



Daily Compliance Activity Report

Trade Date: 12/17/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		7974 JP	B	5,000	282.79	n/a	n/a	non-brg	42.4
BUCK CAPITAL MGMT		AAPL	S	1,041	321.03	n/a	n/a	non-brg	4.0
JOSEPH CIRO AMATURO	FID	AA	B	3000	14.44	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ABFS	S	800	26.41	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	AB	S	2,750	22.54	n/a	n/a	137.50	5.0
PATTEN & PATTEN	025	ADBE	S	1,100	28.47	n/a	n/a	55.00	5.0
BUCK CAPITAL MGMT		AEO	S	1,300	15.24	n/a	3-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	100,000	15.26	n/a	3-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	11,000	15.36	n/a	3-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	50,000	15.26	n/a	3-Dec	non-brg	4.0
PATTEN & PATTEN	025	AMLX	B	6,700	15.73	n/a	n/a	335.00	5.0
BUCK CAPITAL MGMT		ANF	S	2,500	56.37	n/a	3-Dec	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	8,945	56.35	n/a	3-Dec	non-brg	4.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	27.52	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT		ANN	S	5,346	27.98	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ANN	S	900	27.83	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AN	C	704	27.15	n/a	29-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	APD	S	1,000	88.59	n/a	10-Dec	50.00	5.0
OSKIE CAPITAL MGMT	224	ARM	B	5,000	20.10	n/a	n/a	250.00	5.0
Ⓕ BUCK CAPITAL MGMT		ARO	C	300	25.62	n/a	2-Dec	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		ATVI	S	7,100	12.18	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		AVY	S	2,700	42.36	n/a	27-Oct	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		AXL	S	12,500	12.70	n/a	1-Nov	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		AXP	S	1,400	44.51	n/a	17-Dec	non-brg	4.0
CAXTON PART	040	AXP	S	18,126	44.62	n/a	17-Dec	634.42	3.5
Ⓕ BUCK CAPITAL MGMT		BAC	S	14,600	12.57	n/a	17-Dec	non-brg	4.0
f DAVID GEORGE BUCK	FID	BAC	S	4000	12.61	n/a	17-Dec	0.00	0.0
OSKIE CAPITAL MGMT	224	BA	B	10,000	64.70	n/a	22-Nov	500.00	5.0
Ⓕ BUCK CAPITAL MGMT		BEBE	S	150,000	6.09	n/a	n/a	non-brg	3.0
Ⓕ BUCK CAPITAL MGMT		BEBE	S	4,654	6.11	n/a	n/a	non-brg	3.0
Ⓕ BUCK CAPITAL MGMT		BHI	S	1,800	55.86	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BID	B	10,000	47.03	n/a	n/a	300.00	3.0
Ⓕ BUCK CAPITAL MGMT		BID	S	2,800	47.02	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		BIG	S	1,100	28.89	n/a	7-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		BIG	S	2,800	29.22	n/a	7-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		BK	S	3,800	29.38	n/a	16-Dec	non-brg	4.0
PATTEN & PATTEN	025	BK	B	500	29.40	n/a	16-Dec	25.00	5.0
ß BUCK CAPITAL MGMT		BLK	S	376	182.31	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	BMLPRI	S	2500	20.65	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BODY	S	1,200	13.69	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BODY	S	3,200	13.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BONT	S	11,096	12.80	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BONT	S	59,600	12.79	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BYD	C	1,134	9.46	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		BYI	S	600	41.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CACH	S	618	4.48	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		CAR	S	7,900	14.32	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CBK	S	3,500	5.64	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		CHS	S	10,903	11.96	n/a	5-Feb	non-brg	4.0
