0</b>

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PATTEN & PATTEN	025	RWX	S	500	32.03	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SBH</b>	<b>S</b>	<b>40,000</b>	<b>19.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	SBUX	B	5,604	41.62	n/a	11-Nov	224.16	4.0
RBC CAPITAL MARKETS	040	SBUX	S	5,604	41.83	n/a	11-Nov	224.16	4.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>SDS</b>	<b>B</b>	<b>300</b>	<b>22.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>B</b>	<b>10,000</b>	<b>32.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CHESAPEAKE PARTNERS	028	SONO	B	10,000	40.50	n/a	n/a	300.00	3.0
ROARING BLUE LION MGMT	031	SSI	B	6,500	12.27	n/a	n/a	260.00	4.0
PATTEN & PATTEN	025	SWN	S	500	37.97	n/a	10-Nov	25.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SYK</b>	<b>B</b>	<b>1000</b>	<b>46.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	SYT	B	200	27.13	n/a	n/a	40.00	20.0
IRIDIAN ASSET MGMT.	036	TEN	S	9,300	26.09	n/a	n/a	465.00	5.0
LATEFF MGMT	035	TEVA	S	200	38.63	n/a	21-Nov	56.00	28.0
PATTEN & PATTEN	025	TEVA	S	500	39.10	n/a	21-Nov	25.00	5.0
SUFFOLK CAPITAL MGMT	040	TSN	B	218,100	19.39	n/a	n/a	8,724.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>B</b>	<b>30,900</b>	<b>16.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		UA	C	25,000	75.43	n/a	26-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		UA	C	30,000	75.99	n/a	26-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		ULTA	B	15,000	66.31	n/a	n/a	non-brg	4.0
OHIO PERS	047	UNP	B	137,000	98.23	n/a	n/a	4,110.00	3.0
SURVEYOR CAPITAL	041	UNP	B	19,400	98.62	n/a	n/a	582.00	3.0
f DAVID GEORGE BUCK	FID	USB	S	3000	24.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WYNN	C	30,000	113.59	n/a	13-Jun	non-brg	4.0
PATTEN & PATTEN	025	WY	S	1,000	16.15	n/a	28-Oct	50.00	5.0
T. ROWE PRICE	033	WY	B	220,400	15.93	n/a	28-Oct	8,816.00	4.0
f PATRICK O'GRADY	FID	ZQK	S	370	3.00	n/a	10-May	0.00	0.0
f CAROL ANNE LACHENAU	FID		B	10000	106.85	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID		B	10000	106.90	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID		B	25000	106.75	n/a	n/a	0.00	0.0
f TR U/W OF CH RISTINA	FID		B	10000	106.90	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							112,691.92		

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) :									112,691.92
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									112,691.92

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-Nov.  
NONE

MRI Securities without Trade Activity on 21-Nov.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 4%  
YTD = 2%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)