



# Daily Compliance Activity Report

Trade Date: 11/06/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                       | RR#        | Symbol      | B/S      | Shares      | Price        | MRI        | Research     | Comm. ¢/Shr. |            |
|-------------------------------|------------|-------------|----------|-------------|--------------|------------|--------------|--------------|------------|
| PATTEN & PATTEN               | 025        | AAPL        | B        | 5           | 580.28       | n/a        | n/a          | 0.25         | 5.0        |
| PATTEN & PATTEN               | 025        | AA          | S        | 2,700       | 8.68         | n/a        | n/a          | 135.00       | 5.0        |
| APEX CAPITAL MGMT.            | 261        | AKRX        | B        | 80,000      | 12.14        | n/a        | n/a          | 3,200.00     | 0.0        |
| PATTEN & PATTEN               | 025        | ALL         | S        | 100         | 39.19        | n/a        | n/a          | 5.00         | 5.0        |
| PATTEN & PATTEN               | 025        | APA         | B        | 40          | 82.55        | n/a        | 11-Oct       | 2.00         | 5.0        |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>APP</b>  | <b>S</b> | <b>8780</b> | <b>1.05</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>  | <b>0.0</b> |
| <b>f JASON ERIC COHEN</b>     | <b>FID</b> | <b>ARR</b>  | <b>S</b> | <b>435</b>  | <b>7.13</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>  | <b>0.0</b> |
| LATEEF MGMT                   | 035        | ATI         | B        | 350         | 28.42        | n/a        | 18-Oct       | 42.00        | 12.0       |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>AXL</b>  | <b>B</b> | <b>200</b>  | <b>10.40</b> | <b>n/a</b> | <b>2-Nov</b> | <b>0.00</b>  | <b>0.0</b> |
| <b>f KAREN F LEDDY</b>        | <b>FID</b> | <b>AXL</b>  | <b>B</b> | <b>1400</b> | <b>10.49</b> | <b>n/a</b> | <b>2-Nov</b> | <b>0.00</b>  | <b>0.0</b> |
| PATTEN & PATTEN               | 025        | AXP         | B        | 100         | 57.15        | n/a        | 2-Nov        | 5.00         | 5.0        |
| PATTEN & PATTEN               | 025        | BA          | B        | 30          | 72.09        | n/a        | 18-Oct       | 1.50         | 5.0        |
| SAC CHICAGO ANDREW            | 031        | BBBY        | S        | 10,000      | 58.77        | n/a        | n/a          | 350.00       | 3.5        |
| <b>f KAREN F LEDDY</b>        | <b>FID</b> | <b>BONT</b> | <b>B</b> | <b>1200</b> | <b>12.75</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>  | <b>0.0</b> |
| BESSEMER INVESTMENT           | 085        | BRKB        | S        | 500         | 87.12        | n/a        | n/a          | 20.00        | 4.0        |

| Account                       | RR#        | Symbol      | B/S      | Shares      | Price        | MRI        | Research      | Comm.¢/Shr. |            |
|-------------------------------|------------|-------------|----------|-------------|--------------|------------|---------------|-------------|------------|
| BESSEMER INVESTMENT           | 085        | BTFG        | S        | 1,095       | 2.80         | n/a        | n/a           | 43.80       | 4.0        |
| PATTEN & PATTEN               | 025        | BTO         | B        | 150         | 18.28        | n/a        | n/a           | 7.50        | 5.0        |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>CBK</b>  | <b>B</b> | <b>2800</b> | <b>3.34</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b> | <b>0.0</b> |
| TRUSTCO/SUNTRUST (CEREDEX)    | 273        | CB          | B        | 29,263      | 75.71        | n/a        | n/a           | 936.42      | 0.0        |
| LATEEF MGMT                   | 035        | CCK         | S        | 250         | 38.70        | n/a        | n/a           | 37.50       | 15.0       |
| BESSEMER INVESTMENT           | 085        | CCL         | S        | 300         | 38.75        | n/a        | n/a           | 12.00       | 4.0        |
| <b>f KATHERINE L O'GORMAN</b> | <b>FID</b> | <b>CHD</b>  | <b>S</b> | <b>300</b>  | <b>51.71</b> | <b>n/a</b> | <b>5-Nov</b>  | <b>0.00</b> | <b>0.0</b> |
| SIGMA CAPITAL ASSOCIATES      | 041        | CHS         | S        | 50,000      | 19.59        | n/a        | 5-Feb         | 1,750.00    | 3.5        |
| PATTEN & PATTEN               | 025        | CL          | B        | 20          | 105.72       | n/a        | 26-Oct        | 1.00        | 5.0        |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>CMG</b>  | <b>B</b> | <b>15</b>   | <b>9.90</b>  | <b>n/a</b> | <b>19-Oct</b> | <b>0.00</b> | <b>0.0</b> |
| PATTEN & PATTEN               | 025        | CNR         | S        | 40          | 88.14        | n/a        | n/a           | 2.00        | 5.0        |
| <b>f MANNY I KORMAN</b>       | <b>FID</b> | <b>CROX</b> | <b>B</b> | <b>3000</b> | <b>13.15</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b> | <b>0.0</b> |
| SANDLER O'NEILL ASSET         | 031        | C           | S        | 15,000      | 38.38        | n/a        | 5-Nov         | 750.00      | 5.0        |
| COPIA CAPITAL                 | 031        | DAL         | S        | 100,000     | 9.96         | n/a        | 31-Oct        | 3,500.01    | 0.0        |
| PATTEN & PATTEN               | 025        | DD          | S        | 150         | 44.72        | n/a        | 23-Oct        | 7.50        | 5.0        |

