



Daily Compliance Activity Report

Trade Date: 01/05/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	S	3,173	333.20	n/a	n/a	non-brg	2.0
JOSEPH CIRO AMATURO	FID	ACW	S	8000	15.67	n/a	n/a	0.00	0.0
KAREN F LEDDY	FID	ACW	B	700	15.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AEO	C	1,900	14.52	n/a	4-Jan	non-brg	2.0
OSKIE CAPITAL MGMT	224	AMTD	S	15,000	19.05	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	54.96	n/a	4-Jan	600.00	3.0
BUCK CAPITAL MGMT		ANF	S	10,000	55.12	n/a	4-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	10,000	56.41	n/a	4-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	28,000	55.51	n/a	4-Jan	non-brg	2.0
DENVER INST. ADV	046	ANF	S	17,200	55.06	n/a	4-Jan	688.00	4.0
BUCK CAPITAL MGMT		ANN	S	16,463	24.88	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		AN	C	915	28.44	n/a	29-Oct	non-brg	2.0
WILLIAM J GAULT	FID	APC	B	1000	74.62	n/a	14-Dec	0.00	0.0
BUCK CAPITAL MGMT		ARO	C	3,100	24.48	n/a	4-Jan	non-brg	2.0
BALYASNY ASSET MGMT	044	ASNA	B	25,000	26.25	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT		ASNA	S	20,000	26.25	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ASNA	S	55,413	26.34	n/a	n/a	non-brg	2.0
CRAMER ROSENTHAL/SCOTT	012	ATVI	S	400	12.30	n/a	n/a	16.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		AXL	S	50,000	13.95	n/a	3-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		AXL	S	50,000	14.35	n/a	3-Jan	non-brg	4.0
MILLRACE FUND LP	028	AXL	SS	55,000	14.04	n/a	3-Jan	2,200.00	4.0
OSKIE CAPITAL MGMT	224	AXL	S	20,000	14.35	n/a	3-Jan	1,000.00	5.0
TRELLUS PARTNERS LP	028	AXL	SS	9,900	14.40	n/a	3-Jan	495.00	5.0
ß BUCK CAPITAL MGMT		BBY	C	1,900	34.82	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BBY	C	58,100	35.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BC	C	1,000	20.06	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BC	SS	20,000	19.80	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	BEC	S	14,600	76.27	n/a	n/a	584.00	4.0
f FRANCIS MICHAEL MCCA	FID	BEE	B	2500	5.48	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BID	S	10,900	46.02	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	30.56	n/a	7-Dec	600.00	3.0
ß BUCK CAPITAL MGMT		BIG	B	30,000	30.47	n/a	7-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		BIG	S	10,700	30.50	n/a	7-Dec	non-brg	2.0
ß BUCK CAPITAL MGMT		BJRI	C	600	33.87	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BJRI	SS	10,000	33.87	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BJ	SS	10,000	46.40	n/a	n/a	300.00	3.0
ß BUCK CAPITAL MGMT		BJ	C	10,000	46.28	n/a	n/a	non-brg	2.5
f JOHN MICHAEL ZOLIDIS	FID	BKS	B	650	15.95	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		BODY	S	10,664	15.20	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BONT	S	25,000	12.81	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BOX	S	200	13.90	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	BPFH	B	7,000	6.89	n/a	n/a	280.00	4.0
ß BUCK CAPITAL MGMT		BYD	C	3,580	11.77	n/a	n/a	non-brg	2.0
f CHRISTOPHER ROBERT C	FID	BYD	S	300	11.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CACH	S	2,900	4.33	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CBK	B	100,000	5.96	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		CBK	B	50,000	5.86	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		CBK	S	16,400	5.86	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CHS	S	32,060	11.76	n/a	5-Feb	non-brg	2.0
ß BUCK CAPITAL MGMT		COH	S	13,836	52.08	n/a	27-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		COLM	C	900	60.01	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CRI	C	1,800	28.60	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CRI	SS	20,000	28.72	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CROX	S	12,988	17.08	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CSTR	S	11,590	56.22	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CAP MGMT LLC	084	CVGI	B	30,000	17.48	n/a	n/a	1,500.00	5.0
MELLON/BANK OF NEW YORK	046	CYN	B	6,000	63.01	n/a	n/a	240.00	4.0
MERRILL ASSET/BLACKROCK	266	CYN	B	500	62.40	n/a	n/a	20.00	4.0
METROPOLITAN CAPITAL	044	DAN	S	23,735	18.02	n/a	3-Jan	1,186.75	5.0
ß BUCK CAPITAL MGMT		DDS	S	17,800	38.09	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DECK	S	12,037	80.47	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DECK	S	25,000	79.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	S	5,000	80.53	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	DECK	B	50	79.70	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	DG	SS	15,000	29.40	n/a	16-Dec	750.00	5.0
ß BUCK CAPITAL MGMT		DLTR	S	9,450	52.11	n/a	18-Nov	non-brg	2.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	B	25,000	16.49	n/a	10-Dec	875.00	3.5
BUCK CAPITAL MGMT	001	EAT	SS	10,000	21.00	n/a	3-Jan	300.00	3.0
ß BUCK CAPITAL MGMT		EAT	C	1,900	21.08	n/a	3-Jan	non-brg	2.0
