

Daily Compliance Activity Report Trade Date: 09/21/2011

Potential ANALYST TRADE Violations: 0 Watch List ACTIVITY ALERT: 0

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Account		Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
BUCK CAPITAL MGMT		1913 НК	В	200,000	5.08	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	025	AB	S	600	15.15	n/a	n/a	30.00	5.0
SUN AMERICA ASSET MGMT	030	ADBE	S	1,200	25.24	n/a	n/a	48.00	4.0
SUN AMERICA ASSET MGMT	030	AET	S	65 , 329	39.93	n/a	n/a	2,613.16	4.0
PATTEN & PATTEN	025	AFL	В	500	34.12	n/a	n/a	25.00	5.0
GEOSPHERE CAPITAL MGMT	299	AUY	В	94,600	16.73	n/a	n/a	2,838.00	3.0
ROYCE TRADING	031	AVX	В	5,000	12.00	n/a	n/a	250.00	5.0
NEWLAND CAPITAL MGT	025	CFX	S	32,500	23.74	n/a	n/a	1,300.00	4.0
BALLAST CAP	040	CHS	SS	15,000	12.95	n/a	5-Feb	450.00	3.0
BUCK CAPITAL MGMT	001	CHS	SS	20,000	12.65	n/a	5-Feb	600.00	3.0
MANNY I KORMAN	FID	CPN	s	364	15.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CSTR	S	20,000	44.16	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CSTR	S	30,000	44.16	n/a	n/a	non-brg	4.0
CATAPULT CAP/DEFRANCO	099	CSX	В	15 , 090	19.07	n/a	n/a	603.60	4.0
LISTED ERR	099	CSX	В	910	19.07	n/a	n/a	0.00	0.0
LISTED ERR	099	CSX	S	910	18.89	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT PATTEN & PATTEN SUN AMERICA ASSET MGMT SUN AMERICA ASSET MGMT PATTEN & PATTEN GEOSPHERE CAPITAL MGMT ROYCE TRADING NEWLAND CAPITAL MGT BALLAST CAP BUCK CAPITAL MGMT MANNY I KORMAN BUCK CAPITAL MGMT CATAPULT CAP/DEFRANCO LISTED ERR	BUCK CAPITAL MGMT PATTEN & PATTEN SUN AMERICA ASSET MGMT SUN AMERICA ASSET MGMT PATTEN & PATTEN O25 GEOSPHERE CAPITAL MGMT PAUCE TRADING NEWLAND CAPITAL MGT BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT CATAPULT CAP/DEFRANCO 099 LISTED ERR O25	BUCK CAPITAL MGMT PATTEN & PATTEN SUN AMERICA ASSET MGMT PATTEN & PATTEN SUN AMERICA ASSET MGMT PATTEN & PATTEN O25 AFL SUN AMERICA ASSET MGMT PATTEN & PATTEN CESTR CATAPULT CAP/DEFRANCO 199 CSX 1913 HK 1913 HK 1913 HK 1913 HK 1914 HK 1925 AFL 030 AET 030 AET 031 AVX AVX AVX CESTR CSTR CSTR CSTR CSTR COSS O99 CSX O99 CSX	BUCK CAPITAL MGMT PATTEN & PATTEN PATTEN & PATTEN SUN AMERICA ASSET MGMT PATTEN & PATTEN SUN AMERICA ASSET MGMT PATTEN & PATTEN SUN AMERICA ASSET MGMT PATTEN & PATTEN P	Account RR# Symbol B/S Shares BUCK CAPITAL MGMT 1913 HK B 200,000 PATTEN & PATTEN 025 AB S 600 SUN AMERICA ASSET MGMT 030 ADBE S 1,200 SUN AMERICA ASSET MGMT 030 AET S 65,329 PATTEN & PATTEN 025 AFL B 500 GEOSPHERE CAPITAL MGMT 299 AUY B 94,600 ROYCE TRADING 031 AVX B 5,000 NEWLAND CAPITAL MGT 025 CFX S 32,500 BALLAST CAP 040 CHS SS 15,000 BUCK CAPITAL MGMT 001 CHS SS 20,000 MANNY I KORMAN FID CPN S 364 BUCK CAPITAL MGMT CSTR S 20,000 CATAPULT CAP/DEFRANCO 099 CSX B 15,090 LISTED ERR 099 CSX B 910	Account RR# Symbol B/S Shares Price BUCK CAPITAL MGMT 1913 HK B 200,000 5.08 PATTEN & PATTEN 025 AB S 600 15.15 SUN AMERICA ASSET MGMT 030 ADBE S 1,200 25.24 SUN AMERICA ASSET MGMT 030 AET S 65,329 39.93 PATTEN & PATTEN 025 AFL B 500 34.12 GEOSPHERE CAPITAL MGMT 299 AUY B 94,600 16.73 ROYCE TRADING 031 AVX B 5,000 12.00 NEWLAND CAPITAL MGMT 025 CFX S 32,500 23.74 BALLAST CAP 040 CHS SS 15,000 12.95 BUCK CAPITAL MGMT 001 CHS SS 20,000 12.65 MANNY I KORMAN FID CPN S 364 15.34 BUCK CAPITAL MGMT CSTR S 20,000 44.16 BUCK CAPITAL MGMT CSTR S 30,000 44.16	Account RR# Symbol B/S Shares Price MRI BUCK CAPITAL MGMT 1913 HK B 200,000 5.08 n/a PATTEN & PATTEN 025 AB S 600 15.15 n/a SUN AMERICA ASSET MGMT 030 ADBE S 1,200 25.24 n/a SUN AMERICA ASSET MGMT 030 AET S 65,329 39.93 n/a PATTEN & PATTEN 025 AFL B 500 34.12 n/a GEOSPHERE CAPITAL MGMT 299 AUY B 94,600 16.73 n/a ROYCE TRADING 031 AVX B 5,000 12.00 n/a NEWLAND CAPITAL MGT 025 CFX S 32,500 23.74 n/a BUCK CAPITAL MGMT 01 CHS SS 15,000 12.95 n/a MANNY I KORMAN FID CPN S 364 15.34 n/a BUCK CAPITAL MGMT CSTR S 20,000 44.16 n/a BUCK CAPITAL MGMT	Account RR# Symbol B/S Shares Price MRI Research BUCK CAPITAL MGMT 1913 HK B 200,000 5.08 n/a n/a PATTEN & PATTEN 025 AB S 600 15.15 n/a n/a SUN AMERICA ASSET MGMT 030 ADBE S 1,200 25.24 n/a n/a SUN AMERICA ASSET MGMT 030 AET S 65,329 39.93 n/a n/a PATTEN & PATTEN 025 AFL B 500 34.12 n/a n/a GEOSPHERE CAPITAL MGMT 299 AUY B 94,600 16.73 n/a n/a ROYCE TRADING 031 AVX B 5,000 12.00 n/a n/a NEWLAND CAPITAL MGT 025 CFX S 32,500 23.74 n/a n/a BUCK CAPITAL MGMT 001 CHS SS 20,000 12.65 n/a 5-Feb MANNY I KORMAN FID CPN S 364 15.34 n/a	BUCK CAPITAL MGMT 1913 HK B 200,000 5.08 n/a n/a non-brg PATTEN & PATTEN 025 AB S 600 15.15 n/a n/a 30.00 SUN AMERICA ASSET MCMT 030 ABBE S 1,200 25.24 n/a n/a 48.00 SUN AMERICA ASSET MCMT 030 AET S 65,329 39.93 n/a n/a 2,613.16 PATTEN & PATTEN 025 AFL B 500 34.12 n/a n/a 25.00 GEOSPHERE CAPITAL MCMT 299 AUY B 94,600 16.73 n/a n/a 2,838.00 ROYCE TRADING 031 AVX B 5,000 12.00 n/a n/a 250.00 NEWLAND CAPITAL MGT 025 CFX S 32,500 23.74 n/a n/a 1,300.00 BALLAST CAP 040 CHS SS 15,000 12.95 n/a 5-Feb 450.00 BUCK CAPITAL MGMT 010 CHS SS 20,000 12.65 n/a 5-Feb 600.00 MANNY I KORMAN FID CPN S 364 15.34 n/a n/a n/a 0.00 BUCK CAPITAL MGMT CSTR S 20,000 44.16 n/a n/a non-brg BUCK CAPITAL MGMT CSTR S 30,000 44.16 n/a n/a non-brg BUCK CAPITAL MGMT CSTR S 30,000 44.16 n/a n/a non-brg BUCK CAPITAL MGMT CSTR S 30,000 44.16 n/a n/a non-brg BUCK CAPITAL MGMT CSTR S 30,000 44.16 n/a n/a non-brg BUCK CAPITAL MGMT CSTR S 30,000 44.16 n/a n/a n/a non-brg BUCK CAPITAL MGMT CSTR S 30,000 44.16 n/a n/a n/a non-brg BUCK CAPITAL MGMT OSS B 15,000 19.07 n/a n/a 603.60 LISTED ERR 099 CSX B 15,000 19.07 n/a n/a 603.60 LISTED ERR