| Account             | RR# | Symbol    | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr. |       |
|---------------------|-----|-----------|-----|---------|-------|-----|----------|--------------|-------|
| ß BUCK CAPITAL MGMT |     | DECK      | B   | 20,000  | 32.08 | n/a | n/a      | non-brg      | 4.0   |
| ß BUCK CAPITAL MGMT |     | DECK      | B   | 20,000  | 32.08 | n/a | n/a      | non-brg      | 4.0   |
| SCOPUS FUND         | 041 | DG        | S   | 59,519  | 48.12 | n/a | 5-Sep    | 2,380.76     | 4.0   |
| WINSLOW CAPITAL     | 030 | DG        | B   | 222,900 | 48.11 | n/a | 5-Sep    | 6,687.00     | 0.0   |
| BESSEMER INVESTMENT | 085 | DIS       | S   | 50      | 50.38 | n/a | n/a      | 2.00         | 4.0   |
| ß BUCK CAPITAL MGMT |     | DKS       | B   | 20,000  | 51.18 | n/a | 17-Sep   | non-brg      | 4.0   |
| ß BUCK CAPITAL MGMT |     | DKS       | B   | 20,000  | 51.18 | n/a | 17-Sep   | non-brg      | 4.0   |
| PATTEN & PATTEN     | 025 | DKS       | B   | 50      | 51.08 | n/a | 17-Sep   | 2.50         | 5.0   |
| PATTEN & PATTEN     | 025 | DLR       | B   | 175     | 60.49 | n/a | n/a      | 8.75         | 5.0   |
| ß BUCK CAPITAL MGMT |     | DLTR      | B   | 30,000  | 39.20 | n/a | 12-Oct   | non-brg      | 4.0   |
| SAC CHICAGO ANDREW  | 031 | DLTR      | B   | 1,200   | 38.95 | n/a | 12-Oct   | 42.00        | 3.5   |
| ß BUCK CAPITAL MGMT |     | DTG 1 P85 | S   | 50      | 9.30  | n/a | n/a      | non-brg      | 300.0 |
| OTTER CREEK MGMT    | 093 | DVN       | B   | 4,900   | 58.40 | n/a | 11-Oct   | 196.00       | 0.0   |
| PATTEN & PATTEN     | 025 | EWC       | S   | 1,150   | 28.53 | n/a | n/a      | 57.50        | 5.0   |
| PATTEN & PATTEN     | 025 | EXC       | S   | 100     | 31.90 | n/a | n/a      | 5.00         | 5.0   |
| BNP PARIBAS SEC     | 040 | FDO       | B   | 50,000  | 66.28 | n/a | 4-Oct    | 1,500.00     | 3.0   |
| ß BUCK CAPITAL MGMT |     | FDO       | B   | 30,000  | 66.27 | n/a | 4-Oct    | non-brg      | 4.0   |
| ß BUCK CAPITAL MGMT |     | FDO       | B   | 50,000  | 66.29 | n/a | 4-Oct    | non-brg      | 4.0   |
| f SERGEI BARANOVSKY | FID | F         | S   | 120     | 0.07  | n/a | 2-Nov    | 0.00         | 0.0   |