ß BUCK CAPITAL MGMT		EAT	SS	10,000	21.17	n/a	3-Jan	non-brg	4.0
WAGONHOUND/NIC	289	EDC	B	5,400	42.67	n/a	n/a	162.00	3.0
ß BUCK CAPITAL MGMT		EL	C	600	82.85	n/a	7-Dec	non-brg	2.0
ß BUCK CAPITAL MGMT		ETH	C	1,800	20.80	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		EXPR	S	1,700	18.23	n/a	n/a	non-brg 2.0
ASCEND PARTNERS	033	FDO	SS	59,350	45.51	n/a	5-Jan	2,967.50 5.0
BUCK CAPITAL MGMT		FDO	C	1,000	45.40	n/a	5-Jan	non-brg 2.0
HARRIER HAWK MGMT	028	FDO	B	12,900	45.58	n/a	5-Jan	516.00 4.0
LEVIN CAPITAL STRATEGIES	012	FDO	SS	75,000	45.52	n/a	5-Jan	2,250.00 3.0
BUCK CAPITAL MGMT		FINL	S	46,020	16.57	n/a	n/a	non-brg 2.0
RBC CAPITAL MARKETS	040	FLR	B	10,000	65.31	n/a	n/a	400.00 4.0
BUCK CAPITAL MGMT		FL	S	37,600	19.02	n/a	22-Dec	non-brg 2.0
HARVEST MGMT	029	FL	S	15,000	19.13	n/a	22-Dec	750.00 5.0
RAINIER INV MGMT	035	FMC	B	23,660	77.85	n/a	8-Dec	946.40 4.0
BUCK CAPITAL MGMT		FOSL	S	10,000	72.21	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		FOSL	S	18,663	72.09	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		FOSL	S	20,000	72.18	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		FRED	C	1,400	14.09	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		GCO	S	3,690	36.69	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		GES	S	24,409	46.02	n/a	24-Nov	non-brg 2.0
BUCK CAPITAL MGMT		GIII	S	14,800	35.93	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		GIII	S	15,200	36.40	n/a	n/a	non-brg 2.5
BUCK CAPITAL MGMT		GIII	S	20,000	36.35	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		GIII	S	20,021	36.37	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		GIII	S	27,100	36.06	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIL	S	20,000	28.06	n/a	3-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	48,571	28.03	n/a	3-Dec	non-brg	2.0
⚡ BUCK CAPITAL MGMT		GMCR	S	17,168	33.85	n/a	n/a	non-brg	2.0
OSKIE CAPITAL MGMT	224	GM	B	5,000	37.87	n/a	5-Jan	250.00	5.0
JP MORGAN VENTURES	046	GPS	B	15,000	21.66	n/a	n/a	750.00	5.0
⚡ BUCK CAPITAL MGMT		GRMN	C	5,554	31.59	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		HBI	S	20,000	24.82	n/a	28-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	51,371	24.57	n/a	28-Oct	non-brg	2.0
PARAMETER CAPITAL MGMT LLC044		HCP	S	27,000	37.01	n/a	n/a	1,080.00	4.0
f CHRISTOPHER ROBERT C	FID	HEES	B	400	11.97	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		HGG	C	1,000	21.97	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		HTZ	S	14,473	14.71	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IBOC	C	1,801	20.58	n/a	n/a	non-brg	2.0
NEWLAND CAPITAL MGT	025	ICO	B	12,500	8.35	n/a	n/a	500.00	4.0
⚡ BUCK CAPITAL MGMT		IMAX	S	12,000	28.27	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JMP ASSET MGMT	210	IPSU	B	1,339	12.98	n/a	n/a	66.95	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	125,000	28.08	n/a	15-Dec	6,250.00	5.0
BALYASNY ASSET MGMT	044	ITW	B	10,000	54.28	n/a	3-Jan	500.00	5.0
ß BUCK CAPITAL MGMT		JACK	S	7,000	21.45	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		JBLU	S	25,000	7.10	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		JNY	S	79,052	15.51	n/a	28-Oct	non-brg	2.0
CADIAN CAPITAL	041	JNY	S	100,000	15.51	n/a	28-Oct	3,000.00	3.0
ß BUCK CAPITAL MGMT		JOSB	S	25,464	40.58	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		JOSB	S	30,000	40.46	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	S	3,497	42.87	n/a	4-Jan	non-brg	2.0
ß BUCK CAPITAL MGMT		KR	C	4,600	21.94	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		KSS	S	15,100	53.89	n/a	4-Jan	non-brg	2.0
SANDLER O'NEILL ASSET	031	LAZ	S	7,300	40.51	n/a	16-Dec	365.00	5.0
METROPOLITAN CAPITAL	044	LEA	S	3,800	105.07	n/a	3-Jan	190.00	5.0
ß BUCK CAPITAL MGMT		LIZ	S	48,217	7.04	n/a	7-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		LL	S	13,055	26.23	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		LL	S	20,000	26.01	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	9.94	n/a	8-Nov	3,750.00	5.0
ß BUCK CAPITAL MGMT		LTD	S	38,698	29.66	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		LTM	C	900	41.54	n/a	n/a	non-brg	2.0
ASCEND PARTNERS	033	MCD	SS	62,421	74.73	5-Jan	5-Jan	3,121.05	5.0
f ABRAM M CHAPPELL	FID	MEAS	S	60	28.54	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MNRO	S	10,000	32.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MNRO	S	9,236	31.93	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MSMSRAW3	C	21,300	135.22	n/a	n/a	non-brg	13.5
ß BUCK CAPITAL MGMT		MSMSRAWW	C	52,900	111.80	n/a	n/a	non-brg	11.2
WAGONHOUND/NIC	289	MSM	S	3,695	65.00	n/a	n/a	147.80	4.0
ß BUCK CAPITAL MGMT		MVRX	C	41,100	211.70	n/a	n/a	non-brg	21.2
S.A.C. CAP/ORENSTEIN	044	MWV	SS	30,000	27.01	n/a	28-Oct	1,050.00	3.5
ß BUCK CAPITAL MGMT		MW	C	2,100	24.86	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		M	S	57,419	25.12	n/a	4-Jan	non-brg	2.0
f RAVI SADARANGANI	FID	NAV	B	500	58.11	n/a	n/a	0.00	0.0

