



Daily Compliance Activity Report

Trade Date: 01/12/2012

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	65	421.36	n/a	n/a	3.25	5.0
VISIUM/BALY BOBBY	044	AA	B	20,000	9.96	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	ACN	SS	3,000	53.23	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		AEO	B	600	13.09	n/a	2-Dec	non-brg	4.0
f IAN L MILLER	FID	AGNC	B	50	28.31	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	ALB	B	1,500	57.38	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	AME	S	2,000	44.69	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ANR	SS	2,000	21.84	n/a	n/a	80.00	4.0
PATTEN & PATTEN	025	APC	B	200	78.83	n/a	6-Jan	10.00	5.0
f BARBARA S LEDDY	FID	ARCO	B	350	17.91	n/a	6-Jan	0.00	0.0
f KAREN F LEDDY	FID	ARCO	B	400	17.89	n/a	6-Jan	0.00	0.0
B BUCK CAPITAL MGMT		ARO	C	144,500	16.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	C	144,500	16.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	C	5,500	15.94	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		ARO	C	5,500	15.94	n/a	n/a	non-brg	0.8
BROADARCH CAP/OLD NEWC	070	AXL	B	5,000	11.54	n/a	6-Jan	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		BAC	B	6,900	6.76	n/a	6-Jan	non-brg	3.0
⌘ BUCK CAPITAL MGMT		BBBY	B	300	59.76	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	BDX	B	1,000	74.48	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	BHI	S	1,000	48.30	n/a	n/a	40.00	4.0
⌘ BUCK CAPITAL MGMT		BHI	B	300	48.44	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	BMY	S	2	33.98	n/a	n/a	0.08	4.0
⌘ BUCK CAPITAL MGMT		BWA	SS	1,100	73.90	n/a	6-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BWA	SS	10,000	73.98	n/a	6-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BYD	B	5,100	7.76	n/a	n/a	non-brg	3.0
BRONSON POINT	036	CBG	B	125,000	17.40	n/a	n/a	3,750.00	3.0
BROADARCH CAP/OLD NEWC	070	CERN	B	1,500	61.87	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	CF	B	2,410	165.70	n/a	n/a	96.40	4.0
BROADARCH CAP/OLD NEWC	070	CF	S	500	165.30	n/a	n/a	20.00	4.0
TALPION LLC	040	CLGX	S	800	13.59	n/a	n/a	32.00	4.0
BROADARCH CAP/OLD NEWC	070	CNX	SS	2,000	35.24	n/a	n/a	80.00	4.0
TALPION LLC	040	CODE	S	1,900	8.53	n/a	n/a	57.00	3.0
⌘ BUCK CAPITAL MGMT		COF	S	17,000	48.16	n/a	12-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOSEPH CIRO AMATURO	FID	CROX	S	2000	18.84	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CROX	S	2000	18.91	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CVX	C	45,900	105.24	n/a	n/a	non-brg	4.0
f IAN L MILLER	FID	C	B	50	31.29	n/a	6-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		DAN	S	50,000	14.82	n/a	1-Dec	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	DFS	B	250	26.19	n/a	12-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		DIA	SS	35,200	124.63	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DKS	C	30,000	39.83	n/a	12-Jan	non-brg	4.0
MOORE CAPITAL	041	DKS	S	7,500	40.90	n/a	12-Jan	225.00	3.0