| Account                       | RR#        | Symbol      | B/S      | Shares         | Price         | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|----------|----------------|---------------|------------|---------------|----------------|------------|
| PATTEN & PATTEN               | 025        | GD          | B        | 75             | 69.36         | n/a        | 18-Oct        | 3.75           | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GIII</b> | <b>B</b> | <b>2,900</b>   | <b>36.94</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GIII</b> | <b>B</b> | <b>2,900</b>   | <b>36.94</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>f MARK ANTHONY GRONET</b>  | <b>FID</b> | <b>GLDD</b> | <b>B</b> | <b>3000</b>    | <b>8.30</b>   | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f MARK DEVEREAUX KAICH</b> | <b>FID</b> | <b>GLDD</b> | <b>B</b> | <b>1000</b>    | <b>8.06</b>   | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f KATHERINE L O'GORMAN</b> | <b>FID</b> | <b>GLD</b>  | <b>B</b> | <b>200</b>     | <b>163.81</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| BALYASNY ASSET MGMT           | 044        | GM          | B        | 22,229         | 25.59         | n/a        | 2-Nov         | 1,111.45       | 0.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GM</b>   | <b>B</b> | <b>20,000</b>  | <b>26.06</b>  | <b>n/a</b> | <b>2-Nov</b>  | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>HCA</b>  | <b>B</b> | <b>32,500</b>  | <b>30.83</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| PATTEN & PATTEN               | 025        | HON         | S        | 75             | 63.44         | n/a        | 22-Oct        | 3.75           | 5.0        |
| PATTEN & PATTEN               | 025        | INTC        | S        | 200            | 21.65         | n/a        | n/a           | 10.00          | 5.0        |
| BALYASNY ASSET MGMT           | 044        | IP          | S        | 40,000         | 35.71         | n/a        | 25-Oct        | 2,000.00       | 0.0        |
| BESSEMER INVESTMENT           | 085        | IP          | S        | 75             | 35.49         | n/a        | 25-Oct        | 3.00           | 4.0        |
| PATTEN & PATTEN               | 025        | IP          | B        | 60             | 35.62         | n/a        | 25-Oct        | 3.00           | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>IWF</b>  | <b>C</b> | <b>30,000</b>  | <b>65.47</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>1.0</b> |
| PATTEN & PATTEN               | 025        | JCI         | S        | 1,600          | 26.95         | n/a        | 31-Oct        | 80.00          | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>JCP</b>  | <b>S</b> | <b>100,000</b> | <b>23.54</b>  | <b>n/a</b> | <b>13-Aug</b> | <b>non-brg</b> | <b>4.0</b> |
| NOKOMIS PARTNERS              | 031        | JCP         | B        | 134,590        | 23.65         | n/a        | 13-Aug        | 4,037.70       | 0.0        |

| Account                    | RR# | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |     |
|----------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| B BUCK CAPITAL MGMT        |     | JIVE   | B   | 80,000  | 12.99 | n/a | n/a      | non-brg     | 1.0 |
| SIGMA CAPITAL ASSOCIATES   | 041 | JWN    | S   | 25,000  | 57.79 | n/a | 5-Nov    | 875.00      | 3.5 |
| f KATHERINE L O'GORMAN     | FID | KEG    | B   | 25      | 6.30  | n/a | 11-Oct   | 0.00        | 0.0 |
| f EDWARD W WHEELER         | FID | KEM    | S   | 10000   | 4.65  | n/a | n/a      | 0.00        | 0.0 |
| B BUCK CAPITAL MGMT        |     | KMX    | S   | 50,000  | 35.36 | n/a | n/a      | non-brg     | 4.0 |
| B BUCK CAPITAL MGMT        |     | KMX    | S   | 50,000  | 35.36 | n/a | n/a      | non-brg     | 4.0 |
| BESSEMER INVESTMENT        | 085 | KRFT   | S   | 43      | 45.09 | n/a | n/a      | 1.72        | 4.0 |
| J. GOLDMAN                 | 028 | KSS    | S   | 120,000 | 54.96 | n/a | 5-Nov    | 4,800.00    | 4.0 |
| NEW JERSEY DIV OF INV.     | 030 | KSU    | S   | 10,000  | 82.19 | n/a | n/a      | 400.00      | 4.0 |
| SAC TRADING TOM LEDDY      | 035 | LOW    | B   | 50,000  | 33.24 | n/a | 20-Aug   | 1,750.00    | 3.5 |
| B BUCK CAPITAL MGMT        |     | LPNT   | B   | 27,500  | 36.94 | n/a | n/a      | non-brg     | 4.0 |
| BNP PARIBAS SEC            | 040 | LPX    | S   | 10,000  | 15.84 | n/a | 15-Oct   | 300.00      | 3.0 |
| B BUCK CAPITAL MGMT        |     | LSTR   | B   | 10,000  | 51.02 | n/a | n/a      | non-brg     | 4.0 |
| TRUSTCO/SUNTRUST (CEREDEX) | 273 | LVS    | S   | 46,756  | 44.66 | n/a | 13-Jun   | 1,496.20    | 0.0 |
| SAC CHICAGO ANDREW         | 031 | MCD    | SS  | 50,000  | 87.87 | n/a | 6-Nov    | 1,750.00    | 3.5 |
| OHIO PERS                  | 047 | MHP    | S   | 24,000  | 52.76 | n/a | n/a      | 720.00      | 0.0 |