	Account		Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
		RR#		, -						,
	PROSPECTOR PARTNERS LLC	ARTNERS LLC 036 CW		В	10,000	28.12	n/a	n/a	400.00	4.0
ß	BUCK CAPITAL MGMT DDS		S	30,000	47.68	n/a	n/a	non-brg	4.0	
	MACQUARIE INVESTMENT MGMT	. 040	DD	В	18,500	45.63	n/a	16-Sep	0.00	0.0
f	JONATHAN RICHARD HAR		DGP	В	75	65.82	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		DSW	S	20,000	46.16	n/a	11-Feb	non-brg	4.0
	BARROW HANLEY MEWHINNEY	031	EMR	В	21,700	45.23	n/a	n/a	759.50	3.5
	MACQUARIE INVESTMENT MGMT	. 040	ETN	В	5,000	36.33	n/a	31-Aug	0.00	0.0
	TALPION LLC	040	EXPR	S	10,000	20.29	n/a	n/a	400.00	4.0
	PATTEN & PATTEN	025	FCX	В	1,300	36.78	n/a	n/a	65.00	5.0
	CATAPULT	040	FDX	В	4,520	73.93	n/a	n/a	180.80	4.0
ß	BUCK CAPITAL MGMT		FINL	S	150,000	19.13	n/a	21-Sep	non-brg	4.0
ß	BUCK CAPITAL MGMT		FINL	S	50,000	19.18	n/a	21-Sep	non-brg	4.0
	BALYASNY ASSET MGMT	044	FL	В	50,000	21.17	n/a	19-Aug	2,500.00	5.0
a	BUCK CAPITAL MGMT		GIII	В	75,000	23.26	n/a	n/a	non-brg	4.0
f	EDWARD W WHEELER	FID	GLW	В	15000	13.13	n/a	8-Sep	0.00	0.0
f	DAVID GEORGE BUCK	FID	нвс	S	2000	39.97	n/a	n/a	0.00	0.0