f KAREN F LEDDY	FID	CHS	S	950	12.03	n/a	5-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		COF	S	3,269	40.34	n/a	15-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		COH	S	3,500	58.09	n/a	27-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	CRBC	B	16000	0.63	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	S	10,000	17.98	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		CROX	S	3,955	17.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CSTR	S	3,140	60.93	n/a	n/a	non-brg	4.0
COOKBIELER	028	CTAS	B	64,869	29.48	n/a	n/a	2,594.76	4.0
ß BUCK CAPITAL MGMT		C	S	33,500	4.65	n/a	17-Dec	non-brg	3.0
ß BUCK CAPITAL MGMT		DAL	S	9,000	12.46	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DAN	S	7,200	17.17	n/a	29-Oct	non-brg	4.0
SENATOR INVESTMENT GROUP	036	DAN	B	50,000	17.05	n/a	29-Oct	1,500.00	3.0
ß BUCK CAPITAL MGMT		DBRN	S	16,057	26.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DBRN	S	2,500	26.13	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DDS	B	120,000	37.34	n/a	n/a	3,600.00	3.0
ß BUCK CAPITAL MGMT		DDS	S	3,300	37.42	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	S	5,000	84.27	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	S	5,300	84.98	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	DE	B	23,000	81.61	n/a	26-Nov	920.00	4.0
ß BUCK CAPITAL MGMT		DFS	S	800	18.07	n/a	17-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		DHI	S	6,800	11.19	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DIA	C	1,000	114.71	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DIA	C	2,000	114.68	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DLTR	S	2,268	56.84	n/a	18-Nov	non-brg	4.0
f DAVID GEORGE BUCK	FID	DRNYX	S	6864	14.31	n/a	n/a	0.00	0.0
ST OF MICHIAN	047	DTV	B	160,000	39.55	n/a	n/a	4,800.00	3.0
B BUCK CAPITAL MGMT		DVN	S	700	73.10	n/a	14-Dec	non-brg	4.0
ROSEDALE CAPITAL	046	DVN	B	10,000	72.94	n/a	14-Dec	500.00	5.0
f BARBARA S LEDDY	FID	EFR	S	400	16.66	n/a	n/a	0.00	0.0
SPARTA ASSET MGMT	035	ELX	B	11,100	11.40	n/a	n/a	333.00	3.0
B BUCK CAPITAL MGMT		ETH	C	600	19.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	S	500	16.89	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	EXPR	S	1000	16.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	14,000	18.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FINL	S	20,000	18.53	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FITB	S	3,300	14.14	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	11,535	19.67	n/a	19-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	30,000	19.72	n/a	19-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	5,400	19.68	n/a	19-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FOR	S	6,900	18.49	n/a	3-Nov	non-brg	4.0
LAKEVIEW INV GROUP LLC	031	FOR	B	6,115	18.58	n/a	3-Nov	183.45	3.0
BUCK CAPITAL MGMT		FOSL	S	5,526	71.60	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		FRED	C	300	13.87	n/a	n/a	non-brg	4.0
ST OF MICHIAN	047	FTI	S	60,000	87.72	n/a	n/a	1,800.00	3.0
BARBARA S LEDDY	FID	F	S	700	16.79	n/a	2-Dec	0.00	0.0