| Account                    | RR# | Symbol   | B/S      | Shares        | Price        | MRI        | Research     | Comm. ¢/Shr.   |            |
|----------------------------|-----|----------|----------|---------------|--------------|------------|--------------|----------------|------------|
| PATTEN & PATTEN            | 025 | MIC      | B        | 250           | 44.20        | n/a        | n/a          | 12.50          | 5.0        |
| RIDGECREST INV MGMT LLC    | 028 | MLI      | B        | 5,000         | 46.32        | n/a        | 25-Oct       | 200.00         | 4.0        |
| LOMAS CAPITAL              | 040 | MPC      | S        | 22,200        | 56.89        | n/a        | n/a          | 666.00         | 3.0        |
| PATTEN & PATTEN            | 025 | MSI      | S        | 357           | 53.89        | n/a        | n/a          | 17.85          | 5.0        |
| BASSWOOD PARTNERS          | 267 | MS       | B        | 19,200        | 18.13        | n/a        | 5-Nov        | 768.00         | 0.0        |
| <b>B BUCK CAPITAL MGMT</b> |     | <b>M</b> | <b>S</b> | <b>30,000</b> | <b>41.16</b> | <b>n/a</b> | <b>5-Nov</b> | <b>non-brg</b> | <b>4.0</b> |
| NEW JERSEY DIV OF INV.     | 030 | NEE      | S        | 40,000        | 69.26        | n/a        | n/a          | 1,600.00       | 4.0        |
| BESSEMER INVESTMENT        | 085 | NOV      | S        | 25            | 71.96        | n/a        | n/a          | 1.00           | 4.0        |
| IRIDIAN ASSET MGMT.        | 036 | OC       | S        | 112,220       | 34.87        | n/a        | n/a          | 5,611.00       | 0.0        |
| LATEEF MGMT                | 035 | OI       | B        | 250           | 19.71        | n/a        | n/a          | 30.00          | 12.0       |
| BESSEMER INVESTMENT        | 085 | PFE      | S        | 100           | 24.64        | n/a        | n/a          | 4.00           | 4.0        |
| BESSEMER INVESTMENT        | 085 | QCOM     | S        | 25            | 60.38        | n/a        | n/a          | 1.00           | 4.0        |
| PATTEN & PATTEN            | 025 | QCOM     | B        | 50            | 60.28        | n/a        | n/a          | 2.50           | 5.0        |
| LATEEF MGMT                | 035 | RDSB     | B        | 150           | 71.50        | n/a        | n/a          | 37.50          | 25.0       |
| MERRILL ASSET/BLACKROCK    | 297 | RE       | S        | 18,400        | 107.48       | n/a        | n/a          | 736.00         | 0.0        |
| HOPLITE MGMT               | 025 | RIMM     | SS       | 75,000        | 9.00         | n/a        | n/a          | 2,250.00       | 0.0        |

