



Daily Compliance Activity Report

Trade Date: 12/16/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ACC	S	30,000	40.44	n/a	n/a	1,050.00	3.5
COUGAR TRADING	044	AGCO	B	10,000	42.24	n/a	12-Dec	500.00	5.0
COUGAR TRADING	044	AGCO	S	10,000	41.26	n/a	12-Dec	500.00	5.0
DEVENNY CAP LLC	044	AGCO	B	5,000	41.77	n/a	12-Dec	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	AMGN	B	5,000	60.81	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	AMT	B	97,706	58.77	n/a	n/a	3,908.24	4.0
B BUCK CAPITAL MGMT		ANN	S	50,000	24.36	n/a	n/a	non-brg	4.0
CAISSE DEPOT PLACEMENT Q	295	ATML	B	40,000	8.26	n/a	n/a	1,200.00	3.0
B BUCK CAPITAL MGMT		AVP	SS	100,000	16.71	n/a	14-Dec	non-brg	4.0
PZENA INV ADV	044	AXS	S	1,050	30.98	n/a	n/a	36.75	3.5
MACQUARIE INVESTMENT MGMT.	040	A	SS	5,000	33.94	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	BAC	S	2000	5.31	n/a	15-Dec	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	BA	B	50,000	72.27	n/a	29-Nov	2,000.00	4.0
f MARK ANTHONY GRONET	FID	BHL	S	3064	12.20	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	BMY	S	10,000	34.19	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BODY	S	3,668	22.33	n/a	n/a	non-brg	4.0
BALLAST CAP	040	CDE	B	7,000	25.25	n/a	n/a	350.00	5.0
FIRST NEW YORK LEDDY	035	CHRS	B	20,000	4.84	n/a	n/a	1,000.00	5.0
CAISSE DEPOT PLACEMENT Q	295	CINF	B	50,000	30.12	n/a	n/a	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	COH	SS	50,000	58.90	n/a	26-Oct	2,000.00	4.0
OHIO PERS	047	COL	B	22,600	53.28	n/a	5-Dec	678.00	3.0
PENNANT CAP MGMT	029	COL	S	200,000	53.73	n/a	5-Dec	6,000.00	3.0
f MARK ANTHONY GRONET	FID	CVGI	S	2000	9.54	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	C	S	800	26.23	n/a	15-Dec	0.00	0.0
UNITED STATES PENSION	085	DTV	S	964,468	42.20	n/a	n/a	9,644.68	1.0
B BUCK CAPITAL MGMT		EL	B	10,000	107.79	n/a	3-Nov	non-brg	4.0
SCOPUS FUND	041	EL	B	15,000	108.19	n/a	3-Nov	600.00	4.0
NORTHWESTERN MUTUAL LIFE	047	EPD	S	50,000	44.89	n/a	n/a	2,000.00	4.0
RAINIER INV MGMT	035	EWBC	B	102,490	18.89	n/a	n/a	4,099.60	4.0
WEINTRAUB CAPITAL MGT.	040	FCX	B	30,000	37.75	n/a	n/a	1,200.00	4.0
f MARK ANTHONY GRONET	FID	FFRHX	S	5195	9.60	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FOSL	SS	10,000	83.39	n/a	n/a	non-brg	4.0
OHIO PERS	047	FTR	B	128,000	4.88	n/a	n/a	3,840.00	3.0
MACQUARIE INVESTMENT MGMT.	040	GES	SS	10,000	29.38	n/a	1-Dec	0.00	0.0
f MANNY I KORMAN	FID	GMCR	S	15000	44.58	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	GM	B	5,000	20.39	n/a	2-Dec	150.00	3.0
B BUCK CAPITAL MGMT		GPS	SS	50,000	18.29	n/a	n/a	non-brg	4.0
WEINTRAUB CAPITAL MGT.	040	GS	SS	15,000	89.98	n/a	15-Dec	600.00	4.0
B BUCK CAPITAL MGMT		HANS	B	30,000	94.26	n/a	n/a	non-brg	2.5
MACQUARIE INVESTMENT MGMT.	040	HBI	S	10,000	22.19	n/a	30-Nov	0.00	0.0
MERRILL ASSET/BLACKROCK	297	HHS	S	9,215	9.56	n/a	n/a	368.60	4.0
B BUCK CAPITAL MGMT		HLF	B	20,000	51.65	n/a	n/a	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	HOLX	B	5,000	16.77	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	HUM	B	5,000	85.96	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	IGD	S	12800	8.72	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	ITW	S	5,000	47.01	n/a	5-Dec	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	JCI	SS	5,000	29.22	n/a	21-Nov	150.00	3.0
PZENA INV ADV	044	JCP	S	2,225	32.65	n/a	2-Dec	77.88	3.5
MILLENNIUM-ANDEW	031	JOY	B	5,000	76.91	n/a	15-Dec	250.00	5.0
ROSEDALE CAPITAL	046	KEG	B	20,000	13.34	n/a	13-Dec	800.00	4.0
PROSPECTOR PARTNERS LLC	036	KGC	B	10,000	12.06	n/a	n/a	400.00	4.0
SIMMONS VENTURES	041	KSWS	B	10,000	2.53	n/a	n/a	300.00	3.0
f MARK ANTHONY GRONET	FID	LAZ	S	500	23.46	n/a	15-Dec	0.00	0.0
B BUCK CAPITAL MGMT		LIZ	B	100,000	7.83	n/a	7-Oct	non-brg	3.0
B BUCK CAPITAL MGMT		LVS	B	100,000	41.87	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		LVS	B	100,000	41.87	n/a	13-Jun	non-brg	4.0
OHIO PERS	047	MAS	B	100,000	9.10	n/a	n/a	3,000.00	3.0
WEINTRAUB CAPITAL MGT.	040	MDR	B	100,000	10.20	n/a	n/a	4,000.00	4.0
DEVENNY CAP LLC	044	MGA	B	5,000	33.10	n/a	n/a	150.00	3.0
f JOHN FRANCIS MCERLEA	FID	MINI	B	300	16.49	n/a	n/a	0.00	0.0
NORTHWESTERN MUTUAL LIFE	047	MMP	S	15,700	65.70	n/a	n/a	628.00	4.0
B BUCK CAPITAL MGMT		MSMSBCM	C	3,980,694	94.24	n/a	n/a	non-brg	0.6