	Account	RR#	Symbol B/S		Shares	Price	MRI	Research	Comm.	Shr.
	RAIL-SPLITTER	031	HBI	SS	29,200	26.94	n/a	21-Jul	1,460.00	5.0
f	DAVID GEORGE BUCK	FID	HDV	В	1000	50.95	n/a	n/a	0.00	0.0
	BARROW HANLEY MEWHINNEY	031	HPQ	S	73,400	22.28	n/a	n/a	2,569.00	3.5
	NORTHWESTERN MUTUAL LIFE	047	HYG	В	72 , 900	86.82	n/a	n/a	1,458.00	2.0
f	JASON ERIC COHEN	FID	IEF	В	3	0.95	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	ILMN	В	50	0.24	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	ILMN	S	50	1.18	n/a	n/a	0.00	0.0
	ADAGE CAPITAL MGMT	030	JWN	SS	42,500	47.09	n/a	2-Sep	1,275.00	3.0
f	DAVID GEORGE BUCK	FID	LGND	В	1000	15.05	n/a	n/a	0.00	0.0
	BARROW HANLEY MEWHINNEY	098	LLL	S	15,800	63.18	n/a	n/a	553.00	3.5
f	ALANA J A MADIGAN-SI	FID	LPX	В	800	5.80	n/a	5-Aug	0.00	0.0
	PIONEER PATH	028	LUV	В	60,000	8.32	n/a	n/a	1,800.00	3.0
ß	BUCK CAPITAL MGMT		LVS	В	20,000	49.65	n/a	13-Jun	non-brg	4.0
	PATTEN & PATTEN	025	MRK	S	1,150	32.52	n/a	n/a	57.50	5.0
	BARROW HANLEY MEWHINNEY	031	MSFT	В	60,500	26.50	n/a	n/a	2,117.50	3.5
ß	BUCK CAPITAL MGMT		MW	s	130,263	27.93	n/a	n/a	non-brg	4.0

