



Daily Compliance Activity Report

Trade Date: 12/05/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEVENNY CAP LLC	044	AA	B	12,000	10.06	n/a	n/a	360.00	3.0
B BUCK CAPITAL MGMT		AEO	B	200,000	14.72	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	400,000	14.72	n/a	2-Dec	non-brg	4.0
ARMATURE CAPITAL	041	AGCO	B	20,000	46.05	n/a	26-Oct	800.00	4.0
SURVEYOR CAPITAL	251	AGCO	B	15,000	45.87	n/a	26-Oct	450.00	3.0
f ANN M GAULT	FID	AMCC	B	1000	7.35	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	AMCC	B	3000	7.35	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	AMCC	B	5000	7.35	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	ANN	SS	11,000	24.53	n/a	n/a	330.00	3.0
NICOLAS APPEGATE	084	APH	S	12,000	46.27	n/a	n/a	240.00	2.0
B BUCK CAPITAL MGMT		ARO	SS	100,000	16.53	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	ASNA	SS	20,000	28.51	n/a	n/a	1,000.00	5.0
CAISSE DEPOT PLACEMENT Q	295	ATU	B	50,000	23.06	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	297	AVP	S	57,400	17.06	n/a	14-Nov	2,296.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	9,500	9.20	n/a	31-Oct	285.00	3.0
B BUCK CAPITAL MGMT		BBBY	B	30,000	61.94	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		BBBY	B	30,000	61.94	n/a	n/a	non-brg	4.0
	OZ MGMT	040	BIG	S	33,432	37.08	n/a	2-Dec	1,002.96	3.0
	MILLRACE FUND LP	028	BWA	SS	2,000	68.84	n/a	9-Nov	80.00	4.0
	SURVEYOR CAPITAL	251	CAR	SS	10,000	12.35	n/a	n/a	300.00	3.0
	DEVENNY CAP LLC	044	CBT	SS	3,846	34.09	n/a	10-Nov	115.38	3.0
	DEVENNY CAP LLC	044	CBT	S	49	34.09	n/a	10-Nov	1.47	3.0
	KAM ADVISORS LLC	041	CNX	S	68,700	41.04	n/a	n/a	2,061.00	3.0
B	BUCK CAPITAL MGMT		COF	S	21,400	46.81	n/a	30-Nov	non-brg	4.0
	PATTEN & PATTEN	025	CSCO	S	1,000	18.77	n/a	n/a	50.00	5.0
f	JOEL GIFFORD TISS	FID	CVGI	S	5000	11.47	n/a	n/a	0.00	0.0
f	JOHN MICHAEL DEMARTI	FID	CVGI	S	2000	11.55	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	DAN	S	1000	12.77	n/a	1-Dec	0.00	0.0
	BMO NESBITT BURNS	041	DG	S	4,500	40.10	n/a	5-Dec	135.00	3.0
	BNP PARIBAS SEC	040	DG	S	20,000	40.79	n/a	5-Dec	1,000.00	5.0
	MA CAPITAL MGMT/MELLON ADV	041	DG	SS	3,000	40.19	n/a	5-Dec	150.00	5.0
B	BUCK CAPITAL MGMT		DHI	S	35,000	12.51	n/a	n/a	non-brg	4.0
	RIDGECREST INV MGMT LLC	028	DLPH	B	5,000	21.58	n/a	n/a	250.00	5.0
	CHESAPEAKE PARTNERS	028	DMND	B	20,000	29.08	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	070	DSW	B	110,800	46.94	n/a	11-Feb	4,432.00	4.0
PATTEN & PATTEN	025	EPP	S	400	42.30	n/a	n/a	20.00	5.0
DEVENNY CAP LLC	044	ERJ	B	5,000	25.49	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	EWC	B	1,500	27.49	n/a	n/a	75.00	5.0
HIGHBRIDGE CAP	041	EXPR	SS	12,000	21.59	n/a	n/a	360.00	3.0
CATAPULT	040	EXXI	B	25,000	32.17	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		FINL	B	16,562	21.65	n/a	23-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	S	39,800	25.15	n/a	18-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	12,500	91.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	12,500	91.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	21,050	90.15	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	5,600	91.99	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	93,950	90.15	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	FRED	B	5,000	13.79	n/a	n/a	150.