| Account                    | RR#        | Symbol           | B/S       | Shares        | Price         | MRI        | Research   | Comm. ¢/Shr.   |              |
|----------------------------|------------|------------------|-----------|---------------|---------------|------------|------------|----------------|--------------|
| SENATOR INVESTMENT GROUP   | 036        | ROC              | B         | 100,000       | 47.00         | n/a        | n/a        | 3,000.00       | 3.0          |
| TRUSTCO/SUNTRUST (CEREDEX) | 273        | ROST             | S         | 41,446        | 57.40         | n/a        | 5-Nov      | 1,326.27       | 0.0          |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>R</b>         | <b>B</b>  | <b>20,000</b> | <b>46.18</b>  | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b>   |
| <b>f EDWARD W WHEELER</b>  | <b>FID</b> | <b>R</b>         | <b>S</b>  | <b>100</b>    | <b>2.50</b>   | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b>   |
| TOCQUEVILLE                | 035        | SEE              | S         | 50,000        | 16.94         | n/a        | 2-Jun      | 2,500.00       | 0.0          |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>SHOO</b>      | <b>B</b>  | <b>40,000</b> | <b>42.52</b>  | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b>   |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>SKS 5 P10</b> | <b>SS</b> | <b>1,000</b>  | <b>0.95</b>   | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>100.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>SKS 5 P10</b> | <b>SS</b> | <b>1,000</b>  | <b>0.95</b>   | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>100.0</b> |
| PATTEN & PATTEN            | 025        | SRZ              | S         | 12,500        | 14.39         | n/a        | n/a        | 625.00         | 5.0          |
| ROSEDALE CAPITAL           | 046        | STJ              | B         | 10,000        | 38.59         | n/a        | n/a        | 500.00         | 5.0          |
| TRUST CO/COWEN/CALF.       | 040        | STT              | B         | 65,225        | 46.50         | n/a        | 5-Nov      | 3,261.25       | 0.0          |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>SUMR</b>      | <b>S</b>  | <b>8,500</b>  | <b>1.39</b>   | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>0.5</b>   |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>SUMR</b>      | <b>S</b>  | <b>8,500</b>  | <b>1.39</b>   | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>0.5</b>   |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>TDG</b>       | <b>SS</b> | <b>1,000</b>  | <b>139.79</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.5</b>   |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>TDG</b>       | <b>SS</b> | <b>2,600</b>  | <b>139.79</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>2.5</b>   |
| NEW JERSEY DIV OF INV.     | 030        | TE               | S         | 100,000       | 17.87         | n/a        | n/a        | 4,000.00       | 4.0          |
| ASCEND PARTNERS            | 033        | TGT              | B         | 75,170        | 63.60         | n/a        | 1-Nov      | 2,255.10       | 0.0          |

| Account                       | RR#        | Symbol       | B/S      | Shares        | Price        | MRI        | Research     | Comm. ¢/Shr.   |            |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| PATTEN & PATTEN               | 025        | TOL          | B        | 50            | 33.14        | n/a        | n/a          | 2.50           | 5.0        |
| S.A.C. CAPITAL                | 044        | TOL          | SS       | 50,000        | 33.19        | n/a        | n/a          | 1,750.00       | 3.5        |
| CRAMER ROSENTHAL              | 070        | TWX          | S        | 283,770       | 42.78        | n/a        | n/a          | 11,350.80      | 0.0        |
| BESSEMER INVESTMENT           | 085        | T            | S        | 900           | 34.79        | n/a        | n/a          | 36.00          | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>ULTA</b>  | <b>B</b> | <b>10,000</b> | <b>93.73</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| LEVIN CAPITAL STRATEGIES      | 041        | URBN         | C        | 9,000         | 37.17        | n/a        | n/a          | 270.00         | 0.0        |
| PATTEN & PATTEN               | 025        | UTX          | B        | 475           | 80.17        | n/a        | n/a          | 23.75          | 5.0        |
| <b>f YANAI A FRANK</b>        | <b>FID</b> | <b>VMMXX</b> | <b>S</b> | <b>12348</b>  | <b>1.00</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>f MARK DEVEREAUX KAICH</b> | <b>FID</b> | <b>VRNG</b>  | <b>B</b> | <b>1000</b>   | <b>3.89</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| BRIGADE CAPITAL MGMT          | 029        | WAC          | B        | 25,000        | 41.98        | n/a        | n/a          | 750.00         | 0.0        |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>WFC</b>   | <b>B</b> | <b>2000</b>   | <b>34.36</b> | <b>n/a</b> | <b>5-Nov</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f MATTHEW FRANCIS BUCK</b> | <b>FID</b> | <b>WFC</b>   | <b>B</b> | <b>300</b>    | <b>34.35</b> | <b>n/a</b> | <b>5-Nov</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>WLP</b>   | <b>S</b> | <b>10</b>     | <b>0.88</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>f EDWARD W WHEELER</b>     | <b>FID</b> | <b>WNC</b>   | <b>S</b> | <b>5000</b>   | <b>7.64</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>WRC</b>   | <b>S</b> | <b>50,000</b> | <b>71.42</b> | <b>n/a</b> | <b>6-Nov</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>WRC</b>   | <b>S</b> | <b>70,000</b> | <b>71.42</b> | <b>n/a</b> | <b>6-Nov</b> | <b>non-brg</b> | <b>4.0</b> |
| SCOPUS FUND                   | 041        | WRC          | S        | 30,586        | 71.42        | n/a        | 6-Nov        | 1,223.44       | 4.0        |