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		MSMSBCM	SS	3,980,694	94.24	n/a	n/a	non-brg	0.0
f	EDWARD W WHEELER	FID	MTOR	S	30000	5.35	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	MTRX	S	5000	8.71	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	MWA	S	25000	2.14	n/a	n/a	0.00	0.0
	CAISSE DEPOT PLACEMENT Q	295	MXL	B	20,000	4.44	n/a	n/a	1,000.00	5.0
B	BUCK CAPITAL MGMT		M	S	50,000	31.32	n/a	2-Dec	non-brg	4.0
	PROSPECTOR PARTNERS LLC	036	NP	S	10,000	21.71	n/a	9-Nov	400.00	4.0
	RIDGECREST INV MGMT LLC	028	NTSP	B	16,000	7.84	n/a	n/a	800.00	5.0
f	MARK ANTHONY GRONET	FID	OZM	S	1000	7.95	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		PERY	S	75,000	13.44	n/a	n/a	non-brg	4.0
	TRUSTCO/SUNTRUST	040	PFE	S	50,000	21.28	n/a	n/a	1,750.04	3.5
	HOPLITE MGMT	025	PGR	B	100,000	18.87	n/a	n/a	4,000.00	4.0
	PZENA INV ADV	044	PPG	S	425	81.63	n/a	14-Dec	14.88	3.5
f	JOSEPH CIRO AMATURO	FID	PPO	S	1000	44.20	n/a	n/a	0.00	0.0
	OHIO PERS	047	QCOM	S	40,000	53.35	n/a	n/a	1,200.00	3.0
f	JASON ERIC COHEN	FID	RIMM	B	200	13.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		RL	S	20,000	138.99	n/a	11-Nov	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	RMD	B	5,000	24.84	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	RPTP	S	1000	6.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RRR	S	13,210	17.30	16-Dec	16-Dec	non-brg	4.0
f KAREN F LEDDY	FID	RRR	S	1700	17.71	16-Dec	16-Dec	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	40,000	19.21	n/a	n/a	non-brg	4.0
CHESAPEAKE PARTNERS	028	SEMG	B	20,000	25.50	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		SIG	SS	75,000	44.42	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	SS	75,000	44.42	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	SPR	S	1,925	19.28	n/a	11-Nov	67.38	3.5
f JOSEPH CIRO AMATURO	FID	SRI	S	2000	9.06	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	SRI	S	3000	9.09	n/a	n/a	0.00	0.0
STELLIAM INV ADV	034	STX	B	5,000	15.43	n/a	n/a	250.00	5.0
BRONSON POINT	036	SWY	SS	40,000	20.56	n/a	n/a	1,200.00	3.0
DEVENNY CAP LLC	044	TEN	B	5,000	27.21	n/a	n/a	150.00	3.0
STELLIAM INV ADV	034	TEVA	S	5,000	42.71	n/a	16-Dec	250.00	5.0
f JASON ERIC COHEN	FID	TEX	B	6	2.52	n/a	28-Oct	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JASON ERIC COHEN	FID	TEX	S	13	1.20	n/a	28-Oct	0.00	0.0