BUCK CAPITAL MGMT		F	S	8,100	16.76	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		GCO	S	1,000	38.51	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GCO	S	14,000	38.39	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		GES	S	10,000	49.56	n/a	24-Nov	non-brg	4.0
BUCK CAPITAL MGMT		GES	S	2,700	49.03	n/a	24-Nov	non-brg	4.0
BUCK CAPITAL MGMT		GES	S	6,897	49.02	n/a	24-Nov	non-brg	4.0
SCOPUS FUND	041	GES	B	27,850	49.53	n/a	24-Nov	1,114.00	4.0
BUCK CAPITAL MGMT		GIII	S	5,000	34.72	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		GIII	S	5,000	34.75	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	15,735	29.30	n/a	3-Dec	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	5,200	29.30	n/a	3-Dec	non-brg	4.0
WILLIAM WEINBERG	FID	GLD	B	500	133.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GLW	S	9,000	18.96	n/a	1-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GMCR	S	5,100	31.88	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GRMN	C	1,743	31.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GS	S	564	163.66	n/a	16-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		HAL	S	4,500	40.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	17,141	25.43	n/a	28-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	3,200	25.43	n/a	28-Oct	non-brg	4.0
PATTEN & PATTEN	025	HCF	B	9,120	7.50	n/a	n/a	456.00	5.0
ß BUCK CAPITAL MGMT		HTZ	S	10,900	14.24	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HTZ	S	3,828	14.24	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IBOC	C	570	19.48	n/a	n/a	non-brg	4.0
f BARBARA S LEDDY	FID	ICON	S	500	20.10	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ICON	S	626	20.11	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		IGT	S	1,300	16.55	n/a	7-Dec	non-brg	4.0
US BANCORP	030	IGT	B	108,978	16.84	n/a	7-Dec	5,448.90	5.0
ß BUCK CAPITAL MGMT		IP	S	3,300	25.84	n/a	15-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		IR	S	1,900	46.99	n/a	7-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		ITW	S	1,300	52.09	n/a	6-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		IVZ	S	7,900	22.74	n/a	2-Mar	non-brg 4.0
BUCK CAPITAL MGMT		IWM	C	12,400	77.55	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		JACK	S	1,400	21.32	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		JACK	S	1,400	21.33	n/a	n/a	non-brg 4.0
SAC CHICAGO ANDREW	031	JAS	B	10,000	45.30	n/a	n/a	350.00 3.5
BUCK CAPITAL MGMT		JBHT	S	3,060	39.91	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		JBLU	S	7,000	6.65	n/a	n/a	non-brg 3.0
BUCK CAPITAL MGMT		JCI	S	700	38.77	n/a	7-Dec	non-brg 4.0
PATTEN & PATTEN	025	JCI	B	2,000	38.78	n/a	7-Dec	100.00 5.0
BUCK CAPITAL MGMT		JNY	S	24,162	15.78	n/a	28-Oct	non-brg 4.0
BUCK CAPITAL MGMT		JNY	S	8,000	15.78	n/a	28-Oct	non-brg 4.0
BUCK CAPITAL MGMT		JOSB	S	10,000	41.22	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		JOSB	S	8,509	41.49	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		JPM	S	2,000	39.76	n/a	17-Dec	non-brg 4.0
OSKIE CAPITAL MGMT	224	JPM	B	6,000	39.84	n/a	17-Dec	300.00 5.0
BUCK CAPITAL MGMT		JWN	S	3,300	42.44	n/a	30-Nov	non-brg 4.0
BUCK CAPITAL MGMT		JWN	S	4,512	42.43	n/a	30-Nov	non-brg 4.0
BUCK CAPITAL MGMT		KEG	S	1,900	12.44	n/a	15-Dec	non-brg 4.0