| Account                    | RR#        | Symbol     | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.      |            |
|----------------------------|------------|------------|----------|---------------|--------------|------------|------------|------------------|------------|
| PATTEN & PATTEN            | 025        | WY         | S        | 371           | 27.41        | n/a        | 31-Oct     | 18.55            | 5.0        |
| SENATOR INVESTMENT GROUP   | 036        | XLU        | SS       | 200,000       | 35.63        | n/a        | n/a        | 6,000.00         | 3.0        |
| PATTEN & PATTEN            | 025        | XLV        | B        | 125           | 40.23        | n/a        | n/a        | 6.25             | 5.0        |
| <b>B</b> BUCK CAPITAL MGMT |            | <b>XLY</b> | <b>C</b> | <b>45,000</b> | <b>46.72</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>1.0</b> |
| <b>B</b> BUCK CAPITAL MGMT |            | <b>XPO</b> | <b>B</b> | <b>50,000</b> | <b>13.94</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b>   | <b>2.5</b> |
| <b>f</b> EDWARD W WHEELER  | <b>FID</b> |            | <b>B</b> | <b>200000</b> | <b>82.40</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>      | <b>0.0</b> |
| <b>TOTAL (Trade Date):</b> |            |            |          |               |              |            |            | <b>91,871.82</b> |            |

**Cancel/Corrects and As-Of Trades**

| Type                          | Date  | Account                | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr.     |
|-------------------------------|-------|------------------------|------|--------|-----|---------|-------|-----|----------|-----------------|
| AO,CXL                        | 11/05 | NEW JERSEY DIV OF INV. | 030  | BBBY   | B   | 20,000  | 57.55 | n/a | n/a      | 600.00 3.0      |
| AO,CRT                        | 11/05 | NEW JERSEY DIV OF INV. | 030  | BBBY   | B   | 20,000  | 57.55 | n/a | n/a      | 600.00 3.0      |
| AO,                           | 10/24 | COLUMBUS CIRCLE        | 036  | CTXS   | S   | 2,000   | 64.05 | n/a | n/a      | 80.00 0.0       |
| AO,CXL                        | 11/01 | CASTLEROCK             | 040  | LL     | B   | 559     | 57.02 | n/a | n/a      | 22.36 4.0       |
| AO,CRT                        | 11/01 | CASTLEROCK             | 040  | LL     | B   | 559     | 57.02 | n/a | n/a      | 22.36 4.0       |
| AO,CRT                        | 11/05 | PARKWEST               | 084  | SLCA   | S   | 100,000 | 14.47 | n/a | n/a      | 4000.00 4.0     |
| AO,CXL                        | 11/05 | PARKWEST               | 084  | SLCA   | S   | 100,000 | 14.47 | n/a | n/a      | 3000.00 3.0     |
| AO,                           | 11/02 | EATON VANCE MGMT       | 029  | VOD    | S   | 500,000 | 27.02 | n/a | n/a      | 15000.00 0.0    |
| AO,CXL                        | 11/02 | EATON VANCE MGMT       | 029  | VOD    | S   | 500,000 | 27.02 | n/a | n/a      | 15000.00 0.0    |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                        |      |        |     |         |       |     |          | <b>1,080.00</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 91,871.82 |
| TOTAL (AO, CXL, CRT) : | 1,080.00  |

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>92,951.82</b> |
|---------------------------------|------------------|

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 6-Nov.  
NONE

MRI Securities without Trade Activity on 6-Nov.  
COL

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

|  |
|--|
| <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)                          |