



Daily Compliance Activity Report

Trade Date: 11/27/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	AAPL	S	3	586.49	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	AAPL	B	75	587.19	n/a	n/a	3.75	5.0
MERRILL ASSET/BLACKROCK	297	ACE	S	13,900	78.91	n/a	n/a	556.00	0.0
CATAPULT	040	ADT	B	6,932	44.98	n/a	n/a	277.28	0.0
ROYCE TRADING	031	AEO	B	14,500	19.52	n/a	2-Dec	725.00	0.0
f HARALAMBOS EFSTATHI	FID	AGCO	B	300	45.65	n/a	n/a	0.00	0.0
GLENHILL CAPITAL	036	ANN	B	16,600	33.01	n/a	n/a	830.00	0.0
B BUCK CAPITAL MGMT		AXL	B	55,000	10.48	n/a	2-Nov	non-brg	4.0
BESSEMER INVESTMENT	085	AZO	S	200	381.46	n/a	n/a	8.00	4.0
MASTERS CAPITAL MANAGE	025	BAC	B	150,000	9.69	n/a	19-Nov	4,500.00	3.0
B BUCK CAPITAL MGMT		CAKE	C	30,000	34.98	n/a	25-Oct	non-brg	4.0
CATAPULT	040	CHRW	B	7,468	61.47	n/a	n/a	298.72	0.0
GLENHILL CAPITAL	036	COH	SS	40,000	58.48	n/a	5-Nov	2,000.00	0.0
B BUCK CAPITAL MGMT		CROX	S	100,800	13.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	S	50,000	13.24	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KAREN F LEDDY	FID	CROX	B	1200	13.33	n/a	n/a	0.00	0.0
	BTG PACTUAL	040	CSCO	B	15,000	19.03	n/a	27-Nov	450.00	3.0
	CASTLEROCK	040	CSCO	B	10,000	18.96	n/a	27-Nov	400.00	0.0
ß	BUCK CAPITAL MGMT		DECK	S	100,000	35.85	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DECK	S	55,300	36.35	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DECK	S	70,000	36.27	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DG	S	20,000	50.32	n/a	20-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		DG	S	28,000	49.70	n/a	20-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		DG	S	40,000	49.98	n/a	20-Nov	non-brg	4.0
	PZENA INV ADV	044	DLPH	S	550	33.66	n/a	n/a	19.25	0.0
ß	BUCK CAPITAL MGMT		DLTR	S	170,000	41.26	n/a	20-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		DLTR	S	35,000	42.38	n/a	20-Nov	non-brg	4.0
	NOMURA/ANGEL LANE PRINCIPAL	040	DRI	SS	25,000	53.02	n/a	26-Nov	750.00	3.0
f	DANIEL JORDAN COHEN	FID	ESSX	B	750	3.35	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	ESSX	S	2925	3.37	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	025	ETN	B	50	51.07	n/a	31-Oct	2.50	5.0
f	JOHN MICHAEL ZOLIDIS	FID	EXPR	B	200	12.88	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	FBC	B	400	16.80	n/a	n/a	0.00	0.0
	PZENA INV ADV	044	FBHS	S	400	28.93	n/a	n/a	14.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		FINL	S	30,000	20.56	n/a	28-Sep	non-brg	4.0
ROYCE TRADING	031	FINL	B	9,000	20.35	n/a	28-Sep	450.00	0.0
CATAPULT	040	FIVE	S	6,533	28.07	n/a	21-Sep	261.32	0.0
OZ MGMT	040	F	C	115,021	11.21	n/a	15-Nov	3,450.63	0.0
B BUCK CAPITAL MGMT		GCO	S	10,000	59.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	S	20,000	59.89	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	33.38	n/a	18-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	33.38	n/a	18-Oct	non-brg	4.0
PATTEN & PATTEN	025	GLW	B	1,325	12.27	n/a	27-Nov	66.25	5.0
TRUSTCO/SUNTRUST (CEREDEX)	273	GLW	S	216,200	12.21	n/a	27-Nov	6,918.40	0.0