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BUCK CAPITAL MGMT		NWY	S	14,600	4.52	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		OXM	B	10,000	26.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		OXM	S	3,100	26.53	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PAG	S	10,200	17.06	n/a	3-Jan	non-brg	2.0
KAREN F LEDDY	FID	PAG	S	500	17.03	n/a	3-Jan	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	PCAR	B	20,000	57.65	n/a	3-Jan	800.00	4.0
PROSPECTOR PARTNERS LLC	036	PEP	B	6,500	66.06	n/a	n/a	260.00	4.0
BUCK CAPITAL MGMT		PERY	S	1,500	26.18	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PIR	S	20,051	10.46	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PIR	S	30,000	10.52	n/a	n/a	non-brg	4.0
THOMPSON SIEGAL&WALMSLEY	029	PKG	S	10,067	26.25	n/a	15-Dec	393.18	3.9
BUCK CAPITAL MGMT		PLCE	S	16,279	47.14	n/a	18-Nov	non-brg	2.0
EDWARD W WHEELER	FID	POWL	B	3000	34.76	n/a	n/a	0.00	0.0
CHRISTOPHER ARTHUR K	FID	PRHSX	B	520	30.78	n/a	n/a	0.00	0.0
NICOLAS APPEGATE	084	PRU	B	19,200	60.78	n/a	n/a	384.00	2.0
BUCK CAPITAL MGMT		PSS	C	7,600	21.05	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PSUN	C	1,300	5.37	n/a	n/a	non-brg	2.0