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⚡ BUCK CAPITAL MGMT		KEY	S	5,900	8.37	n/a	n/a	non-brg 3.0
PIONEER PATH	226	KEY	SS	59,737	8.33	n/a	n/a	1,792.11 3.0
PATTEN & PATTEN	025	KMB	B	800	62.25	n/a	27-Oct	40.00 5.0
PIONEER PATH	226	KMX	B	48,300	35.40	n/a	n/a	1,449.00 3.0
⚡ BUCK CAPITAL MGMT		KNX	S	3,700	19.21	n/a	n/a	non-brg 4.0
NICOLAS APLEGATE	084	KO	S	94,000	65.47	n/a	26-Oct	1,880.00 2.0
⚡ BUCK CAPITAL MGMT		KR	C	1,100	21.81	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		KSS	S	3,800	53.63	n/a	30-Nov	non-brg 4.0
⚡ BUCK CAPITAL MGMT		KSS	S	6,400	53.63	n/a	30-Nov	non-brg 4.0
SURSUM CAPITAL	215	KSS	B	10,000	53.75	n/a	30-Nov	300.00 3.0
METROPOLITAN CAPITAL	044	LEA	S	3,700	100.00	n/a	29-Oct	185.00 5.0
⚡ BUCK CAPITAL MGMT		LEN	S	9,600	17.26	n/a	n/a	non-brg 4.0
US BANCORP	030	LIFE	B	140,945	55.59	n/a	n/a	7,047.25 5.0
⚡ BUCK CAPITAL MGMT		LIZ	S	14,400	7.01	n/a	7-Oct	non-brg 3.0
⚡ BUCK CAPITAL MGMT		LIZ	S	40,000	7.07	n/a	7-Oct	non-brg 3.0
Ⓢ KAREN F LEDDY	FID	LIZ	B	1200	7.07	n/a	7-Oct	0.00 0.0
⚡ BUCK CAPITAL MGMT		LL	S	4,212	24.21	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		LTD	S	10,663	31.23	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER PATH	226	MAT	B	38,381	25.23	n/a	n/a	1,151.43	3.0
PATTEN & PATTEN	025	MAV	S	6,000	12.98	n/a	n/a	300.00	5.0
ß BUCK CAPITAL MGMT		MA	S	135	221.15	n/a	17-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		MDC	S	2,700	27.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MDY	C	1,600	163.71	n/a	n/a	non-brg	2.0
OSKIE CAPITAL MGMT	224	MF	B	15,000	8.04	n/a	n/a	750.00	5.0
f DAVID GEORGE BUCK	FID	MHS	B	500	62.59	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MI	S	150,000	6.83	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MI	S	171,700	6.89	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MI	S	3,300	6.83	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MNRO	S	1,972	52.92	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MON	S	500	64.38	n/a	17-Dec	non-brg	4.0
PATTEN & PATTEN	025	MRK	B	600	36.17	n/a	n/a	30.00	5.0
ß BUCK CAPITAL MGMT		MSMSRAWW	C	62,500	113.10	n/a	n/a	non-brg	11.3
ß BUCK CAPITAL MGMT		MS	S	7,600	26.05	n/a	16-Dec	non-brg	4.0
PATTEN & PATTEN	025	MS	S	200	25.83	n/a	16-Dec	10.00	5.0
BUCK CAPITAL MGMT	001	M	S	20,000	26.00	n/a	30-Nov	600.00	3.0