B BUCK CAPITAL MGMT		GM	B	25,000	25.13	n/a	15-Nov	non-brg	4.0
f KAREN F LEDDY	FID	GNRC	B	700	33.85	n/a	n/a	0.00	0.0
SCOPUS FUND	041	GNTX	B	45,000	17.30	n/a	24-Oct	1,800.00	0.0
PZENA INV ADV	044	GS	S	100	120.50	n/a	19-Nov	3.50	0.0
PROSPECTOR PARTNERS LLC	036	HSP	B	10,000	29.12	n/a	26-Nov	400.00	4.0
ADAGE CAPITAL MGMT	030	HUBB	B	33,904	83.72	n/a	n/a	1,017.12	3.0
ARSENAL ASSET MANAGEMENT	028	HUBB	S	10,000	83.69	n/a	n/a	400.00	0.0
PATTEN & PATTEN	025	IAU	S	225	16.94	n/a	n/a	11.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	ICON	S	250	19.60	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	IJR	B	30	75.31	n/a	n/a	1.50	5.0
PATTEN & PATTEN	025	INTC	B	125	20.05	n/a	n/a	6.25	5.0
ARMATURE CAPITAL	041	IP	B	25,000	36.12	n/a	25-Oct	1,000.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	70,000	36.05	n/a	25-Oct	3,500.00	5.0
HIGHBRIDGE CAP	041	IP	B	28,000	36.32	n/a	25-Oct	840.00	3.0
KAM ADVISORS LLC	041	IP	B	120,000	36.29	n/a	25-Oct	3,600.00	0.0
SCOPUS FUND	041	IP	B	25,000	36.34	n/a	25-Oct	1,000.00	0.0
f PATRICK O'GRADY	FID	ISLE	B	190	5.48	n/a	n/a	0.00	0.0
PZENA INV ADV	044	IVZ	S	575	24.76	n/a	2-Mar	20.13	0.0
B BUCK CAPITAL MGMT		IWF	C	45,000	65.28	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		JCI	B	19,000	26.92	n/a	31-Oct	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	JCI	S	60,000	27.00	n/a	31-Oct	1,800.00	3.0
BESSEMER INVESTMENT	085	JEC	S	536	40.91	n/a	n/a	21.44	4.0
f JOHN MICHAEL ZOLIDIS	FID	JEF	S	1000	15.96	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	JNJ	SS	80,000	69.01	n/a	n/a	4,000.00	0.0
PATTEN & PATTEN	025	JPM	B	50	40.72	n/a	19-Nov	2.50	5.0
B BUCK CAPITAL MGMT		JWN	S	50,000	54.18	n/a	26-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO OF THE WEST/NY	040	KFN	B	10,186	10.34	n/a	n/a	407.44	0.0
TRUST CO/COWEN/CALF.	040	KFN	B	463	10.34	n/a	n/a	18.52	0.0
B BUCK CAPITAL MGMT		KSS	S	50,000	51.56	n/a	26-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		LEA	B	9,000	42.68	n/a	31-Oct	non-brg	4.0
TROUBH PART	070	LEA	S	7,500	42.67	n/a	31-Oct	375.00	5.0
PATTEN & PATTEN	025	LF	B	2,000	8.84	n/a	n/a	100.00	5.0
PZENA INV ADV	044	LLL	S	300	76.37	n/a	n/a	10.50	0.0
BALYASNY ASSET MGMT	044	LVS	S	50,000	46.29	n/a	13-Jun	2,500.00	0.0
PZENA INV ADV	044	MAS	S	1,300	16.87	n/a	n/a	45.50	0.0
f DAVID GEORGE BUCK	FID	MRK	B	2000	44.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		M	S	50,000	39.78	n/a	26-Nov	non-brg	4.0
GLG PARTNERS	034	M	B	31,341	39.62	n/a	26-Nov	940.23	0.0
J. GOLDMAN	028	M	SS	10,000	40.00	n/a	26-Nov	400.00	4.0
CORNERSTONE	030	NKE	B	47,364	97.05	n/a	28-Sep	1,420.92	0.0
f HARALAMBOS EFSTATHI	FID	NVDA	S	1500	12.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PAG	S	2,504	28.38	n/a	5-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		PAG	S	50,000	28.64	n/a	5-Nov	non-brg	4.0
PATTEN & PATTEN	025	PHB	B	100	19.08	n/a	n/a	5.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	PKB	B	150	16.72	n/a	n/a	7.50	5.0