ß BUCK CAPITAL MGMT		DVN	B	500	63.28	n/a	6-Jan	non-brg	4.0
SENATOR INVESTMENT GROUP	036	EMN	B	17,909	44.42	n/a	n/a	537.27	3.0
LIONEYE CAPITAL	040	EP	B	17,500	26.60	n/a	n/a	875.00	5.0
TALPION LLC	040	EP	S	3,605	26.67	n/a	n/a	144.20	4.0
BROADARCH CAP/OLD NEWC	070	ESV	S	1,000	46.82	n/a	n/a	40.00	4.0
ß BUCK CAPITAL MGMT		ESV	B	1,900	47.11	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	ETN	S	2,000	48.84	n/a	4-Jan	80.00	4.0
ß BUCK CAPITAL MGMT		EXPR	B	200	20.14	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAEIL CHA	FID	FAS	B	4	76.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	2,800	19.25	n/a	22-Dec	non-brg	4.0
ROYCE TRADING	031	FINL	B	67,000	19.19	n/a	22-Dec	3,350.00	5.0
PLATTE RIVER CAPITAL	240	FL	S	65,520	24.49	n/a	9-Jan	2,620.80	4.0
f JILL ROSENBERG	FID	FNSXX	B	935	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FNSXX	B	1024	1.00	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	GE	B	1,200	18.88	n/a	n/a	60.00	5.0
BROADARCH CAP/OLD NEWC	070	GGC	B	3,000	23.92	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		GIL	S	24,000	20.90	n/a	9-Jan	non-brg	2.5
B BUCK CAPITAL MGMT		GIL	S	50,000	20.91	n/a	9-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	50,000	20.91	n/a	9-Jan	non-brg	4.0
TUDOR INVESTORS	028	GMT	B	5,000	44.42	n/a	n/a	150.00	3.0
BROADARCH CAP/OLD NEWC	070	GM	B	2,000	23.93	n/a	6-Jan	80.00	4.0
B BUCK CAPITAL MGMT		GM	SS	30,000	24.49	n/a	6-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GM	SS	6,900	24.63	n/a	6-Jan	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	GM	SS	15,000	24.12	n/a	6-Jan	0.00	0.0
OZ MGMT	040	GM	SS	56,977	24.70	n/a	6-Jan	1,709.31	3.0
B BUCK CAPITAL MGMT		GWW	SS	300	194.20	n/a	12-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		HAS	SS	100,000	32.84	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		HLF	B	100,000	55.21	n/a	n/a	non-brg 4.0
BROADARCH CAP/OLD NEWC	070	HON	B	2,000	56.80	n/a	9-Jan	80.00 4.0
f JOSEPH CIRO AMATURO	FID	HOV	B	10000	2.57	n/a	n/a	0.00 0.0
BROADARCH CAP/OLD NEWC	070	HPQ	SS	3,000	26.75	n/a	n/a	120.00 4.0
f EDWARD W WHEELER	FID	HWCC	S	150	1.25	n/a	n/a	0.00 0.0
f MARC PAUL LUCHANSKY	FID	IFF	B	250	54.74	n/a	12-Dec	0.00 0.0
BROADARCH CAP/OLD NEWC	070	IGT	S	2,500	17.15	n/a	13-Jun	100.00 4.0
B BUCK CAPITAL MGMT		IJH	SS	50,500	91.07	n/a	n/a	non-brg 4.0
TUDOR INVESTORS	028	IP	B	10,000	31.40	n/a	27-Oct	300.00 3.0
BROADARCH CAP/OLD NEWC	070	IR	B	2,000	33.44	n/a	20-Oct	80.00 4.0
B BUCK CAPITAL MGMT		KEY	B	700	8.21	n/a	n/a	non-brg 3.0
BROADARCH CAP/OLD NEWC	070	KLAC	B	1,400	48.98	n/a	n/a	56.00 4.0
B BUCK CAPITAL MGMT		LEA	B	1,400	42.43	n/a	6-Jan	non-brg 4.0
TUDOR INVESTORS	028	LEA	B	5,000	41.89	n/a	6-Jan	150.00 3.0
B BUCK CAPITAL MGMT		LIZ	S	50,000	9.20	n/a	7-Oct	non-brg 3.0
MOORE CAPITAL	041	LIZ	B	21,750	9.15	n/a	7-Oct	652.50 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	029	LYB	S	10,000	38.56	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	MIC	B	800	28.80	n/a	n/a	40.00	5.0