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	B	250	13.74	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIII	S	25,000	18.84	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	S	34,600	18.80	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	S	5,600	18.87	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIL	B	100,000	17.52	n/a	2-Dec	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		GIL	B	100,000	17.94	n/a	2-Dec	non-brg 4.0
B	BUCK CAPITAL MGMT		GIL	B	50,000	18.34	n/a	2-Dec	non-brg 1.0
	SCOPUS FUND	041	GIL	B	25,000	18.28	n/a	2-Dec	1,000.00 4.0
	SMITH MGMT LLC	029	GRPN	SS	75,000	18.86	n/a	n/a	2,250.00 3.0
B	BUCK CAPITAL MGMT		GS	S	16,100	100.89	n/a	5-Dec	non-brg 4.0
	CYPRESS CAP MGMT LLC	040	HGG	B	30,200	16.41	n/a	n/a	1,208.00 4.0
	NEUBERGER BERMAN	036	HITT	B	24,100	54.80	n/a	n/a	964.00 4.0
f	JOHN MICHAEL ZOLIDIS	FID	HOTT	S	1000	7.50	n/a	n/a	0.00 0.0
	SURVEYOR CAPITAL	251	HTZ	B	15,000	12.07	n/a	n/a	450.00 3.0
	BASIX	033	HXL	SS	20,000	24.39	n/a	25-Oct	600.00 3.0
	NICOLAS APPELEGATE	084	IBM	S	46,850	193.35	n/a	n/a	937.00 2.0
	BNP PARIBAS SEC	040	IFF	S	10,000	54.29	n/a	8-Nov	500.00 5.0
B	BUCK CAPITAL MGMT		IGT	S	105,958	17.35	n/a	13-Jun	non-brg 4.0
	ELM RIDGE ADVISORS	044	IP	S	135,201	29.14	n/a	27-Oct	5,408.04 4.0
B	BUCK CAPITAL MGMT		IR	S	25,000	34.03	n/a	20-Oct	non-brg 4.0
	11:11 CAPITAL CORP	046	IWM	B	45,000	74.69	n/a	n/a	1,350.00 3.0
	CAISSE DEPOT PLACEMENT Q	295	JBHT	S	50,000	46.12	n/a	n/a	2,500.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	JCI	B	1,100	32.48	n/a	21-Nov	55.00	5.0
11:11 CAPITAL CORP	046	JNJ	B	15,000	63.50	n/a	n/a	600.00	4.0
ROSEDALE CAPITAL	046	KEG	S	15,000	14.89	n/a	2-Nov	600.00	4.0
PERSHING SQUARE	029	KFT	S	221,687	36.63	n/a	n/a	8,867.48	4.0
PATTEN & PATTEN	025	KRE	S	5,000	24.03	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	KSS	S	50,000	50.64	n/a	2-Dec	1,500.00	3.0
⌘ BUCK CAPITAL MGMT		LEN	S	25,000	19.15	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	LMT	SS	20,000	77.91	n/a	5-Dec	1,000.00	5.0
BMO NESBITT BURNS	041	LULU	SS	2,000	48.38	n/a	2-Dec	80.00	4.0
DEVENNY CAP LLC	044	MMM	B	5,000	81.29	n/a	8-Nov	150.00	3.0
OHIO PERS	047	MON	S	14,300	71.06	n/a	15-Nov	429.00	3.0
⌘ BUCK CAPITAL MGMT		MPEL	S	100,000	10.08	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MPEL	S	100,000	10.08	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MPEL	S	200,000	10.17	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MPEL	S	200,000	10.17	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MSMSBCD	C	566,535	97.28	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCD	SS	566,535	97.28	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MSMSBCM	C	20,000	97.49	n/a	n/a	non-brg	7.8
ß BUCK CAPITAL MGMT		MSMSBCM	C	4,425,694	97.00	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	SS	4,425,694	97.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MS	S	73,600	16.43	n/a	5-Dec	non-brg	4.0
HOPLITE MGMT	025	MS	B	200,000	16.32	n/a	5-Dec	8,000.00	4.0
LISTED ERR	099	MS	B	705	16.50	n/a	5-Dec	0.00	0.0
LISTED ERR	099	MS	S	705	16.54	n/a	5-Dec	0.00	0.0