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ß BUCK CAPITAL MGMT		PVH	S	23,270	62.29	n/a	3-Dec	non-brg	2.0
ß BUCK CAPITAL MGMT		PZZA	C	900	27.94	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PZZA	SS	10,000	28.10	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		PZZA	SS	15,000	27.77	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RGC	S	9,400	12.18	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RL	C	768	109.29	n/a	11-Nov	non-brg	2.0
JET CAPITAL/CHRIS	041	RMBS	S	25,000	20.24	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		ROST	C	2,400	62.17	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RRGB	C	600	20.71	n/a	n/a	non-brg	2.0
DSG CAPITAL	012	RRR	B	6,402	10.24	n/a	25-Oct	192.06	3.0
f KAREN F LEDDY	FID	RRR	B	1100	10.06	n/a	25-Oct	0.00	0.0
OSKIE CAPITAL MGMT	224	RRR	S	10,000	10.40	n/a	25-Oct	500.00	5.0
ß BUCK CAPITAL MGMT		RTH	C	2,200	106.74	n/a	n/a	non-brg	2.0
MANNING & NAPIER	034	SHW	S	78,632	83.49	n/a	5-Jan	2,358.96	3.0
ß BUCK CAPITAL MGMT		SIG	S	14,900	43.00	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SKS	C	8,400	10.93	n/a	n/a	non-brg	2.0
ADALY INV MGMT	031	SLM	B	40,000	12.84	n/a	5-Jan	1,600.00	4.0

