



Daily Compliance Activity Report

Trade Date: 01/06/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		210 HK	S	118,500	1.02	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		494 HK	S	49,000	6.27	n/a	n/a	non-brg	1.3
B BUCK CAPITAL MGMT		7974 JP	S	800	281.27	n/a	n/a	non-brg	42.2
f KAREN F LEDDY	FID	ABG	S	500	18.49	n/a	27-Oct	0.00	0.0
B BUCK CAPITAL MGMT		AEO	C	58,100	14.39	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	118,400	15.49	n/a	4-Jan	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV041	AEO		B	3,000	15.02	n/a	4-Jan	150.00	5.0
MA CAPITAL MGMT/MELLON ADV041	AEO		SS	3,000	15.17	n/a	4-Jan	150.00	5.0
SHEFFIELD ASSET MGMT	031	AEO	B	110,000	15.52	n/a	4-Jan	5,500.00	5.0
SURSUM CAPITAL	215	AEO	SS	20,000	14.48	n/a	4-Jan	600.00	3.0
f DAVID GEORGE BUCK	FID	AIG	S	1000	60.64	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	ANF	SS	20,000	53.59	n/a	4-Jan	600.00	3.0
f WILLIAM J GAULT	FID	APC	B	3000	74.20	n/a	14-Dec	0.00	0.0
f WILLIAM J GAULT	FID	APC	S	2000	74.52	n/a	14-Dec	0.00	0.0
B BUCK CAPITAL MGMT		ARO	C	70,000	24.92	n/a	4-Jan	non-brg	4.0
BNP PARIBAS SEC	040	ASNA	B	10,000	26.15	n/a	n/a	500.00	5.0
FIRST NY SEC/CHRIS	041	BAC	SS	15,000	14.44	n/a	6-Jan	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ELLIOT LUCHANSKY	FID	BA	B	100	68.81	n/a	22-Nov	0.00	0.0
SAC TRADING TOM LEDDY	035	BBY	B	34,950	35.55	n/a	n/a	1,223.25	3.5
ß BUCK CAPITAL MGMT		BC	C	49,000	20.96	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	BEE	B	835	5.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BONT	S	16,500	12.40	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BONT	S	800	12.39	n/a	n/a	non-brg	2.0
Õ Nilsa Vazquez		BZH	S	2000	5.74	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	BZ	S	25,000	8.15	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		CBK	B	50,000	5.93	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		CBK	B	83,100	5.93	n/a	n/a	non-brg	0.8
CAPITAL GROWTH MGMT.	241	CMI	B	64,700	112.62	n/a	4-Jan	3,235.00	5.0
f CHRISTOPHER ROBERT C	FID	CMRE	S	500	14.49	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	COP	B	1000	67.03	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CRI	SS	30,000	28.61	n/a	n/a	non-brg	4.0
f ANTHONY NG	FID	CSCO	B	245	20.82	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	CSX	B	25,000	66.18	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	CYN	B	3,300	62.50	n/a	n/a	132.00	4.0
SANDLER O'NEILL ASSET	031	C	B	132,300	5.01	n/a	6-Jan	2,646.00	2.0
SCHOTTENFELD ASSOC	041	C	S	10,000	4.95	n/a	6-Jan	300.00	3.0
f KAREN F LEDDY	FID	DPTR	S	11000	0.76	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041	DPZ		B	2,000	16.55	n/a	10-Dec	100.00	5.0