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⌘ BUCK CAPITAL MGMT		M	S	17,433	26.00	n/a	30-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	S	4,100	26.00	n/a	30-Nov	non-brg	4.0
SONTERRA CAP	041	NAV	S	15,000	58.43	n/a	n/a	600.00	4.0
⌘ BUCK CAPITAL MGMT		NBD CN	S	3,030	13.63	n/a	n/a	non-brg	2.0
SURVEYOR CAPITAL	041	NBR	SS	22,862	21.89	n/a	n/a	685.86	3.0
⌘ BUCK CAPITAL MGMT		NDN	S	600	16.41	n/a	8-Nov	non-brg	4.0
PATTEN & PATTEN	025	NEE	B	50	50.95	n/a	n/a	2.50	5.0
PATTEN & PATTEN	025	NVS	S	200	58.44	n/a	n/a	10.00	5.0
⌘ BUCK CAPITAL MGMT		NWY	S	10,007	4.18	n/a	n/a	non-brg	3.0
OSKIE CAPITAL MGMT	224	OSK	S	5,000	34.50	n/a	n/a	250.00	5.0
PATTEN & PATTEN	025	OSK	S	200	34.60	n/a	n/a	10.00	5.0
⌘ BUCK CAPITAL MGMT		OTP HB	C	500	25.49	n/a	n/a	non-brg	7.6
⌘ BUCK CAPITAL MGMT		PAG	S	2,400	16.83	n/a	25-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PAG	S	6,700	16.83	n/a	25-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PCAR	S	1,200	56.74	n/a	23-Nov	non-brg	4.0
PATTEN & PATTEN	025	PCAR	B	1,600	56.63	n/a	23-Nov	80.00	5.0
⌘ BUCK CAPITAL MGMT		PERY	S	500	24.93	n/a	n/a	non-brg	4.0
SAC CAPITAL/M GRONET	030	PG	SS	15,000	64.94	n/a	10-Dec	525.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARMATURE CAPITAL	041	PH	SS	35,000	85.15	n/a	20-Oct	1,400.00	4.0
⌘ BUCK CAPITAL MGMT		PIR	S	50,000	10.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PIR	S	8,096	10.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	4,700	50.50	n/a	18-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	900	49.89	n/a	18-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PRTY LN	S	3,100	3.37	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		PSS	C	900	20.43	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	1,300	67.28	n/a	3-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	7,479	67.35	n/a	3-Dec	non-brg	4.0
PATTEN & PATTEN	025	PWR	S	7,800	19.50	n/a	n/a	390.00	5.0
PATTEN & PATTEN	025	PX	B	800	93.70	n/a	26-Nov	40.00	5.0
⌘ BUCK CAPITAL MGMT		RF	S	5,100	6.36	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		RGC	S	3,000	12.76	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	RHHBY	S	800	35.60	n/a	n/a	40.00	5.0
⌘ BUCK CAPITAL MGMT		RRR	S	10,400	9.68	n/a	25-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		RTH	C	4,400	105.97	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RTH	SS	82,400	106.00	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		RYL	S	5,000	16.32	n/a	n/a	non-brg	4.0
COHE & STEERS	041	RYN	B	177,711	50.27	n/a	27-Oct	7,108.44	4.0
ß BUCK CAPITAL MGMT		SIG	S	3,900	43.86	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	C	1,800	11.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	S	1,200	21.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	S	130,000	21.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	S	2,500	21.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SLB	S	1,350	81.15	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	SLB	S	950	80.92	n/a	n/a	47.50	5.0
ß BUCK CAPITAL MGMT		SLM	S	11,300	12.01	n/a	8-Dec	non-brg	4.0
PATTEN & PATTEN	025	SNY	S	2,500	32.12	n/a	n/a	125.00	5.0
ß BUCK CAPITAL MGMT		SPY	C	3,014	124.05	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SPY	C	600	124.01	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		STI	S	2,400	26.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		STT	S	3,100	45.61	n/a	16-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		SUMR	S	10,700	7.62	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		SWFT	S	4,780	11.02	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		SWN	S	2,100	36.10	n/a	17-Dec	non-brg	4.0
CHARTER OAK	033	SWN	B	100,000	36.17	n/a	17-Dec	5,000.00	5.0
PATTEN & PATTEN	025	SWN	B	400	36.33	n/a	17-Dec	20.00	5.0
⌘ BUCK CAPITAL MGMT		SWY	C	2,200	21.83	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	SWY	B	251,880	21.74	n/a	n/a	12,594.00	5.0
PIONEER PATH	226	TCB	B	8,175	13.45	n/a	n/a	245.25	3.0
PATTEN & PATTEN	025	TEVA	B	200	51.98	n/a	15-Dec	10.00	5.0
⌘ BUCK CAPITAL MGMT		TEX	S	2,500	28.09	n/a	22-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TGT	S	1,000	58.63	n/a	2-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TGT	S	500	58.59	n/a	2-Dec	non-brg	4.0
