



# Daily Compliance Activity Report

Trade Date: 12/09/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                       | RR#        | Symbol      | B/S       | Shares        | Price        | MRI        | Research     | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|-----------|---------------|--------------|------------|--------------|----------------|------------|
| COOPER CREEK PART             | 028        | ABM         | SS        | 10,000        | 21.04        | n/a        | n/a          | 400.00         | 4.0        |
| <b>f</b> JOHN M HICKEY        | <b>FID</b> | <b>AB</b>   | <b>S</b>  | <b>508</b>    | <b>13.20</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>AEO</b>  | <b>B</b>  | <b>50,000</b> | <b>14.84</b> | <b>n/a</b> | <b>2-Dec</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>f</b> DAVID GEORGE BUCK    | <b>FID</b> | <b>AML</b>  | <b>S</b>  | <b>5000</b>   | <b>16.16</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>f</b> KAREN F LEDDY        | <b>FID</b> | <b>APWC</b> | <b>B</b>  | <b>2000</b>   | <b>2.82</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| OHIO PERS                     | 047        | ARG         | B         | 26,000        | 77.34        | n/a        | 27-Oct       | 780.00         | 3.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>ARO</b>  | <b>SS</b> | <b>20,000</b> | <b>17.04</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| SEVEN LOCKS CAPITAL           | 025        | ASPS        | S         | 5,000         | 50.14        | n/a        | n/a          | 150.00         | 3.0        |
| KACELA CAPITAL                | 034        | AVY         | B         | 27,701        | 28.29        | n/a        | 2-Dec        | 1,108.04       | 4.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>BBBY</b> | <b>B</b>  | <b>20,000</b> | <b>62.74</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| HARVEST MGMT                  | 029        | BBBY        | B         | 5,000         | 62.57        | n/a        | n/a          | 200.00         | 4.0        |
| PATTEN & PATTEN               | 025        | BBY         | S         | 1,000         | 27.50        | n/a        | n/a          | 50.00          | 5.0        |
| SONTERRA CAP                  | 041        | BWA         | B         | 50,000        | 69.83        | n/a        | 9-Nov        | 2,000.00       | 4.0        |
| <b>f</b> MARGARET ANNE MCAULE | <b>FID</b> | <b>CBG</b>  | <b>B</b>  | <b>200</b>    | <b>15.55</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| BAIRD INVESTMENT              | 098        | CLB         | S         | 3,102         | 115.19       | n/a        | 21-Jul       | 155.10         | 5.0        |

| Account                       | RR#        | Symbol      | B/S       | Shares        | Price         | MRI        | Research     | Comm.¢/Shr.    |            |
|-------------------------------|------------|-------------|-----------|---------------|---------------|------------|--------------|----------------|------------|
| COPIA CAPITAL                 | 031        | CNX         | B         | 40,385        | 39.67         | n/a        | n/a          | 1,413.48       | 3.5        |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>CWTR</b> | <b>B</b>  | <b>2500</b>   | <b>1.08</b>   | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| TUDOR INVESTORS               | 028        | DD          | B         | 5,000         | 43.60         | n/a        | 9-Dec        | 150.00         | 3.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>DECK</b> | <b>C</b>  | <b>50,000</b> | <b>103.01</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| SONTERRA CAP                  | 041        | DG          | B         | 40,000        | 40.38         | n/a        | 5-Dec        | 1,600.00       | 4.0        |
| ETON PARK CAPITAL             | 041        | DLTR        | S         | 17,200        | 83.31         | n/a        | 22-Nov       | 688.00         | 4.0        |
| HARVEST MGMT                  | 029        | DRI         | SS        | 5,000         | 43.62         | n/a        | 6-Dec        | 200.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>EXPR</b> | <b>B</b>  | <b>50,000</b> | <b>20.19</b>  | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>FOSL</b> | <b>SS</b> | <b>25,000</b> | <b>85.05</b>  | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| WOODWAY FINANCIAL             | 031        | GE          | S         | 150           | 16.96         | n/a        | n/a          | 9.00           | 6.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GIL</b>  | <b>S</b>  | <b>75,000</b> | <b>19.08</b>  | <b>n/a</b> | <b>2-Dec</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>HLF</b>  | <b>B</b>  | <b>30,000</b> | <b>54.81</b>  | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>4.0</b> |
| WOODWAY FINANCIAL             | 031        | HPQ         | S         | 1,050         | 28.27         | n/a        | n/a          | 63.00          | 6.0        |
| <b>f JASON ERIC COHEN</b>     | <b>FID</b> | <b>HTZ</b>  | <b>B</b>  | <b>180</b>    | <b>11.48</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| OHIO PERS                     | 047        | HUN         | S         | 204,309       | 10.01         | n/a        | n/a          | 6,129.27       | 3.0        |