f JOHN BARTMAN COLE	FID	DRYS	B	5500	5.59	n/a	n/a	0.00	0.0
BASIX	033	EAT	B	47,000	21.63	n/a	3-Jan	1,410.00	3.0
BUCK CAPITAL MGMT	001	EAT	SS	20,000	21.48	n/a	3-Jan	600.00	3.0
f DAVID GEORGE BUCK	FID	ESRX	B	1000	57.08	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	GES	SS	55,654	44.85	n/a	24-Nov	1,669.62	3.0
CAPITAL GROWTH MGMT.	241	GM	B	5,500	38.97	n/a	5-Jan	165.00	3.0
OSKIE CAPITAL MGMT	224	GNW	B	20,000	14.21	n/a	n/a	1,000.00	5.0
GRANITE CAPITAL	028	GPS	B	14,000	20.48	n/a	n/a	700.00	5.0
OSKIE CAPITAL MGMT	224	GPS	B	8,000	20.79	n/a	n/a	400.00	5.0
BALYASNY ASSET MGMT	044	GWV	C	5,000	134.29	n/a	5-Jan	250.00	5.0
COUGAR TRADING	044	GWV	B	5,000	136.61	n/a	5-Jan	250.00	5.0
COUGAR TRADING	044	GWV	SS	5,000	135.77	n/a	5-Jan	250.00	5.0
f EDWARD W WHEELER	FID	HEES	B	5000	11.83	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		HGG	C	29,000	20.58	n/a	n/a	non-brg	2.0
DAVIDSON KEMPNER ADVISOR	040	HRS	B	10,700	45.52	n/a	5-Jan	535.00	5.0
f EDWARD W WHEELER	FID	HWCC	B	5000	13.73	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	IPI	B	10,000	36.05	n/a	n/a	500.00	5.0
JMP ASSET MGMT	210	IPSU	B	13,215	13.03	n/a	n/a	660.75	5.0
PARAMETER CAPITAL MGMT LLC	044	JNS	S	148,000	13.44	n/a	n/a	5,920.00	4.0
COUGAR TRADING	044	JNY	B	5,000	15.80	n/a	28-Oct	250.00	5.0
S.A.C. CAP/ORENSTEIN	044	JRCC	B	50,000	26.03	n/a	n/a	1,750.00	3.5
DELTEC ASSET MGMT.	040	JWN	S	15,000	43.35	n/a	4-Jan	750.00	5.0
THE JAY GOLDMAN	028	JWN	B	25,000	43.20	n/a	4-Jan	1,000.00	4.0
MATRIX ASSET ADV.	091	KO	B	2,500	63.23	n/a	23-Dec	20.00	2.0
B BUCK CAPITAL MGMT		KSS	B	20,000	52.77	n/a	4-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	KSS	B	20	0.90	n/a	4-Jan	0.00	0.0
SURSUM CAPITAL	215	KSS	SS	20,000	52.78	n/a	4-Jan	600.00	3.0
f DAVID GEORGE BUCK	FID	LGND	B	2500	9.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LTD	B	81,900	29.13	n/a	n/a	non-brg	4.0
SURSUM CAPITAL	215	LTD	B	25,000	29.09	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		MNRO	B	10,000	32.23	n/a	n/a	non-brg	4.0
MARC PAUL LUCHANSKY	FID	MON	B	100	70.83	n/a	6-Jan	0.00	0.0
DAVID GEORGE BUCK	FID	MRK	B	1000	36.85	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	MTG	S	8,000	11.45	n/a	n/a	400.00	5.0
CHRISTOPHER ROBERT C	FID	MWA	B	600	4.36	n/a	n/a	0.00	0.0
JOEL GIFFORD TISS	FID	MWA	B	20000	4.35	n/a	n/a	0.00	0.0
THIRD POINT MGMT	044	M	B	100,000	24.00	n/a	4-Jan	4,000.00	4.0
CATAPULT	040	NCR	B	25,000	16.57	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		NWY	B	20,000	5.03	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		NWY	S	23,872	5.07	n/a	n/a	non-brg	2.0