f MARK ANTHONY GRONET	FID	MWA	S	10000	2.23	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MW	C	10,000	28.09	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MW	C	15,000	28.09	n/a	n/a	non-brg	4.0
f LEE F BACKUS	FID	NILSY	S	882	18.03	n/a	n/a	0.00	0.0
FORWARD MGMT	033	NP	B	10,378	19.14	n/a	9-Nov	415.12	4.0
ß BUCK CAPITAL MGMT		PCAR	S	25,000	40.41	n/a	26-Oct	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	PDC	S	7,500	11.79	n/a	n/a	300.00	4.0
ß BUCK CAPITAL MGMT		PERY	S	10,000	15.73	n/a	n/a	non-brg	4.0
LONG POND	029	PHM	S	42,000	6.41	n/a	n/a	1,260.00	3.0
PATTEN & PATTEN	025	PHO	S	14,000	17.10	n/a	n/a	700.00	5.0
BMO NESBITT BURNS	041	PLCE	B	2,000	54.46	n/a	22-Nov	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	PLD	B	11,500	28.63	n/a	n/a	575.00	5.0
MERRILL ASSET/BLACKROCK	297	PVH	B	24,500	74.97	n/a	2-Dec	980.00	4.0
DELTEC ASSET MGMT.	040	RIG	B	5,000	44.47	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		RRR	S	30,000	12.21	5-Dec	5-Dec	non-brg	4.0
COLUMBUS CIRCLE	036	SFSF	S	16,600	39.70	n/a	n/a	664.00	4.0
LONG POND	029	SHO	S	20,000	7.87	n/a	n/a	600.00	3.0
BMO NESBITT BURNS	041	SVU	B	10,000	7.41	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	TEVA	B	1,000	39.89	n/a	2-Dec	50.00	5.0
B BUCK CAPITAL MGMT		TOL	S	20,000	20.54	n/a	n/a	non-brg	4.0
LONG POND	029	TOL	SS	90,000	20.81	n/a	n/a	4,500.00	5.0
LONG POND	029	TPX	SS	16,000	55.25	n/a	n/a	800.00	5.0
DEVENNY CAP LLC	044	TRW	S	5,000	34.51	n/a	n/a	150.00	3.0
LANE GATE PARTNERS LLC	030	T	S	5,000	29.04	n/a	n/a	150.00	3.0
HUNTER GLOBAL INVESTOR	028	UA	B	25,000	83.46	n/a	26-Oct	1,250.00	5.0
ARMATURE CAPITAL	041	UNP	B	15,000	105.01	n/a	n/a	600.00	4.0
f MARK ANTHONY GRONET	FID	UXG	S	3000	3.92	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LANE GATE PARTNERS LLC	030	VZ	B	4,000	38.04	n/a	n/a	120.00	3.0
DEVENNY CAP LLC	044	WCC	B	10,000	52.81	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		WSM	B	100,000	39.59	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	WSM	S	14,000	39.22	n/a	n/a	420.00	3.0
MATRIX ASSET ADV.	091	WU	S	3,000	17.90	n/a	n/a	90.00	3.0
B BUCK CAPITAL MGMT		WYNN	SS	20,000	117.26	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		WYNN	SS	40,000	118.07	n/a	13-Jun	non-brg	4.0
LONG POND	029	WY	B	105,000	17.07	n/a	28-Oct	5,250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	XLF	B	20,000	13.08	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :							78,696.45		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/02	EGS ASSOCIATES LP	091	BIG	B	5,000	36.16	n/a	2-Dec	300.00 6.0
AO,CXL	12/02	EGS ASSOCIATES LP	091	BIG	B	5,000	36.16	n/a	2-Dec	250.00 5.0
AO,CRT	11/30	HAHN CAPITAL MANAGEMENT	084	GTLS	S	2,329	59.94	n/a	n/a	116.45 5.0
AO,CXL	11/30	HAHN CAPITAL MANAGEMENT	084	GTLS	S	2,329	59.94	n/a	n/a	116.45 5.0
AO,CRT	11/30	THREE G	034	TRW	SS	81,600	32.46	n/a	n/a	2448.00 3.0
AO,CXL	11/30	THREE G	034	TRW	SS	81,600	32.46	n/a	n/a	2448.00 3.0
TOTAL (AO, CXL, CRT) :										50.00
TOTAL (Trade Date) :										78,696.45
TOTAL (AO, CXL, CRT) :										50.00
TOTAL (RUN DATE) / NFS:										78,746.45

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 5-Dec.

RRR

MRI Securities without Trade Activity on 5-Dec.

YUM, ITW

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

T-Date = 1%

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)