



## Daily Compliance Activity Report

Trade Date: 12/14/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	029	AAP	B	5,500	67.00	n/a	n/a	220.00	4.0
⚡ BUCK CAPITAL MGMT		AEO	B	69,000	14.63	n/a	2-Dec	non-brg	4.0
PATTEN & PATTEN	025	AGG	B	1,000	109.84	n/a	n/a	50.00	5.0
⚡ BUCK CAPITAL MGMT		ANF	B	10,000	46.38	n/a	17-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	B	10,800	46.49	n/a	17-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	B	20,000	46.38	n/a	17-Nov	non-brg	4.0
OZ MGMT	040	ANF	S	42,575	46.42	n/a	17-Nov	1,277.25	3.0
⚡ BUCK CAPITAL MGMT		APC	B	7,000	73.92	n/a	13-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ARCO	S	150,000	20.67	n/a	31-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		AVP	SS	80,000	17.64	n/a	14-Dec	non-brg	4.0
f EDWARD W WHEELER	FID	AVY	S	4000	27.37	n/a	14-Dec	0.00	0.0
PATTEN & PATTEN	025	BAB	B	500	28.65	n/a	n/a	25.00	5.0
f MARK ANTHONY GRONET	FID	BEEPRB	B	1000	27.84	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BHI	B	10,000	46.69	n/a	n/a	non-brg	4.0
OZ MGMT	040	BWA	S	75,000	62.54	n/a	9-Nov	2,250.00	3.0
ARMATURE CAPITAL	041	CAT	S	25,000	87.02	n/a	25-Oct	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	CBS	S	132,322	24.91	n/a	n/a	3,969.66	3.0
TUDOR INVESTORS	028	COLM	SS	13,982	47.76	n/a	n/a	419.46	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>COST</b>	<b>B</b>	<b>50,000</b>	<b>83.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CWTR</b>	<b>B</b>	<b>3000</b>	<b>1.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL C PERILLO</b>	<b>FID</b>	<b>CWTR</b>	<b>B</b>	<b>1000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAN</b>	<b>B</b>	<b>45,000</b>	<b>11.18</b>	<b>n/a</b>	<b>1-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>10,000</b>	<b>96.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>5,200</b>	<b>96.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HARVEST MGMT	029	DG	B	10,000	40.90	n/a	5-Dec	400.00	4.0
OHIO PERS	047	DIS	B	90,000	35.48	n/a	n/a	2,700.00	3.0
DAVIDSON INV ADV	035	DVN	B	21,975	61.38	n/a	13-Dec	879.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>EXH</b>	<b>S</b>	<b>8000</b>	<b>9.23</b>	<b>n/a</b>	<b>13-Dec</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	FDX	S	1,796	77.34	n/a	n/a	71.84	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>FOE</b>	<b>S</b>	<b>20000</b>	<b>4.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	FOSL	SS	10,000	81.47	n/a	n/a	300.00	3.0
DEVENNY CAP LLC	044	F	B	10,000	10.20	n/a	2-Dec	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROBERTSON STEVENS BC	041	GGG	B	14,850	39.16	n/a	n/a	594.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>200</b>	<b>13.20</b>	<b>n/a</b>	<b>12-Dec</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	GM	C	116,568	19.50	n/a	2-Dec	3,497.04	3.0
DEVENNY CAP LLC	044	GPI	SS	2,500	49.11	n/a	26-Oct	75.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GS</b>	<b>B</b>	<b>5,000</b>	<b>94.93</b>	<b>n/a</b>	<b>5-Dec</b>	<b>non-brg</b>	<b>4.0</b>
DEVENNY CAP LLC	044	GTI	B	12,500	13.33	n/a	n/a	375.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>B</b>	<b>16,000</b>	<b>30.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SONTERRA CAP	041	HAS	SS	50,000	34.06	n/a	n/a	2,000.00	4.0
SUFFOLK CAPITAL MGMT	040	HBAN	S	300,000	5.03	n/a	n/a	12,000.00	4.0
SENATOR INVESTMENT GROUP	036	HD	SS	318,744	39.01	n/a	8-Dec	9,562.32	3.0
HOPLITE MGMT	025	HPQ	SS	68,795	26.26	n/a	n/a	2,751.80	4.0
ROBERTSON STEVENS BC	084	HXL	B	45,000	23.34	n/a	8-Dec	1,800.00	4.0
PATTEN & PATTEN	025	IAU	S	4,500	15.51	n/a	n/a	225.00	5.0
SUFFOLK CAPITAL MGMT	040	IPI	B	23,000	21.24	n/a	n/a	920.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>IWM</b>	<b>B</b>	<b>100</b>	<b>70.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MFP INVESTORS	085	JNS	B	24,500	5.98	n/a	n/a	980.00	4.0
ARMATURE CAPITAL	041	KBH	S	100,000	6.98	n/a	n/a	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEA</b>	<b>B</b>	<b>15,000</b>	<b>36.27</b>	<b>n/a</b>	<b>31-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MS</b>	<b>B</b>	<b>35,000</b>	<b>15.19</b>	<b>n/a</b>	<b>13-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MTRX</b>	<b>S</b>	<b>5000</b>	<b>8.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL C PERILLO</b>	<b>FID</b>	<b>MTW</b>	<b>B</b>	<b>170</b>	<b>8.80</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	251	NAV	B	13,000	36.11	n/a	14-Sep	390.00	3.0