JOHN MICHAEL ZOLIDIS	FID	NWY	B	2000	5.07	n/a	n/a	0.00	0.0
JONATHAN RICHARD HAR	FID	OEH	S	350	13.77	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	OMC	B	134,400	47.33	n/a	n/a	5,376.00	4.0
FIRST NY SEC/CHRIS	041	OMX	B	3,600	17.81	n/a	n/a	180.00	5.0
BUCK CAPITAL MGMT		OTP HB	C	2,200	25.17	n/a	n/a	non-brg	7.6
BUCK CAPITAL MGMT		OXM	B	10,000	27.40	n/a	n/a	non-brg	4.0
CHRISTOPHER ROBERT C	FID	PCH	B	200	33.24	n/a	29-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	PFCB	S	1,154	47.37	n/a	2-Dec	57.70	5.0
BALLAST CAP	040	PGR	B	10,300	20.09	n/a	n/a	515.00	5.0
B BUCK CAPITAL MGMT		PIR	S	50,000	10.95	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	PLCE	B	50,000	45.56	6-Jan	6-Jan	1,500.00	3.0
B BUCK CAPITAL MGMT		PLCE	B	41,000	45.57	6-Jan	6-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	50,000	45.73	6-Jan	6-Jan	non-brg	4.0
JP MORGAN VENTURES	046	PLCE	B	10,000	46.07	6-Jan	6-Jan	500.00	5.0
METROPOLITAN CAPITAL	044	PLCE	B	7,800	46.05	6-Jan	6-Jan	390.00	5.0
WAGONHOUND/NIC	289	PLCE	S	16,941	45.73	6-Jan	6-Jan	677.64	4.0
f DAVID GEORGE BUCK	FID	PNC	S	1500	62.79	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	POT	B	30,000	169.18	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		PSUN	SS	50,000	4.79	n/a	n/a	non-brg	3.0
MERCHANTS GATE CAP LP	036	PVH	SS	36,400	62.00	n/a	3-Dec	1,456.00	4.0
SCOPUS FUND	041	PVH	S	20,400	61.11	n/a	3-Dec	816.00	4.0
SURSUM CAPITAL	215	PVH	B	15,000	60.98	n/a	3-Dec	450.00	3.0
B BUCK CAPITAL MGMT		RL	C	24,132	107.95	n/a	11-Nov	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	ROST	S	50,000	64.48	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		RRGB	SS	10,000	21.70	n/a	n/a	non-brg	4.0
DSG CAPITAL	012	RRR	B	3,698	10.55	n/a	25-Oct	184.90	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JONATHAN RICHARD HAR	FID	RRR	B	1000	10.64	n/a	25-Oct	0.00	0.0
f	MARK DEVEREAUX KAICH	FID	RRR	S	1000	10.72	n/a	25-Oct	0.00	0.0
	DAVIDSON KEMPNER ADVISOR	040	RS	S	7,000	52.94	n/a	n/a	350.00	5.0
f	KAREN F LEDDY	FID	RUSHA	B	500	19.96	n/a	n/a	0.00	0.0
	COHE & STEERS	041	RYN	S	29,600	56.69	n/a	27-Oct	1,184.00	4.0
	GALT INVESTMENT	041	SCSS	S	25,000	10.35	n/a	n/a	1,000.00	4.0
B	BUCK CAPITAL MGMT		SHOO	B	65,000	41.25	n/a	n/a	non-brg	2.0
	MANNING & NAPIER	034	SHW	S	17,248	83.06	n/a	5-Jan	517.44	3.0
f	CHRISTINE MARIE NORM	FID	SIRI	B	170	1.65	n/a	n/a	0.00	0.0
	SURSUM CAPITAL	215	SKS	S	60,000	11.34	n/a	n/a	1,800.00	3.0
	SANDLER CAPITAL	028	SNI	S	105,000	48.61	n/a	n/a	6,300.00	6.0
B	BUCK CAPITAL MGMT		SODA	B	10,000	28.94	n/a	n/a	non-brg	2.5
	BNP PARIBAS SEC	040	SSCC	B	10,000	27.17	n/a	15-Dec	400.00	4.0
