



# Daily Compliance Activity Report

Trade Date: 04/12/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>ACAT</b>	<b>B</b>	<b>12,500</b>	<b>42.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ACAT</b>	<b>B</b>	<b>12,500</b>	<b>42.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	AEO	B	10,000	16.70	n/a	2-Dec	300.00	3.0
ACK ASSET	028	AIT	SS	19,000	39.12	n/a	n/a	570.00	3.0
PECONIC PARTNERS	036	ARCO	B	50,000	18.62	n/a	6-Mar	2,500.00	5.0
NUVEEN - US BANCORP		030 ASNA	S	49,495	21.36		n/a	n/a	2,227.28 4.5
LATEFF MGMT	035	ATI	B	8,100	41.53	n/a	5-Apr	848.50	13.7
BRONSON POINT	036	ATR	SS	13,810	54.55	n/a	n/a	414.30	3.0
OMEGA ADVISORS	041	BAC	S	800,000	9.10	n/a	4-Apr	24,000.00	3.0
MERRILL ASSET/BLACKROCK	297	BAM	S	96,700	31.00	n/a	n/a	3,868.00	4.0
PATTEN & PATTEN	025	BBY	S	150	22.31	n/a	n/a	7.50	5.0
CAERUS GLOBAL	041	BIG	SS	20,000	44.69	n/a	5-Mar	800.00	4.0
PATTEN & PATTEN	025	BK	B	150	23.91	n/a	4-Apr	7.50	5.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>BNNY</b>	<b>B</b>	<b>100</b>	<b>40.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JET CAPITAL/CHRIS	041	BP	S	100,000	42.53	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	BTU	B	100	29.41	n/a	n/a	5.00	5.0
RIVERPARK CAPITAL	025	BX	B	26,000	14.78	n/a	n/a	1,300.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BYD</b>	<b>B</b>	<b>35,000</b>	<b>8.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
NEWLAND CAPITAL MGT	025	CNW	S	22,500	33.38	n/a	n/a	900.00	4.0
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>COL</b>	<b>S</b>	<b>50</b>	<b>56.70</b>	<b>n/a</b>	<b>5-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CROX</b>	<b>S</b>	<b>700</b>	<b>20.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>1000</b>	<b>10.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>190</b>	<b>10.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>1000</b>	<b>10.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	DAL	B	10,000	10.44	n/a	n/a	300.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>200</b>	<b>1.55</b>	<b>n/a</b>	<b>22-Feb</b>	<b>0.00</b>	<b>0.0</b>
BRONSON POINT	036	DHR	SS	80,000	54.47	n/a	n/a	2,400.00	3.0
PATTEN & PATTEN	025	DOW	S	200	32.75	n/a	21-Mar	10.00	5.0
COLUMBUS CIRCLE	036	EDMC	S	5,099	13.08	n/a	n/a	203.96	4.0
TROUBH PART	070	ESRX	B	10,000	57.45	n/a	n/a	500.00	5.0
OZ MGMT	040	ETN	C	44,491	47.18	n/a	12-Apr	1,334.73	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	EWG	S	400	22.35	n/a	n/a	20.00	5.0
<b>f MICHAEL C PERILLO</b>	<b>FID</b>	<b>FL</b>	<b>S</b>	<b>40</b>	<b>30.29</b>	<b>n/a</b>	<b>7-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1200</b>	<b>15.80</b>	<b>n/a</b>	<b>23-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f GAJANTHAN BALAKANES</b>	<b>FID</b>	<b>FRD</b>	<b>B</b>	<b>36</b>	<b>11.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	GE	B	300	19.28	n/a	n/a	15.00	5.0
NUVEEN - US BANCORP		030 HAIN	S	12,757	44.48		n/a	n/a	574.08 4.5
<b>B BUCK CAPITAL MGMT</b>		<b>HOT</b>	<b>B</b>	<b>50,000</b>	<b>56.18</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HOT</b>	<b>B</b>	<b>50,000</b>	<b>56.18</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
TRUSTCO/SUNTRUST (CEREDEX)	273	HPQ	S	198,250	24.94		n/a	n/a	6,938.75 3.5
NEWLAND CAPITAL MGT	025	HW	B	38,900	3.95	n/a	n/a	1,556.00	4.0
APEX CAPITAL MGMT.	261	INTC	C	313,000	28.24	n/a	n/a	12,520.00	4.0
PATTEN & PATTEN	025	INTC	S	300	28.41	n/a	n/a	15.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	95,723	33.10	n/a	4-Apr	4,786.15	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	5,500	33.10	n/a	4-Apr	275.00	5.0
RIDGECREST INV MGMT LLC	028	IP	B	5,000	33.19	n/a	4-Apr	200.00	4.0
SONTERRA CAP	041	IP	S	40,000	33.11	n/a	4-Apr	1,600.00	4.0
PATTEN & PATTEN	025	IXN	B	75	69.91	n/a	n/a	3.75	5.0
PATTEN & PATTEN	025	IYG	B	100	56.01	n/a	n/a	5.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COBALT	041	JCI	B	200,000	31.62	n/a	4-Apr	8,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KBH</b>	<b>B</b>	<b>25,000</b>	<b>8.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
SCOPUS FUND	041	LKQX	SS	50,000	30.10	n/a	n/a	2,000.00	4.0
NWQ INVESTMENT MGMT CO	084	L	S	5,000	39.39	n/a	n/a	150.00	3.0