TALPION LLC	040	MIM	S	1,300	32.84	n/a	n/a	52.00	4.0
BROADARCH CAP/OLD NEWC	070	MOS	B	1,000	53.19	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		MSMSRASH	SS	1,500	100.26	n/a	n/a	non-brg	8.0
ROYCE TRADING	031	MTX	B	5,500	60.57	n/a	n/a	275.00	5.0
f BARBARA S LEDDY	FID	MWV	S	300	30.43	n/a	26-Oct	0.00	0.0
CYPRESS CAP MGMT LLC	040	M	B	13,300	34.99	n/a	9-Jan	532.00	4.0
f KAREN F LEDDY	FID	NBRXF	B	1000	8.95	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	NUAN	B	1,000	28.61	n/a	n/a	50.00	5.0
BROADARCH CAP/OLD NEWC	070	ODFL	B	4,000	40.65	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	OXY	S	3,500	97.87	n/a	n/a	140.00	4.0
B BUCK CAPITAL MGMT		PCAR	B	1,100	42.28	n/a	5-Jan	non-brg	4.0
f BARBARA S LEDDY	FID	PCH	B	150	32.47	n/a	6-Dec	0.00	0.0
f KAREN F LEDDY	FID	PCH	B	300	32.47	n/a	6-Dec	0.00	0.0
f JILL ROSENBERG	FID	PCRRX	S	177	6.53	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MARC PAUL LUCHANSKY	FID	PCRRX	S	194	6.53	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	PFE	B	2,000	21.94	n/a	n/a	80.00	4.0
ß	BUCK CAPITAL MGMT		PH	SS	800	83.02	n/a	5-Jan	non-brg	4.0
	MA CAPITAL MGMT/MELLON ADV041		PKG	B	6,000	26.29	n/a	18-Oct	300.00	5.0
ß	BUCK CAPITAL MGMT		PLCE	B	300	48.65	n/a	5-Jan	non-brg	4.0
	METROPOLITAN CAPITAL	044	PLCE	B	5,300	48.20	n/a	5-Jan	265.00	5.0
	KACELA CAPITAL	034	PTEN	S	78,000	20.03	n/a	n/a	780.00	1.0
ß	BUCK CAPITAL MGMT		PVH 1 C70	C	250	3.59	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		PVH	B	140,000	72.26	n/a	12-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		PVH	B	30,000	71.89	n/a	12-Jan	non-brg	4.0
	MA CAPITAL MGMT/MELLON ADV041		PVH	S	3,200	75.70	n/a	12-Jan	160.00	5.0
	BROADARCH CAP/OLD NEWC	070	RCL	B	1,200	28.21	n/a	n/a	48.00	4.0
ß	BUCK CAPITAL MGMT		RIG	B	800	40.58	n/a	n/a	non-brg	4.0
	BROADARCH CAP/OLD NEWC	070	RKT	S	2,000	66.21	n/a	5-Jan	80.00	4.0
	DEVENNY CAP LLC	044	RKT	S	7,331	65.35	n/a	5-Jan	219.93	3.0
	TUDOR INVESTORS	028	RKT	S	5,000	65.30	n/a	5-Jan	150.00	3.0
ß	BUCK CAPITAL MGMT		RL	SS	10,000	142.01	n/a	9-Jan	non-brg	4.0
	BROADARCH CAP/OLD NEWC	070	ROC	B	1,000	43.68	n/a	n/a	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SIG	B	10,000	44.89	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SIG	B	30,000	44.89	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SIG	B	30,000	44.89	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SIG	B	60,000	44.89	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	SLM	B	3000	13.90	n/a	9-Jan	0.00	0.0
BRONSON POINT	036	SMG	C	22,500	48.86	n/a	9-Jan	675.00	3.0
BROADARCH CAP/OLD NEWC	070	SNDK	B	1,000	50.24	n/a	n/a	40.00	4.0
f JASON ERIC COHEN	FID	SPF	S	270	4.02	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SPF	S	580	4.02	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	SPW	B	3,000	65.66	n/a	n/a	120.00	4.0
⚡ BUCK CAPITAL MGMT		SPY	SS	360	129.62	n/a	n/a	non-brg	2.0