| Account                 | RR# | Symbol  | B/S | Shares  | Price | MRI | Research | Comm. ¢/Shr. |      |
|-------------------------|-----|---------|-----|---------|-------|-----|----------|--------------|------|
| LATEFF MGMT             | 035 | INTC    | S   | 500     | 24.97 | n/a | n/a      | 75.00        | 15.0 |
| WOODWAY FINANCIAL       | 031 | INTC    | S   | 500     | 24.92 | n/a | n/a      | 30.00        | 6.0  |
| MADISON ST PARTNERS LLC | 046 | IWM     | B   | 47,972  | 74.09 | n/a | n/a      | 2,398.60     | 5.0  |
| HARVEST MGMT            | 029 | JACK    | SS  | 5,000   | 20.79 | n/a | n/a      | 200.00       | 4.0  |
| ⚡ BUCK CAPITAL MGMT     |     | JCP     | SS  | 20,000  | 33.51 | n/a | 2-Dec    | non-brg      | 4.0  |
| ⚡ BUCK CAPITAL MGMT     |     | JCP     | SS  | 30,000  | 33.51 | n/a | 2-Dec    | non-brg      | 4.0  |
| ⚡ NICOLAS EVAN PAKLER   | FID | JCP     | B   | 400     | 33.62 | n/a | 2-Dec    | 0.00         | 0.0  |
| ⚡ BUCK CAPITAL MGMT     |     | JOSB    | S   | 50,000  | 50.26 | n/a | n/a      | non-brg      | 4.0  |
| ⚡ MARC PAUL LUCHANSKY   | FID | JPM     | B   | 500     | 33.16 | n/a | 5-Dec    | 0.00         | 0.0  |
| LATEFF MGMT             | 035 | KMB     | S   | 150     | 70.02 | n/a | 25-Oct   | 45.00        | 30.0 |
| ⚡ BUCK CAPITAL MGMT     |     | KMX     | S   | 38,115  | 30.91 | n/a | n/a      | non-brg      | 4.0  |
| ⚡ DAVID GEORGE BUCK     | FID | KVA     | B   | 5000    | 1.61  | n/a | n/a      | 0.00         | 0.0  |
| ⚡ BUCK CAPITAL MGMT     |     | MFRM    | B   | 20,000  | 22.22 | n/a | n/a      | non-brg      | 4.0  |
| ⚡ JASON ERIC COHEN      | FID | MINI    | B   | 150     | 16.82 | n/a | n/a      | 0.00         | 0.0  |
| STELLIAM INV ADV        | 034 | MPC     | S   | 20,000  | 34.00 | n/a | n/a      | 1,000.00     | 5.0  |
| WOODWAY FINANCIAL       | 031 | MRVL    | B   | 1,500   | 14.20 | n/a | n/a      | 90.00        | 6.0  |
| ⚡ BUCK CAPITAL MGMT     |     | MSMSBCD | C   | 566,535 | 97.34 | n/a | n/a      | non-brg      | 7.8  |