HIGHFIELDS CAP MGMT	030	NBR	B	225,000	16.28	n/a	n/a	9,000.00	4.0
COOPER CREEK PART	028	NP	B	10,000	20.47	n/a	9-Nov	400.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	20.51	n/a	9-Nov	400.00	4.0
DEVENNY CAP LLC	044	PAG	B	8,208	19.34	n/a	3-Nov	246.24	3.0
SURVEYOR CAPITAL	251	PCP	B	2,000	152.79	n/a	28-Oct	60.00	3.0
DEVENNY CAP LLC	044	PH	B	10,000	76.31	n/a	19-Oct	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PII</b>	<b>S</b>	<b>20,000</b>	<b>57.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HARVEST MGMT	029	PIR	S	5,000	13.19	n/a	n/a	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>49,000</b>	<b>55.48</b>	<b>n/a</b>	<b>22-Nov</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	PLCE	B	7,000	55.52	n/a	22-Nov	350.00	5.0
BNP PARIBAS SEC	040	PVH	B	40,000	67.97	n/a	2-Dec	2,000.00	5.0
ROBERTSON STEVENS BC	084	RDEN	B	55,570	34.67	n/a	6-Dec	2,222.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RIG</b>	<b>B</b>	<b>12,500</b>	<b>40.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT	040	RKT	B	10,000	54.54	n/a	10-Nov	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>B</b>	<b>3,612</b>	<b>138.87</b>	<b>n/a</b>	<b>11-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>B</b>	<b>6,388</b>	<b>138.79</b>	<b>n/a</b>	<b>11-Nov</b>	<b>non-brg</b>	<b>1.0</b>
RAINIER INV MGMT	035	ROG	S	800	39.26	n/a	n/a	32.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>B</b>	<b>20,000</b>	<b>19.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>SGI</b>	<b>S</b>	<b>1350</b>	<b>11.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	036	SHW	SS	50,000	83.67	n/a	14-Dec	1,500.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>SI</b>	<b>S</b>	<b>1000</b>	<b>93.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	SOA	S	50,000	15.05	n/a	n/a	2,000.00	4.0
DEVENNY CAP LLC	044	SPY	B	2,500	122.10	n/a	n/a	75.00	3.0
MERRILL ASSET/BLACKROCK	297	TEL	B	28,100	30.43	n/a	n/a	1,124.00	4.0
DEVENNY CAP LLC	044	TEN	B	5,900	26.34	n/a	n/a	177.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	TLM	B	10,000	11.42	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	TLT	B	500	120.03	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>B</b>	<b>30,000</b>	<b>69.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DEVENNY CAP LLC	044	VC	B	5,000	48.56	n/a	n/a	150.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>VE</b>	<b>S</b>	<b>15000</b>	<b>10.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	VR	S	13,075	29.70	n/a	n/a	457.63	3.5
SCOPUS FUND	041	WBC	S	35,000	39.68	n/a	5-Dec	1,400.00	4.0
BNP PARIBAS SEC	040	WRC	B	50,000	48.75	n/a	4-Nov	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>21,000</b>	<b>48.70</b>	<b>n/a</b>	<b>4-Nov</b>	<b>non-brg</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	025	WTS	B	15,000	34.18	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WYNN</b>	<b>C</b>	<b>20,000</b>	<b>103.19</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
PERRY PARTNERS	085	YHOO	B	50,000	15.00	n/a	n/a	2,500.00	5.0
TUDOR INVESTORS	028	ZUMZ	B	12,500	28.13	n/a	n/a	375.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>81,927.04</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/13	RIDGECREST INV MGMT LLC	028	SPY	SS	25,000	124.71	n/a	n/a	750.00 3.0
AO,CXL	12/13	RIDGECREST INV MGMT LLC	028	SPY	SS	25,000	124.71	n/a	n/a	1250.00 5.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>-500.00</b>
-------------------------------	----------------

---

---

TOTAL (Trade Date) :	81,927.04
TOTAL (AO, CXL, CRT) :	-500.00

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>81,427.04</b>
--------------------------------	------------------

---

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO	12/13	BUCK CAPITAL MGMT	BHI	B	10,000	49.50	n/a	n/a	400.00 4.0

MRI Securities with Trade Activity on 14-Dec.  
NONE

MRI Securities without Trade Activity on 14-Dec.  
DD

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)**