PATTEN & PATTEN	025	TIF	B	1,000	64.79	n/a	n/a	50.00	5.0
SHEFFIELD ASSET MGMT	031	TIN	B	40,000	20.74	n/a	15-Dec	1,600.00	4.0
PATTEN & PATTEN	025	TIP	S	250	107.04	n/a	n/a	12.50	5.0
⌘ BUCK CAPITAL MGMT		TJX	S	1,300	43.46	n/a	10-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TJX	S	150,000	43.48	n/a	10-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TJX	S	4,472	43.50	n/a	10-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TLB	S	21,174	8.50	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		TLB	S	8,500	8.50	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		TOL	S	6,500	18.50	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		TPX	S	900	37.07	n/a	n/a	non-brg	4.0
ELM RIDGE ADVISORS	044	TPX	SS	56,972	37.86	n/a	n/a	2,278.88	4.0
ß BUCK CAPITAL MGMT		TSCO	B	10,000	47.66	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TSCO	S	300	47.60	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	TWI	B	200	3.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TWMC	C	200	1.66	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		UAL	B	3,800	24.43	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		UAL	C	23,640	24.43	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		UAL	S	800	24.28	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		UA	C	200	56.76	n/a	27-Oct	non-brg	4.0
PATTEN & PATTEN	025	UNM	B	500	23.74	n/a	n/a	25.00	5.0
ß BUCK CAPITAL MGMT		URBN	S	1,100	36.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	20,000	36.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	7,900	36.73	n/a	n/a	non-brg	4.0
CAXTON PART	040	UTX	B	18,310	78.64	n/a	n/a	640.87	3.5
ß BUCK CAPITAL MGMT		V	S	1,300	66.83	n/a	17-Dec	non-brg	4.0
f DAVID GEORGE BUCK	FID	V	B	1000	67.71	n/a	17-Dec	0.00	0.0
f JOSEPH CIRO AMATURO	FID	V	B	1000	67.79	n/a	17-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		WBC	S	1,100	53.29	n/a	29-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		WERN	S	5,200	22.28	n/a	n/a	non-brg	4.0
CAXTON PART	040	WFC	S	18,136	30.01	n/a	16-Dec	634.77	3.5
⚡ BUCK CAPITAL MGMT		WFT	S	1,100	21.47	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WMS	S	1,600	44.46	n/a	n/a	non-brg	4.0
SAC CAPITAL/M GRONET	030	WMT	B	45,000	54.60	n/a	17-Nov	1,575.00	3.5
⚡ BUCK CAPITAL MGMT		WNC	S	6,800	12.11	n/a	n/a	non-brg	4.0
⚡ JOSEPH CIRO AMATURO	FID	WNC	B	10000	12.06	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	WPS	B	1,100	33.88	n/a	n/a	55.00	5.0
⚡ BUCK CAPITAL MGMT		WRC	S	1,800	57.90	n/a	9-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WRC	S	20,000	58.15	n/a	9-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WRC	S	8,246	57.84	n/a	9-Nov	non-brg	4.0
BNP PARIBAS SEC	040	WY	B	20,000	18.17	n/a	29-Oct	1,000.00	5.0
PATTEN & PATTEN	025	WY	B	200	18.00	n/a	29-Oct	10.00	5.0
⚡ BUCK CAPITAL MGMT		XLFX	C	63,288	15.49	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		XLX	SS	214,700	37.29	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		XRT	C	127,000	47.90	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		XRT	C	32,900	47.76	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		XRT	C	359,500	48.04	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	ZLC	S	2050	3.52	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								79,487.39	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/16	NOKOMIS PARTNERS	031	MOSY	S	12,962	4.89	n/a	n/a	388.86 3.0
AO,CXL	12/16	NOKOMIS PARTNERS	031	MOSY	S	20,632	4.89	n/a	n/a	1031.60 5.0
AO,	12/16	NOKOMIS PARTNERS	031	MOSY	S	7,670	4.89	n/a	n/a	230.10 3.0
AO,CRT	12/16	PATTEN & PATTEN	025	RIMM	S	650	59.41	n/a	n/a	32.50 5.0
AO,CXL	12/16	PATTEN & PATTEN	025	RIMM	S	650	59.41	n/a	n/a	32.50 5.0
AO,CRT	12/16	SCOPUS FUND	041	RYN	S	50,000	50.26	n/a	27-Oct	2000.00 4.0
AO,CXL	12/16	SCOPUS FUND	041	RYN	S	50,000	50.26	n/a	27-Oct	2000.00 4.0

TOTAL (AO, CXL, CRT) :**-412.64**

TOTAL (Trade Date) :

79,487.39

TOTAL (AO, CXL, CRT) :

-412.64

TOTAL (RUN DATE) / NFS:**79,074.75**

MRI Securities with Trade Activity on 17-Dec.

NONE

MRI Securities without Trade Activity on 17-Dec.

CHH

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

T-Date = 5%

YTD = 11%

<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)