PATTEN & PATTEN	025	MHP	S	200	48.91	n/a	n/a	10.00	5.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>MINI</b>	<b>B</b>	<b>100</b>	<b>19.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>1,480,883</b>	<b>109.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>2,039,845</b>	<b>109.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>SS</b>	<b>1,480,883</b>	<b>109.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>SS</b>	<b>2,039,845</b>	<b>109.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
MERCHANTS GATE CAP LP	036	M	SS	17,100	40.32	n/a	9-Apr	684.00	4.0
BNP PARIBAS SEC	040	NAV	B	20,000	37.55	n/a	12-Apr	1,000.00	5.0
PRIMECAP MGMT	084	NOV	S	10,000	80.48	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	NSC	B	325	68.00	n/a	n/a	16.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>B</b>	<b>100,000</b>	<b>3.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
PATTEN & PATTEN	025	ORCL	S	400	28.62	n/a	n/a	20.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>B</b>	<b>20,000</b>	<b>25.94</b>	<b>n/a</b>	<b>3-Apr</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
Ⓐ BUCK CAPITAL MGMT		PAG	B	20,000	25.94	n/a	3-Apr	non-brg 4.0
NWQ INVESTMENT MGMT CO	084	PBI	S	11,000	17.05	n/a	n/a	330.00 3.0
LANE GATE PARTNERS LLC	030	PCAR	B	3,500	42.93	n/a	12-Apr	105.00 3.0
PATTEN & PATTEN	025	PHO	S	275	18.74	n/a	n/a	13.75 5.0
Ⓐ BUCK CAPITAL MGMT		PII	B	20,000	72.93	n/a	n/a	non-brg 4.0
Ⓐ BUCK CAPITAL MGMT		PII	B	20,000	72.93	n/a	n/a	non-brg 4.0
Ⓐ BUCK CAPITAL MGMT		PII	B	30,000	72.51	n/a	n/a	non-brg 4.0
Ⓐ BUCK CAPITAL MGMT		PII	B	30,000	72.51	n/a	n/a	non-brg 4.0
ROYCE TRADING	031	PLCE	B	1,500	49.20	n/a	7-Mar	75.00 5.0
Ⓐ BUCK CAPITAL MGMT		PNRA	B	14,000	162.22	n/a	8-Feb	non-brg 4.0
PATTEN & PATTEN	025	QCOM	B	125	68.11	n/a	n/a	6.25 5.0
BRIGADE CAPITAL MGMT	029	RAD	B	200,000	1.70	n/a	n/a	8,000.00 4.0
KAM ADVISORS LLC	041	RDC	S	99,300	33.95	n/a	n/a	2,979.00 3.0
PATTEN & PATTEN	025	RSG	B	100	30.90	n/a	n/a	5.00 5.0
Ⓐ BUCK CAPITAL MGMT		SCSS	B	20,000	33.65	n/a	n/a	non-brg 2.5
Ⓐ BUCK CAPITAL MGMT		SCSS	B	20,000	33.65	n/a	n/a	non-brg 2.5
f NICOLAS EVAN PAKLER	FID	SHW	B	160	115.48	12-Apr	12-Apr	0.00 0.0
Ⓐ BUCK CAPITAL MGMT		SKS	B	100,000	10.83	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>SKS</b>	<b>B</b>	<b>100,000</b>	<b>10.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NUVEEN - US BANCORP		030 SMBL		S	34,337	6.05	n/a	n/a	1,545.18 4.5
MERRILL ASSET/BLACKROCK	297	SODA	B	46,000	34.46	n/a	n/a	1,840.00	4.0
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>SQBG</b>	<b>B</b>	<b>10000</b>	<b>0.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>STXS</b>	<b>B</b>	<b>33123</b>	<b>0.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	SWK	B	5,000	76.40	n/a	n/a	150.00	3.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>SWN</b>	<b>B</b>	<b>1000</b>	<b>28.64</b>	<b>n/a</b>	<b>11-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>250</b>	<b>23.19</b>	<b>n/a</b>	<b>16-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>TOL</b>	<b>S</b>	<b>700</b>	<b>22.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IVORY CAPITAL	034	VIAB	B	50,000	46.42	n/a	n/a	2,500.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>WCRX</b>	<b>B</b>	<b>5000</b>	<b>15.97</b>	<b>n/a</b>	<b>9-Apr</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST (CEREDEX)	273	WFC		S	100,550	33.78	n/a	4-Apr	3,519.30 3.5
EPOCH INV MGMT	030	WRC	S	64,920	54.52	n/a	23-Mar	1,947.60	3.0
RBC CAPITAL MARKETS	040	WRC	B	10,000	54.50	n/a	23-Mar	400.00	4.0
NUVEEN - US BANCORP		030 ZUMZ		S	16,225	34.67	n/a	n/a	730.14 4.5

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**TOTAL (Trade Date):**

**110,431.97**

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Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									110,431.97
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									110,431.97
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CXL	04/11	BUCK CAPITAL MGMT.	LULU	B	10,000	73.05	n/a 10-Apr	400.00
CRT	04/11	BUCK CAPITAL MGMT	LULU	C	10,000	73.05	n/a 10-Apr	400.00 4.0

MRI Securities with Trade Activity on 12-Apr.

SHW

MRI Securities without Trade Activity on 12-Apr.

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)