



# Daily Compliance Activity Report

Trade Date: 11/23/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AEO	B	30,000	12.97	n/a	4-Nov	non-brg	4.0
SURVEYOR CAPITAL	041	AGCO	SS	8,000	41.68	n/a	26-Oct	240.00	3.0
B BUCK CAPITAL MGMT		ANF	B	11,200	44.65	n/a	17-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	B	20,000	45.09	n/a	17-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		APC	B	1,400	72.59	n/a	16-Nov	non-brg	4.0
f MANNY I KORMAN	FID	APC	S	10000	72.66	n/a	16-Nov	0.00	0.0
f ALANA J A MADIGAN-SI	FID	ARCO	B	200	20.05	n/a	31-Oct	0.00	0.0
SIMMONS VENTURES	041	ARO	B	5,000	15.12	n/a	4-Nov	200.00	4.0
ARSENAL ASSET MANAGEMENT	028	ASH	B	5,000	49.80	n/a	22-Nov	200.00	4.0
B BUCK CAPITAL MGMT		AXP	B	10,800	45.09	n/a	23-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		BAC	B	97,100	5.20	n/a	23-Nov	non-brg	3.0
B BUCK CAPITAL MGMT		BBBY	B	20,000	59.00	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	BIDU	S	1000	122.79	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	BIG	B	2,000	36.26	n/a	3-Nov	100.00	5.0
RBC CAPITAL MARKETS	040	BIG	B	10,000	36.71	n/a	3-Nov	400.00	4.0
B BUCK CAPITAL MGMT		BKS	S	50,000	16.89	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		BKS	S	50,000	16.89	n/a	n/a	non-brg 4.0
	MILLRACE FUND LP	028	BWA	SS	2,000	62.23	n/a	9-Nov	80.00 4.0
	COPIA CAPITAL	031	CBE	S	20,284	52.40	n/a	21-Oct	709.95 3.5
	ARSENAL ASSET MANAGEMENT	028	CMI	SS	10,000	87.96	n/a	26-Oct	400.00 4.0
ß	BUCK CAPITAL MGMT		COF	B	1,300	40.10	n/a	23-Nov	non-brg 4.0
ß	BUCK CAPITAL MGMT		COH	B	8,200	58.81	n/a	26-Oct	non-brg 4.0
	CYPRESS CAP MGMT LLC	040	COH	B	7,300	59.25	n/a	26-Oct	292.00 4.0
	CRAMER ROSENTHAL/SCOTT	070	COLM	C	10,800	46.41	n/a	n/a	432.00 4.0
	HAMILTON CAP PART FIN	031	CRBC	S	17,550	9.84	n/a	n/a	702.00 4.0
f	JONATHAN RICHARD HAR	FID	CVGI	B	200	9.09	n/a	n/a	0.00 0.0
ß	BUCK CAPITAL MGMT		C	B	21,400	23.45	n/a	23-Nov	non-brg 4.0
ß	BUCK CAPITAL MGMT		DAL	B	6,900	7.25	n/a	n/a	non-brg 3.0
ß	BUCK CAPITAL MGMT		DDS	S	15,000	48.65	n/a	n/a	non-brg 2.0
ß	BUCK CAPITAL MGMT		DDS	S	15,000	48.65	n/a	n/a	non-brg 2.0
ß	BUCK CAPITAL MGMT		DDS	S	35,000	48.73	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		DDS	S	35,000	48.73	n/a	n/a	non-brg 4.0
	SURVEYOR CAPITAL	041	DE	B	5,000	74.20	n/a	23-Nov	150.00 3.0
	BMO NESBITT BURNS	041	DG	S	2,000	39.03	n/a	19-Oct	100.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		DHI	B	4,600	10.94	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DVN	B	800	60.22	n/a	10-Nov	non-brg	4.0
CAISSE DEPOT PLACEMENT Q	295	ERTS	B	20,000	21.31	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT		ESV	B	1,000	48.37	n/a	n/a	non-brg	4.0
ANDREW LONGLEY TRUS	FID	FEX	B	40	25.56	n/a	n/a	0.00	0.0
CLIFFORD LONGLEY TR	FID	FEX	B	40	25.56	n/a	n/a	0.00	0.0
JONATHAN LONGLEY TR	FID	FEX	B	40	25.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FINL	B	2,700	19.05	n/a	23-Sep	non-brg	4.0
BUCK CAPITAL MGMT		FL	B	2,300	21.59	n/a	18-Nov	non-brg	4.0
BUCK CAPITAL MGMT		FL	B	20,000	21.45	n/a	18-Nov	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	132,625	21.50	n/a	18-Nov	3,978.75	3.0