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	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	•
ß	BUCK CAPITAL MGMT		MW	S	19,737	27.93	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		MW	S	43,421	27.76	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		MW	S	6,579	27.76	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		M	s	50,000	27.33	n/a	2-Sep	non-brg	4.0
	SIMMONS VENTURES	041	М	В	5,000	26.52	n/a	2-Sep	200.00	4.0
	MACQUARIE INVESTMENT MGMT	. 040	NDN	В	5,000	19.93	n/a	16-Sep	0.00	0.0
	SMITH MGMT LLC	029	NDN	S	16,548	19.98	n/a	16-Sep	496.44	3.0
	WHITE PINE CAPITAL	030	NDN	S	5,000	19.98	n/a	16-Sep	250.00	5.0
	PROSPECTOR PARTNERS LLC	036	NP	В	10,000	15.03	n/a	20-Sep	400.00	4.0
ß	BUCK CAPITAL MGMT		PII	В	40,000	54.59	n/a	n/a	non-brg	4.0
	ASCEND PARTNERS	033	PVH	В	25,000	63.82	n/a	1-Sep	1,250.00	5.0
	PATTEN & PATTEN	025	SCJ	В	500	45.12	n/a	n/a	25.00	5.0
f	JONATHAN RICHARD HAR	FID	SGI	s	325	15.72	n/a	n/a	0.00	0.0
В	BUCK CAPITAL MGMT		SIG	S	100,000	36.00	n/a	n/a	non-brg	4.0
	TALPION LLC	040	SIX	S	8,100	31.06	n/a	n/a	324.00	4.0
f	ALANA J A MADIGAN-SI	FID	SLM	В	360	12.70	n/a	21-Sep	0.00	0.0
	MACQUARIE INVESTMENT MGMT	. 040	SPN	S	3,000	33.26	n/a	n/a	0.00	0.0
	FIRST NEW YORK NICK	029	S	В	10,000	3.25	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATT	EN 025	TEVA	В	200	37.04	n/a	19-Sep	10.00	5.0
PATTEN & PATT	EN 025	TEVA	S	500	37.21	n/a	19-Sep	25.00	5.0
BUCK CAPITAL !	MGMT	TGT	S	50,000	52.45	n/a	1-Sep	non-brg	4.0
DAVID GEORGE	BUCK FIL	TLT	В	1000	115.12	n/a	n/a	0.00	0.0
PATTEN & PATT	EN 025	TXN	S	500	27.45	n/a	n/a	25.00	5.0
MTB INV ADV	034	TZOO	S	28,538	28.35	n/a	n/a	1,426.90	5.0
MACQUARIE INV	ESTMENT MGMT. 04	0 UPL	В	5,000	33.97	n/a	14-Sep	0.00	0.0
BMO NESBITT B	JRNS 041	USG	В	65 , 000	8.07	n/a	22-Jul	3,250.00	5.0
BUCK CAPITAL I	MGMT	VECO	С	40,000	27.83	n/a	n/a	non-brg	4.0
STANDARD PACI	FIC CAPITAL 040	VIV	S	80,000	28.52	n/a	n/a	4,000.00	5.0
DAVID GEORGE	BUCK FIL	WAG	s	2000	37.16	n/a	n/a	0.00	0.0
DAVIDSON INV	ADV 035	WAG	S	90,416	37.13	n/a	n/a	3,616.64	4.0
JOHN MICHAEL	ZOLIDIS FIL	WYNN	В	100	149.50	n/a	13-Jun	0.00	0.0
CHARTER OAK	033	XHB	В	100,000	14.35	n/a	n/a	3,000.00	3.0
GEORGE WEISS	034	YUM	S	14,000	53.53	n/a	10-Aug	560.00	4.0

TOTAL (Trade Date): 43,712.04

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CRT	09/20	COOPER CREEK PART	028	BZ	S	50,000	6.72	n/a	n/a	1500.00	3.0
AO,CXL	09/20	COOPER CREEK PART	028	BZ	S	50,000	6.72	n/a	n/a	2000.00	4.0
AO,CRT	09/20	ROSEDALE CAPITAL	046	F	S	50,000	10.53	n/a	2-Sep	2000.00	4.0
AO,CXL	09/20	ROSEDALE CAPITAL	046	F	S	50,000	10.53	n/a	2-Sep	2500.00	5.0
AO, CRT	09/20	MTB INV ADV	034	RLOC	S	62,675	12.82	n/a	n/a	2507.00	4.0
AO,CXL	09/20	MTB INV ADV	034	RLOC	S	62 , 675	12.82	n/a	n/a	3133.75	5.0
AO,CRT	09/20	RBC CAPITAL MARKETS	040	TIN	В	34,396	31.29	n/a	13-Sep	1031.88	3.0
AO,CXL	09/20	RBC CAPITAL MARKETS	040	TIN	В	34,396	31.29	n/a	13-Sep	1375.84	4.0
AO,CRT	09/20	MTB INV ADV	034	TZOO	S	7,000	29.93	n/a	n/a	350.00	5.0
AO,CXL	09/20	MTB INV ADV	034	TZOO	S	7,000	29.93	n/a	n/a	350.00	5.0

COTAL (RUN DATE) / NFS:	41,741.33
COTAL (AO, CXL, CRT):	-1,970.71
COTAL (Trade Date):	43,712.04

BCM Cancel/Corrects and As-Of Trades

Туре	Date	Account	Symbol	B/S	Shares Price		MRI Research		Comm.¢/Shr.	
CRT	09/20	BUCK CAPITAL MGMT	FOSL	S	10,000 10	01.16	n/a	n/a	75.00	0.8

MRI Securities with Trade Activity on 21-Sep. NONE

MRI Securities without Trade Activity on 21-Sep. NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 1%

YTD = 2%

Legend:

O: 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)