



# Daily Compliance Activity Report

Trade Date: 12/01/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	APA	S	150	99.37	n/a	10-Nov	7.50	5.0
MELLON/BANK OF NEW YORK	046	APKT	S	38,120	33.84	n/a	n/a	1,524.80	4.0
SCOPUS FUND	041	ARO	B	10,000	15.80	n/a	1-Dec	400.00	4.0
TUDOR INVESTORS	028	ASH	S	5,000	56.01	n/a	22-Nov	150.00	3.0
ARSENAL ASSET MANAGEMENT	028	AXL	S	6,519	8.82	n/a	31-Oct	260.76	4.0
CAPITAL GROWTH MGMT.	241	BAC	B	800,000	5.40	n/a	30-Nov	16,000.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>B</b>	<b>10,000</b>	<b>60.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	025	BGC	B	20,000	26.57	n/a	n/a	800.00	4.0
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>3000</b>	<b>30.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STELLIAM INV ADV	034	BHI	SS	25,000	55.11	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BIG</b>	<b>B</b>	<b>20,000</b>	<b>39.79</b>	<b>n/a</b>	<b>29-Nov</b>	<b>non-brg</b>	<b>4.0</b>
THIRD COAST CAPITAL	035	BIG	B	10,000	40.43	n/a	29-Nov	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BKS</b>	<b>B</b>	<b>200,000</b>	<b>14.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BONT</b>	<b>B</b>	<b>2300</b>	<b>3.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DEVENNY CAP LLC	044	BWA	SS	10,000	66.66	n/a	9-Nov	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	CAR	SS	3,000	11.83	n/a	n/a	90.00	3.0
TUDOR INVESTORS	028	CAT	B	5,000	96.11	n/a	25-Oct	150.00	3.0
PATTEN & PATTEN	025	CBT	S	1,000	32.80	n/a	10-Nov	50.00	5.0
TUDOR INVESTORS	028	CE	SS	3,000	46.24	n/a	20-May	90.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CHRS</b>	<b>S</b>	<b>175,000</b>	<b>4.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f MICHAEL C PERILLO</b>	<b>FID</b>	<b>CHRS</b>	<b>S</b>	<b>230</b>	<b>4.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	CHRW	SS	5,000	67.92	n/a	n/a	150.00	3.0
ARSENAL ASSET MANAGEMENT	028	CLW	B	5,000	34.80	n/a	n/a	200.00	4.0
ADALY INV MGMT	031	CMA	S	25,000	25.10	n/a	n/a	1,250.00	5.0
SURVEYOR CAPITAL	041	CMI	B	5,500	96.69	n/a	26-Oct	165.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CROX</b>	<b>B</b>	<b>600</b>	<b>15.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>7900</b>	<b>11.06</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>CWTR</b>	<b>B</b>	<b>10000</b>	<b>0.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LANE GATE PARTNERS LLC	030	C	B	7,000	26.87	n/a	30-Nov	210.00	3.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>DD</b>	<b>S</b>	<b>400</b>	<b>47.45</b>	<b>n/a</b>	<b>15-Nov</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	DD	S	1,000	47.41	n/a	15-Nov	50.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DECK	S	30,000	107.18	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	5,000	107.21	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	60,000	107.21	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	70,000	107.21	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	DECK	S	59,970	107.21	n/a	n/a	2,398.80	4.0
OHIO PERS	047	DELL	B	93,000	15.72	n/a	n/a	2,790.00	3.0
HIGHBRIDGE CAP	041	DKS	S	7,000	39.29	n/a	16-Nov	210.00	3.0
ETON PARK CAPITAL	041	DLTR	S	175,000	82.26	n/a	22-Nov	7,000.00	4.0
PATTEN & PATTEN	025	EWJ	S	2,500	9.35	n/a	n/a	125.00	5.0