f FRANCIS MICHAEL MCCA	FID	SRI	S	1500	9.02	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	SWFT	B	10,000	9.99	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		SWN	B	1,700	29.82	n/a	6-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SWN	B	16,800	29.85	n/a	6-Jan	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	SWN	B	100	29.99	n/a	6-Jan	0.00	0.0
BROADARCH CAP/OLD NEWC	070	TEL	B	3,500	34.54	n/a	n/a	140.00	4.0
f JASON ERIC COHEN	FID	TEX	B	200	16.40	n/a	21-Dec	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	TGI	B	2,000	60.58	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	TGT	B	2,500	49.27	n/a	5-Jan	100.00	4.0
LEVIN CAPITAL STRATEGIES	041	TGT	B	10,970	49.87	n/a	5-Jan	329.10	3.0
B BUCK CAPITAL MGMT		TIF	B	310	59.64	n/a	n/a	non-brg	4.0
f BARBARA S LEDDY	FID	TIN	S	600	31.76	n/a	19-Oct	0.00	0.0
f KAREN F LEDDY	FID	TMBCF	B	2000	3.31	n/a	n/a	0.00	0.0
SANDLER CAPITAL	028	TRV	B	80,000	60.02	n/a	n/a	4,000.00	5.0
BROADARCH CAP/OLD NEWC	070	TSN	S	1,640	20.24	n/a	n/a	65.60	4.0
BROADARCH CAP/OLD NEWC	070	UNP	B	3,000	111.26	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	UNP	SS	3,000	111.26	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	WAT	B	1,000	76.47	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	WCC	S	2,000	57.93	n/a	n/a	80.00	4.0
BRONSON POINT	036	WMT	S	25,000	59.51	n/a	16-Nov	750.00	3.0
B BUCK CAPITAL MGMT		WYNN	C	20,000	107.58	n/a	13-Jun	non-brg	4.0
PATTEN & PATTEN	025	WY	B	1,000	19.52	n/a	28-Oct	50.00	5.0
VISIUM/BALY BOBBY	044	XLB	C	10,000	35.86	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/BALY BOBBY	044	XLI	C	20,000	35.62	n/a	n/a	1,000.00	5.0
BROADARCH CAP/OLD NEWC	070	XLNX	B	1,000	33.26	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	XLU	S	1,640	34.81	n/a	n/a	65.60	4.0
VISIUM/BALY BOBBY	044	XLU	SS	10,000	34.86	n/a	n/a	500.00	5.0
f IAN L MILLER	FID	ZSL	B	100	13.33	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								29,986.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/10	PATTEN & PATTEN	025	BTO	B	3,000	15.19	n/a	n/a	150.00 5.0
AO,CRT	01/10	PATTEN & PATTEN	025	BTO	B	3,000	15.19	n/a	n/a	150.00 5.0
AO,CXL	01/10	PATTEN & PATTEN	025	DBA	B	500	28.98	n/a	n/a	25.00 5.0
AO,CRT	01/10	PATTEN & PATTEN	025	DBA	B	500	28.98	n/a	n/a	25.00 5.0
AO,CXL	01/10	PATTEN & PATTEN	025	EWZ	B	1,000	61.27	n/a	n/a	50.00 5.0
AO,CRT	01/10	PATTEN & PATTEN	025	EWZ	B	1,000	61.27	n/a	n/a	50.00 5.0
AO,CRT	01/11	MA CAPITAL MGMT/MELLON ADV	041	PVH	B	2,000	70.75	n/a	12-Jan	100.00 5.0
AO,CRT	01/10	PATTEN & PATTEN	025	QQQ	B	1,000	58.24	n/a	n/a	50.00 5.0
AO,CXL	01/10	PATTEN & PATTEN	025	QQQ	B	1,000	58.24	n/a	n/a	50.00 5.0
TOTAL (AO, CXL, CRT) :										100.00

TOTAL (Trade Date) :	29,986.04
TOTAL (AO, CXL, CRT) :	100.00

TOTAL (RUN DATE) / NFS :	30,086.04
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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 12-Jan.
NONE

MRI Securities without Trade Activity on 12-Jan.
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)