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BUCK CAPITAL MGMT		SODA	S	8,900	27.98	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SONC	C	2,500	10.90	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SONC	SS	20,000	11.20	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SONC	SS	40,000	10.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SPY	C	5,101	127.48	n/a	n/a	non-brg	2.0
COLUMBUS CAP MGMT LLC	084	SRI	B	50,000	16.44	n/a	n/a	2,500.00	5.0
NOMURA CAPITAL	029	SSCC	S	5,000	25.99	n/a	15-Dec	150.00	3.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	25,000	25.96	n/a	15-Dec	1,000.00	4.0
BUCK CAPITAL MGMT		SUMR	S	15,000	7.76	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		SUMR	S	19,786	7.76	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	SVU	SS	40,000	9.17	n/a	n/a	800.00	2.0
BUCK CAPITAL MGMT		SVU	C	2,500	9.05	n/a	n/a	non-brg	2.0
WILLIAM J GAULT	FID	SWN	B	1000	37.21	n/a	17-Dec	0.00	0.0
BUCK CAPITAL MGMT		SWY	C	10,500	21.51	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SWY	SS	10,000	21.83	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.63	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	B	30,000	4.56	n/a	n/a	1,500.00	5.0
PARAMETER CAPITAL MGMT LLC	044	TEX	B	75,000	30.25	n/a	22-Oct	3,000.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	250,000	58.89	n/a	4-Jan	7,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		TGT	S	6,200	59.02	n/a	4-Jan	non-brg	2.0
NICOLAS APPEGATE	084	TGT	B	31,200	58.95	n/a	4-Jan	624.00	2.0
MERRILL ASSET/BLACKROCK	266	THG	S	8,880	46.25	n/a	n/a	355.20	4.0
⚡ BUCK CAPITAL MGMT		TJX	S	9,300	42.83	n/a	4-Jan	non-brg	2.0
⚡ BUCK CAPITAL MGMT		TLB	S	67,867	7.93	n/a	n/a	non-brg	2.0
CIRCLE T/SES PART	035	TLB	S	25,000	7.91	n/a	n/a	1,000.00	4.0
STRONG/MARK GRONET	030	TLB	B	100,740	7.88	n/a	n/a	3,022.20	3.0
⚡ BUCK CAPITAL MGMT		TPX	S	4,000	40.66	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		TRLG	C	600	20.30	n/a	n/a	non-brg	2.0
MERRILL ASSET/BLACKROCK	266	TTI	B	15,500	11.31	n/a	n/a	620.00	4.0
⚡ BUCK CAPITAL MGMT		TWMC	C	700	1.72	n/a	n/a	non-brg	2.0
NICOLAS APPEGATE	084	TXN	B	52,100	32.64	n/a	n/a	1,042.00	2.0
⚡ BUCK CAPITAL MGMT		TXRH	C	600	17.46	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		UA	C	600	55.59	n/a	27-Oct	non-brg	2.0
Ⓣ CHRISTOPHER ROBERT C	FID	UFS	S	75	78.71	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		URBN	B	30,000	35.90	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	18,462	35.78	n/a	n/a	non-brg	2.0
JETSTREAM GLOBAL FUND LP	065	URI	S	40,000	24.03	n/a	n/a	2,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		VFC	C	9,500	85.26	n/a	22-Oct	non-brg	2.0
BALYASNY ASSET MGMT	044	VRA	S	10,000	35.75	n/a	n/a	500.00	5.0
f ABRAM M CHAPPELL	FID	VTG	S	1000	2.00	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	WBS	B	30,000	20.61	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		WFMI	C	600	49.29	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		WMS	S	1,500	47.16	n/a	23-Dec	non-brg	2.0
B BUCK CAPITAL MGMT		WMT	C	7,700	54.82	n/a	17-Nov	non-brg	2.0
f JOSEPH CIRO AMATURO	FID	WNC	S	1000	12.06	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	WNC	S	20000	12.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	10,000	53.34	n/a	9-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	S	26,232	53.36	n/a	9-Nov	non-brg	2.0
CAXTON PART	040	WY	B	100,000	20.01	n/a	29-Oct	3,500.02	3.5
WEINTRAUB CAPITAL MGT.	040	WY	S	150,000	19.88	n/a	29-Oct	6,000.00	4.0
B BUCK CAPITAL MGMT		XRT	C	35,700	47.82	n/a	n/a	non-brg	2.0
f CHRISTOPHER ARTHUR K	FID	YACKX	B	1077	16.71	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	ZINC	B	3900	12.50	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

86,999.07

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	12/31	LISTED ERR	099	CTXS	B	20,300	68.18	n/a	n/a	0.00	0.0
AO,CXL	12/31	LISTED ERR	097	CTXS	S	20,300	68.18	n/a	n/a	0.00	0.0
AO,CRT	12/31	WINSLOW CAPITAL	030	CTXS	B	20,300	68.18	n/a	n/a	609.00	3.0
AO,CXL	12/31	WINSLOW CAPITAL	030	CTXS	B	20,300	68.18	n/a	n/a	609.00	3.0
AO,CRT	01/04	COLUMBUS CAP MGMT LLC	084	CVGI	B	50,000	16.84	n/a	n/a	2500.00	5.0
AO,CXL	01/04	COLUMBUS CAP MGMT LLC	084	CVGI	B	50,000	16.84	n/a	n/a	1500.00	3.0
AO,CRT	01/04	SIGMA CAP BOBBY	044	MAR	B	25,000	41.07	n/a	7-Dec	875.00	3.5
AO,CXL	01/04	SIGMA CAP BOBBY	044	MAR	B	25,000	41.07	n/a	7-Dec	0.00	0.0
AO,CRT	01/04	BALLAST CAP	040	SVU	B	7,800	8.91	n/a	n/a	234.00	3.0
AO,CXL	01/04	BALLAST CAP	040	SVU	B	7,800	8.91	n/a	n/a	390.00	5.0
TOTAL (AO, CXL, CRT) :										1,719.00	

TOTAL (Trade Date) :	86,999.07
TOTAL (AO, CXL, CRT) :	1,719.00

TOTAL (RUN DATE) / NFS:	88,718.07
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MRI Securities with Trade Activity on 5-Jan.

MCD

MRI Securities without Trade Activity on 5-Jan.

MON, KMT, ETN

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 3%

YTD = 8%

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)