| Account                       | RR#        | Symbol          | B/S       | Shares         | Price         | MRI        | Research   | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-----------------|-----------|----------------|---------------|------------|------------|----------------|------------|
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>MSMSBCM</b>  | <b>C</b>  | <b>50,000</b>  | <b>96.56</b>  | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>7.7</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>MSMSRASH</b> | <b>SS</b> | <b>542,000</b> | <b>101.23</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>8.1</b> |
| MTB INV ADV                   | 034        | MTW             | S         | 162,233        | 10.50         | n/a        | 26-Oct     | 4,866.99       | 3.0        |
| PATTEN & PATTEN               | 025        | NUE             | B         | 400            | 40.15         | n/a        | n/a        | 20.00          | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>NUS</b>      | <b>B</b>  | <b>30,000</b>  | <b>49.07</b>  | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| DSG CAPITAL                   | 030        | NYB             | B         | 20,000         | 12.05         | n/a        | 7-Dec      | 600.00         | 3.0        |
| LATEFF MGMT                   | 035        | NYB             | S         | 1,000          | 12.06         | n/a        | 7-Dec      | 100.00         | 10.0       |
| <b>f MARGARET ANNE MCAULE</b> | <b>FID</b> | <b>ONNN</b>     | <b>B</b>  | <b>150</b>     | <b>8.03</b>   | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| WOODWAY FINANCIAL             | 031        | PETM            | S         | 225            | 49.12         | n/a        | n/a        | 13.50          | 6.0        |
| ETON PARK CAPITAL             | 041        | PFE             | S         | 250,000        | 20.55         | n/a        | n/a        | 10,000.00      | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>PII</b>      | <b>B</b>  | <b>20,000</b>  | <b>59.05</b>  | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| HARVEST MGMT                  | 029        | PIR             | B         | 10,000         | 13.45         | n/a        | n/a        | 400.00         | 4.0        |
| BNP PARIBAS SEC               | 040        | PLCE            | SS        | 12,712         | 55.40         | n/a        | 22-Nov     | 635.60         | 5.0        |
| SCOPUS FUND                   | 041        | PVH             | B         | 60,000         | 71.86         | n/a        | 2-Dec      | 2,400.00       | 4.0        |
| LATEFF MGMT                   | 035        | RKT             | B         | 600            | 57.42         | n/a        | 10-Nov     | 90.00          | 15.0       |
| DARUMA ASSET MGMT INC         | 046        | ROG             | B         | 5,100          | 40.29         | n/a        | n/a        | 204.00         | 4.0        |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>RYN</b>  | <b>B</b> | <b>500</b>    | <b>41.60</b> | <b>n/a</b> | <b>26-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>SCSS</b> | <b>B</b> | <b>40,000</b> | <b>20.62</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>200</b>    | <b>14.13</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| KAM ADVISORS LLC              | 041        | SLB         | S        | 23,100        | 74.22        | n/a        | n/a           | 693.00         | 3.0        |
| <b>f MARGARET ANNE MCAULE</b> | <b>FID</b> | <b>SNCR</b> | <b>B</b> | <b>200</b>    | <b>30.55</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| NOKOMIS PARTNERS              | 031        | SYNA        | SS       | 20,000        | 33.49        | n/a        | n/a           | 600.00         | 3.0        |
| PATTEN & PATTEN               | 025        | TEVA        | B        | 300           | 40.18        | n/a        | 9-Dec         | 15.00          | 5.0        |
| MELLON/BANK OF NEW YORK       | 046        | TMO         | S        | 220,100       | 45.25        | n/a        | n/a           | 8,804.00       | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>TPX</b>  | <b>B</b> | <b>20,000</b> | <b>52.61</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| ARMATURE CAPITAL              | 041        | TXT         | SS       | 50,000        | 18.17        | n/a        | n/a           | 2,000.00       | 4.0        |
| WEINTRAUB CAPITAL MGT.        | 040        | WHR         | B        | 25,000        | 49.78        | n/a        | n/a           | 1,000.00       | 4.0        |
| DAVIDSON KEMPNER ADVISOR      | 040        | WLP         | S        | 25,000        | 66.91        | n/a        | n/a           | 1,250.00       | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>WNC</b>  | <b>S</b> | <b>31,300</b> | <b>7.70</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>3.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>WRC</b>  | <b>S</b> | <b>60,600</b> | <b>51.97</b> | <b>n/a</b> | <b>4-Nov</b>  | <b>non-brg</b> | <b>4.0</b> |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>XPO</b>  | <b>S</b> | <b>345</b>    | <b>11.23</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. |     |
|---------------------|---------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| f                   | JOHN M HICKEY | FID | YMI    | B   | 5000   | 1.70  | n/a | n/a      | 0.00         | 0.0 |
| TOTAL (Trade Date): |               |     |        |     |        |       |     |          | 52,626.58    |     |

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

| Type                          | Date  | Account         | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr.    |
|-------------------------------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|----------------|
| AO,CRT                        | 12/08 | GALT INVESTMENT | 041  | AEO    | B   | 50,000 | 14.77 | n/a | 2-Dec    | 2000.00 4.0    |
| AO,CXL                        | 12/08 | GALT INVESTMENT | 041  | AEO    | B   | 50,000 | 14.77 | n/a | 2-Dec    | 2500.00 5.0    |
| AO,CRT                        | 12/06 | LISTED ERR      | 099  | MW     | B   | 2,500  | 27.48 | n/a | n/a      | 0.00 0.0       |
| AO,CRT                        | 12/06 | LISTED ERR      | 099  | MW     | S   | 2,500  | 27.50 | n/a | n/a      | 0.00 0.0       |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                 |      |        |     |        |       |     |          | <b>-500.00</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 52,626.58 |
| TOTAL (AO, CXL, CRT) : | -500.00   |

|                                 |                  |
|---------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS :</b> | <b>52,126.58</b> |
|---------------------------------|------------------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 9-Dec.  
NONE

MRI Securities without Trade Activity on 9-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)**