f DAVID GEORGE BUCK	FID	FCEA	B	2000	12.22	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	FCEA	B	500	12.22	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	FCX	B	5,000	39.41	n/a	n/a	150.00	3.0
⚡ BUCK CAPITAL MGMT		FINL	B	25,000	21.03	n/a	23-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOR	S	10,000	15.52	n/a	3-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	S	30,000	88.47	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRAN	C	40,000	16.15	n/a	n/a	non-brg	4.0
COLUMBUS CIRCLE	036	FST	B	1,795	15.49	n/a	n/a	35.90	2.0
DEVENNY CAP LLC	044	F	SS	10,000	10.57	n/a	30-Nov	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	SS	200,000	10.51	n/a	30-Nov	6,000.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	SS	25,000	10.58		n/a 30-Nov	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>B</b>	<b>20,000</b>	<b>59.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GGP</b>	<b>B</b>	<b>2000</b>	<b>13.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>GGP</b>	<b>B</b>	<b>1000</b>	<b>13.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>315</b>	<b>20.00</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>1.0</b>
DSG CAPITAL	030	GLW	B	15,000	13.31	n/a	30-Nov	450.00	3.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	21.07	n/a	30-Nov	2,500.00	5.0
DEVENNY CAP LLC	044	GM	S	10,000	21.55	n/a	30-Nov	300.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GM	SS	50,000	21.42	n/a	30-Nov	0.00	0.0
OZ MGMT	040	GM	SS	50,000	21.56	n/a	30-Nov	1,500.00	3.0
WOOSTER CAPITAL	035	GM	S	50,000	21.26	n/a	30-Nov	2,500.00	5.0
SIMMONS VENTURES	041	HBI	B	5,000	23.41	n/a	30-Nov	200.00	4.0
SIMMONS VENTURES	041	HBI	S	5,000	23.34	n/a	30-Nov	200.00	4.0
HIGHBRIDGE CAP	041	HD	S	7,000	39.33	n/a	16-Nov	210.00	3.0
WEINTRAUB CAPITAL MGT.	040	HOS	S	25,000	33.99	n/a	n/a	1,000.00	4.0
OHIO PERS	047	HPQ	S	51,200	28.28	n/a	n/a	1,536.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>IGT</b>	<b>S</b>	<b>75,000</b>	<b>16.96</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
MACQUARIE INVESTMENT MGMT.	040	ITW	B	15,000	45.44	n/a	26-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
YORK CAPITAL	036	IWM	B	325,000	73.67	n/a	n/a	9,750.00	3.0
TUDOR INVESTORS	028	JCI	SS	5,000	31.25	n/a	21-Nov	150.00	3.0
THE JAY GOLDMAN	028	JWN	S	10,000	46.84	n/a	28-Nov	400.00	4.0
BNP PARIBAS SEC	040	KSS	B	25,000	51.34	n/a	28-Nov	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		KSS	C	100,000	50.69	n/a	28-Nov	non-brg	2.5
⌘ BUCK CAPITAL MGMT		KSS	C	150,000	51.16	n/a	28-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KSS	C	250,000	50.77	n/a	28-Nov	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV041		KSS	B	3,000	51.42	n/a	28-Nov	150.00	5.0
ROARING BLUE LION MGMT	031	LULU	SS	8,850	44.27	n/a	30-Nov	354.00	4.0
MERRILL ASSET/BLACKROCK	297	MCY	B	10,000	44.35	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	MMM	S	350	80.50	n/a	8-Nov	17.50	5.0
⌘ BUCK CAPITAL MGMT		MSMSBCD	C	566,535	95.83	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCD	SS	566,535	95.83	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	4,445,694	95.53	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	4,445,694	95.53	n/a	n/a	non-brg	0.0
SANDLER O'NEILL ASSET	031	MS	S	15,000	14.88	n/a	30-Nov	750.00	5.0
WHITE PINE CAPITAL	030	MS	S	2,500	14.48	n/a	30-Nov	125.00	5.0
⌘ BUCK CAPITAL MGMT		MVRX	C	20,000	215.81	n/a	n/a	non-brg	17.3
⌘ BUCK CAPITAL MGMT		MVRX	C	20,000	215.81	n/a	n/a	non-brg	17.3