⌘ BUCK CAPITAL MGMT		PLCE	S	14,000	48.53	n/a	27-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	25,000	48.42	n/a	27-Nov	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	PRU	S	14,600	51.52	n/a	n/a	584.00	0.0
LEVIN CAPITAL STRATEGIES	041	PVH	S	25,300	110.18	n/a	1-Nov	759.00	0.0
⌘ BUCK CAPITAL MGMT		RH	S	23,400	36.44	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RH	S	23,400	36.44	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RH	S	23,400	36.44	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	RKT	S	15,500	64.38	n/a	5-Nov	465.00	3.0
NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	B	50,000	50.83	n/a	26-Nov	1,500.00	3.0
ROSEDALE CAPITAL	046	STLD	B	10,000	12.53	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL	070	STT	B	20,600	44.61	n/a	19-Nov	824.00	0.0
KLEINHEINZ CAP PART	031	SU	B	50,000	33.40	n/a	n/a	2,500.00	5.0
Ⓕ DAVID GEORGE BUCK	FID	TEA	B	3000	14.94	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TGT	S	20,000	63.09	n/a	27-Nov	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	TGT	B	40,000	62.79	n/a	27-Nov	1,200.00	3.0
OZ MGMT	040	TGT	B	50,000	63.03	n/a	27-Nov	1,500.00	0.0
⌘ BUCK CAPITAL MGMT		TJX	S	20,000	43.44	n/a	26-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	TJX	B	46,000	43.35	n/a	26-Nov	1,840.00	0.0
PATTEN & PATTEN	025	TRN	B	75	31.35	n/a	n/a	3.75	5.0
BESSEMER INVESTMENT	085	T	S	3,295	33.76	n/a	n/a	131.80	4.0
⚡ BUCK CAPITAL MGMT		UAL	B	50,000	20.29	n/a	26-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URI	B	10,000	39.75	n/a	17-Apr	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	VLO	C	10,000	31.34	n/a	n/a	300.00	0.0
SAC CHICAGO ANDREW	031	WMT	B	37,861	69.88	n/a	15-Nov	1,325.14	3.5
VISIUM/BALY BOBBY	044	WPI	SS	24,000	87.36	n/a	26-Nov	1,200.00	0.0
PRIMECAP MGMT	084	WSH	B	1,900	34.05	n/a	n/a	76.00	0.0
PATTEN & PATTEN	025	XLV	B	50	39.66	n/a	n/a	2.50	5.0
⚡ BUCK CAPITAL MGMT		XLY	C	60,000	46.97	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	025	XOM	B	15	87.62	n/a	n/a	0.75	5.0
⚡ BUCK CAPITAL MGMT		XPO	S	10,400	17.00	n/a	n/a	non-brg	4.0
TOTAL (Trade Date) :								62,247.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/26	ROYCE TRADING	031	AEO	B	8,100	19.45	n/a	2-Dec	405.00 0.0
AO,CRT	11/26	ROYCE TRADING	031	AEO	B	8,100	19.45	n/a	2-Dec	405.00 0.0
AO,CRT	11/26	SIMMONS VENTURES	041	AEO	SS	10,000	19.59	n/a	2-Dec	400.00 4.0
AO,CXL	11/26	SIMMONS VENTURES	041	AEO	SS	10,000	19.59	n/a	2-Dec	500.00 5.0
AO,CXL	11/26	LISTED ERR	099	M	B	31,444	39.90	n/a	26-Nov	0.00 0.0
AO,CXL	11/26	ACK ASSET	028	NCS	B	10,000	12.53	n/a	n/a	300.00 0.0
AO,	11/26	ACK ASSET	028	NCS	B	4,110	12.53	n/a	n/a	123.30 0.0
AO,CRT	11/26	ACK ASSET	028	NCS	B	5,890	12.53	n/a	n/a	176.70 3.0
TOTAL (AO, CXL, CRT) :										-100.00

TOTAL (Trade Date) :	62,247.34
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS :	62,147.34
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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 27-Nov.
NONE

MRI Securities without Trade Activity on 27-Nov.
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)