BUCK CAPITAL MGMT		FOSL 3 C90	SS	47	7.80	n/a	n/a	non-brg	300.0
OHIO PERS	047	FRX	B	34,230	28.90	n/a	21-Nov	1,026.90	3.0
BUCK CAPITAL MGMT		GCO	S	10,000	55.98	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	B	10,000	18.31	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		GIII	B	10,000	18.49	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GS	B	5,700	87.95	n/a	23-Nov	non-brg	4.0
DAVID GEORGE BUCK	FID	GS	S	1000	88.44	n/a	23-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		HAL	B	1,600	32.19	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	108,000	23.45	n/a	3-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	72,500	23.44	n/a	3-Nov	non-brg	0.8
WEINTRAUB CAPITAL MGT.	040	HES	SS	50,000	56.42	n/a	n/a	2,000.00	4.0
CYPRESS CAP MGMT LLC	040	HGG	SS	15,100	14.33	n/a	n/a	604.00	4.0
⚡ MANNY I KORMAN	FID	HOT	S	6000	44.66	n/a	13-Jun	0.00	0.0
⚡ BUCK CAPITAL MGMT		HTZ	B	8,800	10.32	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	HXL	SS	20,000	22.34	n/a	25-Oct	1,000.00	5.0
COPIA CAPITAL	031	JBHT	B	32,371	42.87	n/a	n/a	1,132.99	3.5
RAIL-SPLITTER	031	JCI	B	140,000	28.10	n/a	21-Nov	7,000.00	5.0
MFP INVESTORS	085	JNS	B	10,000	5.90	n/a	n/a	400.00	4.0
MILLENNIUM-ANDEW	031	JOYG	B	5,000	79.89	n/a	14-Sep	300.00	6.0
⚡ BUCK CAPITAL MGMT		JPM	B	17,500	28.79	n/a	23-Nov	non-brg	4.0
ROSEDALE CAPITAL	046	KEG	B	10,000	12.70	n/a	2-Nov	400.00	4.0
COPIA CAPITAL	031	LEA	B	30,792	40.21	n/a	31-Oct	1,077.73	3.5
⚡ BUCK CAPITAL MGMT		LEN	B	3,100	16.50	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LL	B	20,000	15.32	n/a	n/a	non-brg	4.0
COPIA CAPITAL	031	MDR	C	60,000	10.32	n/a	n/a	2,100.01	3.5
f JASON ERIC COHEN	FID	MINI	B	120	16.67	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MSMSBCD	C	458,435	89.69	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCD	SS	458,435	89.69	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	4,360,694	89.42	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCM	SS	4,360,694	89.42	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	SS	85,000	91.14	n/a	n/a	non-brg	7.3
B BUCK CAPITAL MGMT		MS	B	38,600	13.01	n/a	23-Nov	non-brg	4.0
f KATHERINE L O'GORMAN	FID	MWO	B	500	19.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MW	C	20,000	26.96	n/a	n/a	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	MW	SS	5,000	26.92	n/a	n/a	0.00	0.0
SCOPUS FUND	041	MW	SS	27,000	26.98	n/a	n/a	1,080.00	4.0
SIMMONS VENTURES	041	M	B	5,000	29.70	n/a	10-Nov	200.00	4.0
COPIA CAPITAL	031	ODFL	C	40,892	35.67	n/a	n/a	1,431.23	3.5
WEISS PECK - ROBECO INV		040	PAG	S	34,510	18.69	n/a	3-Nov	1,725.50 5.0
B BUCK CAPITAL MGMT		PCAR	B	1,400	37.21	n/a	26-Oct	non-brg	4.0
f MANNY I KORMAN	FID	PCAR	S	10000	37.40	n/a	26-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		PIR	SS	100,000	12.12	n/a	n/a	non-brg 4.0
DAVID GEORGE BUCK	FID	PM	B	1000	71.50	n/a	n/a	0.00 0.0
CHESAPEAKE PARTNERS	028	PSS	B	25,000	11.50	n/a	n/a	750.00 3.0
CLIFFORD A LONGLEY	FID	P	B	5	10.51	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		RCL	B	2,100	24.22	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		RCL	B	20,900	23.93	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	RL	B	5,000	140.36	n/a	11-Nov	150.00 3.0