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		MW	C	5,000	28.27	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MW	C	5,000	28.27	n/a	n/a	non-brg	4.0
FIRST NY SEC/CHRIS	041	M	B	25,000	32.51	n/a	28-Nov	750.00	3.0
THE JAY GOLDMAN	028	M	SS	25,000	32.17	n/a	28-Nov	1,000.00	4.0
CAPITAL GROWTH MGMT.	241	NOV	S	100,000	71.87	n/a	n/a	5,000.00	5.0
NEUBERGER BERMAN	036	NWN	B	1,300	47.06	n/a	n/a	52.00	4.0
NEUBERGER BERMAN	036	OEH	B	68,200	7.42	n/a	n/a	2,728.00	4.0
MERRILL ASSET/BLACKROCK	297	PCAR	S	35,357	40.42	n/a	26-Oct	1,414.28	4.0
SURVEYOR CAPITAL	041	PCAR	SS	5,000	40.85	n/a	26-Oct	150.00	3.0
MERRILL ASSET/BLACKROCK	297	PDC	S	10,800	11.01	n/a	n/a	432.00	4.0
PATTEN & PATTEN	025	PHO	S	2,250	17.16	n/a	n/a	112.50	5.0
⚡ BUCK CAPITAL MGMT		PIR	C	200,000	13.42	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PIR	C	200,000	13.46	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PIR	C	200,000	13.52	n/a	n/a	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV	041	PKG	B	5,000	25.73	n/a	18-Oct	250.00	5.0
BNP PARIBAS SEC	040	PLCE	SS	1,200	54.19	n/a	22-Nov	60.00	5.0
TUDOR INVESTORS	028	POT	B	5,000	43.78	n/a	n/a	150.00	3.0
MERRILL ASSET/BLACKROCK	297	PRA	S	1,500	79.09	n/a	n/a	60.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	PVH	B	25,000	67.55	n/a	21-Oct	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>C</b>	<b>50,000</b>	<b>69.59</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>SS</b>	<b>50,000</b>	<b>67.74</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
TUDOR INVESTORS	028	RBN	S	5,000	51.58	n/a	n/a	150.00	3.0
HOPLITE MGMT	025	RIMM	SS	50,000	18.47	n/a	n/a	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV041	RKT		S	3,000	58.23	n/a	10-Nov	150.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>143.56</b>	<b>n/a</b>	<b>11-Nov</b>	<b>300.00</b>	<b>3.0</b>
FIRST NY SEC/CHRIS	041	ROST	S	5,000	90.25	n/a	28-Nov	150.00	3.0
MA CAPITAL MGMT/MELLON ADV041	ROST		S	2,000	90.05	n/a	28-Nov	100.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>RYN</b>	<b>B</b>	<b>1000</b>	<b>40.20</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>RYN</b>	<b>B</b>	<b>400</b>	<b>40.25</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
MORTAR ROCK	033	SHAW	B	25,000	24.86	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SODA</b>	<b>S</b>	<b>70,000</b>	<b>30.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PZENA INV ADV	044	SPLS	B	33,600	14.36	n/a	n/a	1,176.13	3.5
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>5000</b>	<b>8.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	STI	S	1,500	18.03	n/a	n/a	75.00	5.0
HIGHBRIDGE CAP	041	SWY	SS	13,000	19.94	n/a	n/a	390.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	S	B	30,000	2.67	n/a	n/a	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		TEA	S	22,100	18.56	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		TEA	S	28,700	18.86	n/a	n/a	non-brg	4.0
⚡ JASON ERIC COHEN	FID	TEX	B	6	0.40	n/a	28-Oct	0.00	0.0
TALPION LLC	040	TGT	B	35,000	52.13	n/a	17-Nov	1,400.00	4.0
⚡ BUCK CAPITAL MGMT		ULTA	S	60,000	69.10	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ULTA	S	68,135	69.10	n/a	n/a	non-brg	4.0
WEINTRAUB CAPITAL MGT.	040	UTHR	S	50,000	40.87	n/a	n/a	2,000.00	4.0
TUDOR INVESTORS	028	UTIW	B	30,000	14.26	n/a	n/a	900.00	3.0
TUDOR INVESTORS	028	WCC	B	5,000	51.85	n/a	n/a	150.00	3.0
⚡ BUCK CAPITAL MGMT		WRC	S	22,634	50.14	n/a	4-Nov	non-brg	0.8
MA CAPITAL MGMT/MELLON ADV041		WRC	B	3,000	50.32	n/a	4-Nov	150.00	5.0
TUDOR INVESTORS	028	WY	B	10,000	16.73	n/a	28-Oct	300.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>92,350.17</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/30	CRAMER ROSENTHAL/SCOTT	070	VSI	B	300	36.47	n/a	n/a	12.00	4.0
AO,CXL	11/30	CRAMER ROSENTHAL/SCOTT	070	VSI	B	300	36.47	n/a	n/a	12.00	4.0
AO,CXL	11/30	THREE G	034	WAG	SS	50,000	33.58	n/a	n/a	1500.00	3.0
AO,CRT	11/30	THREE G	034	WAG	SS	50,000	33.58	n/a	n/a	1500.00	3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :	92,350.17
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>92,350.17</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	11/30	BUCK CAPITAL MGMT	1023 HK	B	2,650,000	0.38	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 1-Dec.  
NONE

MRI Securities without Trade Activity on 1-Dec.  
DAN

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)**