B	BUCK CAPITAL MGMT		TIF	S	20,000	62.81	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		TIF	S	20,000	62.81	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		TPX	B	20,000	52.64	n/a	n/a	non-brg	4.0
	OHIO PERS	047	TXT	S	68,000	17.61	n/a	n/a	2,040.00	3.0
B	BUCK CAPITAL MGMT		ULTA	B	20,000	67.78	n/a	n/a	non-brg	4.0
	OHIO PERS	047	UNH	S	73,572	49.24	n/a	n/a	2,207.16	3.0
	WHITE PINE CAPITAL	030	UNT	S	4,000	44.28	n/a	13-Dec	120.00	3.0
	BRONSON POINT	036	URI	B	85,000	27.34	n/a	n/a	2,550.00	3.0
f	JASON ERIC COHEN	FID	URI	S	90	26.91	n/a	n/a	0.00	0.0
	OHIO PERS	047	VMED	B	30,000	21.05	n/a	n/a	900.00	3.0
	PZENA INV ADV	044	VR	S	950	29.95	n/a	n/a	33.25	3.5
	MACQUARIE INVESTMENT MGMT.	040	WCG	B	5,000	52.67	n/a	n/a	0.00	0.0
	OHIO PERS	047	WDC	B	60,000	31.44	n/a	n/a	1,800.00	3.0
B	BUCK CAPITAL MGMT		WRC	S	11,900	50.11	n/a	4-Nov	non-brg	4.0
B	BUCK CAPITAL MGMT		WYNN	C	20,000	107.05	n/a	13-Jun	non-brg	4.0
B	BUCK CAPITAL MGMT		WYNN	C	20,000	107.05	n/a	13-Jun	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JOHN BARTMAN COLE	FID	XPO	S	600	11.83	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		ZNGA	S	20,000	10.54	n/a	n/a	non-brg	2.5
f	JOHN BARTMAN COLE	FID		B	300	7.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									75,614.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/15	ADALY INV MGMT	031	CDE	SS	35,000	24.81	n/a	n/a	1575.00 4.5
AO,CXL	12/15	ADALY INV MGMT	031	CDE	SS	35,000	24.81	n/a	n/a	1750.00 5.0
AO,CRT	12/15	GALT INVESTMENT	041	CROX	B	50,000	14.37	n/a	n/a	2000.00 4.0
AO,CXL	12/15	GALT INVESTMENT	041	CROX	B	50,000	14.37	n/a	n/a	2500.00 5.0
AO,	12/14	LISTED ERR	099	HXL	B	45,000	23.34	n/a	8-Dec	0.00 0.0
AO,	12/14	LISTED ERR	099	HXL	S	45,000	23.34	n/a	8-Dec	0.00 0.0
AO,CRT	12/15	SYSTEMATIC FINANCIAL MGT	035	MWV	B	1,025	28.67	n/a	26-Oct	30.75 3.0
AO,CXL	12/15	SYSTEMATIC FINANCIAL MGT	035	MWV	B	1,025	28.67	n/a	26-Oct	30.75 3.0

TOTAL (AO, CXL, CRT) :**-675.00**

TOTAL (Trade Date) :

75,614.46

TOTAL (AO, CXL, CRT) :

-675.00

TOTAL (RUN DATE) / NFS :**74,939.46**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	12/15	BUCK CAPITAL MGMT	BODY	S	30,500	22.00	n/a	n/a	228.75	0.8
CRT	12/15	BUCK CAPITAL MGMT	BODY	S	832	22.07	n/a	n/a	8.32	1.0
AO	12/15	BUCK CAPITAL MGMT	ZNGA	B	20,000	10.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 16-Dec.

RRR

MRI Securities without Trade Activity on 16-Dec.

NONE

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)