BUCK CAPITAL MGMT		RRR	B	5,000	10.22	n/a	21-Oct	non-brg 4.0
BUCK CAPITAL MGMT		R	B	1,000	48.19	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SHOO	B	10,000	32.00	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SLB	B	800	66.82	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SLM	B	4,100	12.17	n/a	22-Nov	non-brg 4.0
BUCK CAPITAL MGMT		SODA 12 C40	C	1,000	0.07	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		SODA	S	40,000	28.04	n/a	n/a	non-brg 4.0
JONATHAN RICHARD HAR	FID	SRI	S	1975	6.47	n/a	n/a	0.00 0.0
ROARING BLUE LION MGMT	031	SSI	B	11,200	11.90	n/a	n/a	448.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		STI	B	29,700	16.83	n/a	n/a	non-brg	4.0
HAMILTON CAP PART FIN	031	STSA	B	6,000	14.87	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT		STT	B	1,400	36.73	n/a	23-Nov	non-brg	4.0
BUCK CAPITAL MGMT		SWN	B	1,400	36.08	n/a	10-Nov	non-brg	4.0
REUBEN D DVORETSKY	FID	TIP	S	16	117.12	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	TNA	S	5000	36.61	n/a	n/a	0.00	0.0
REUBEN D DVORETSKY	FID	TNK	B	570	3.75	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	TWGP	SS	31,700	20.01	n/a	n/a	1,268.00	4.0
COPIA CAPITAL	031	WMB	SS	50,000	29.46	n/a	n/a	1,750.01	3.5
MACQUARIE INVESTMENT MGMT.	040	WMB	B	3,500	29.48	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		WNC	B	8,000	6.34	n/a	n/a	non-brg	3.0
CYPRESS CAP MGMT LLC	040	WSM	B	29,600	35.28	n/a	n/a	1,184.00	4.0
SCOPUS FUND	041	WSM	SS	29,978	35.41	n/a	n/a	1,199.12	4.0
BUCK CAPITAL MGMT		WYNN	SS	10,000	107.82	n/a	13-Jun	non-brg	4.0
MANNY I KORMAN	FID	XLI	S	11000	31.50	n/a	n/a	0.00	0.0
JONATHAN RICHARD HAR	FID	XPO	S	550	9.08	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIMMONS VENTURES	041	ZQK	B	20,000	2.88	n/a	10-May	600.00	3.0
f CAROL ANNE LACHENAU	FID		B	5000	106.40	n/a	n/a	0.00	0.0
f CHRISTINA G ROGERS T	FID		B	5000	106.40	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID		B	5000	95.22	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							37,652.19		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/21	STELLIAM INV ADV	034	NWSA	B	40,000	16.06	n/a	n/a	2000.00 5.0
AO,CRT	11/21	STELLIAM INV ADV	034	NWSA	B	40,000	16.06	n/a	n/a	2000.00 5.0
AO,CRT	11/21	STELLIAM INV ADV	034	PLD	B	25,000	26.24	n/a	n/a	1250.00 5.0
AO,CXL	11/21	STELLIAM INV ADV	034	PLD	B	25,000	26.24	n/a	n/a	1250.00 5.0
AO,CRT	11/22	BROADARCH CAP/OLD NEWC	070	XLE	S	1,000	66.09	n/a	n/a	40.00 4.0
AO,CXL	11/22	BROADARCH CAP/OLD NEWC	070	XLE	S	1,000	66.09	n/a	n/a	40.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	37,652.19
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>37,652.19</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	11/22	BUCK CAPITAL MGMT.	MSMSBCD	SS	458,435	91.19	n/a	n/a	0.00
CRT	11/22	BUCK CAPITAL MGMT	MSMSBCD	SS	458,435	91.19	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 23-Nov.  
NONE

MRI Securities without Trade Activity on 23-Nov.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 2%

**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)**