	NOMURA CAPITAL	029	SSCC	S	10,000	27.02	n/a	15-Dec	300.00	3.0
	THIRD COAST CAPITAL	035	SUP	S	10,000	20.75	n/a	3-Jan	500.00	5.0
	BUCK CAPITAL MGMT	001	SVU	SS	20,000	9.19	n/a	n/a	400.00	2.0
	RBC CAPITAL MARKETS	040	TCK	B	25,000	63.23	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	TDC	B	58,400	43.36	n/a	n/a	2,920.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	55.07	n/a	6-Jan	600.00	3.0
B BUCK CAPITAL MGMT		TGT	B	43,000	55.32	n/a	6-Jan	non-brg	4.0
CAMBIAR CAP	046	TGT	B	98,170	55.31	n/a	6-Jan	3,926.80	4.0
LEVIN CAPITAL STRATEGIES	012	TGT	B	160,000	55.02	n/a	6-Jan	4,800.00	3.0
SAC CAPITAL/M GRONET	030	TGT	B	45,000	55.26	n/a	6-Jan	1,575.00	3.5
MERRILL ASSET/BLACKROCK	266	THG	S	21,194	46.25	n/a	n/a	847.76	4.0
ELM RIDGE ADVISORS	044	TIN	S	200	22.75	n/a	15-Dec	8.00	4.0
MILLENIUM PARTNERS	028	TIN	S	20,000	22.44	n/a	15-Dec	800.00	4.0
SURSUM CAPITAL	215	TJX	SS	20,000	45.42	n/a	4-Jan	600.00	3.0
SURSUM CAPITAL	215	TLB	B	50,000	7.65	n/a	n/a	1,500.00	3.0
SURSUM CAPITAL	215	TLB	S	50,000	7.57	n/a	n/a	1,500.00	3.0
BALLAST CAP	040	TPX	SS	3,000	41.30	n/a	n/a	150.00	5.0
f JONATHAN RICHARD HAR	FID	URRE	S	2000	3.25	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VFC	SS	20,000	83.55	n/a	22-Oct	non-brg	4.0
f JOHN BARTMAN COLE	FID	VRS	S	2500	3.54	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	VSTO	B	10,000	71.97	n/a	n/a	500.00	5.0
f JASON ERIC COHEN	FID	VTG	S	500	2.12	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	WCRX	B	5000	22.97	n/a	4-Jan	0.00	0.0
B BUCK CAPITAL MGMT		WMT	SS	50,000	53.80	n/a	17-Nov	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	WRC	SS	25,000	52.77	n/a	9-Nov	875.00	3.5
BMO NESBITT BURNS	041	WY	S	25,000	20.16	n/a	29-Oct	1,250.00	5.0
TOTAL (Trade Date):							93,173.86		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	MANNING & NAPIER	034	BSX	S	1,500,000	7.47	n/a	n/a	45000.00 3.0
AO,CXL	01/05	NEWLAND CAPITAL MGT	025	ICO	B	12,500	8.35	n/a	n/a	500.00 4.0
AO,CRT	01/05	NEWLAND CAPITAL MGT	025	ICO	B	12,500	8.35	n/a	n/a	375.00 3.0
AO,	01/05	JMP ASSET MGMT	210	IPSU	B	576	12.98	n/a	n/a	28.80 5.0
AO,CRT	01/05	JMP ASSET MGMT	210	IPSU	B	763	12.98	n/a	n/a	38.15 5.0
AO,CXL	01/05	JMP ASSET MGMT	210	IPSU	B	1,339	12.98	n/a	n/a	66.95 5.0

TOTAL (AO, CXL, CRT) :**44,875.00**

TOTAL (Trade Date) :

93,173.86

TOTAL (AO, CXL, CRT) :

44,875.00

TOTAL (RUN DATE) / NFS:**138,048.86**

MRI Securities with Trade Activity on 6-Jan.

PLCE

MRI Securities without Trade Activity on 6-Jan.

NONE

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

T-Date = 4%

YTD = 7%

<u>Legend:</u>
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)