



Daily Compliance Activity Report

Trade Date: 01/04/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		210 HK	S	27,800	0.94	n/a	n/a	non-brg	0.2
BUCK CAPITAL MGMT		494 HK	S	11,000	6.17	n/a	n/a	non-brg	1.2
BUCK CAPITAL MGMT		7974 JP	S	200	289.90	n/a	n/a	non-brg	43.5
RBC CAPITAL MARKETS	040	AAP	B	10,000	63.16	n/a	n/a	400.00	4.0
BALLAST CAP	040	ABB	B	1,500	22.44	n/a	n/a	75.00	5.0
BUCK CAPITAL MGMT	001	AEO	SS	20,000	14.48	n/a	4-Jan	600.00	3.0
DAVID GEORGE BUCK	FID	AMAG	S	2000	17.73	n/a	n/a	0.00	0.0
CATAPULT	040	AMTD	SS	5,000	18.60	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT		ANF	S	10,000	57.32	n/a	4-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ANN	S	10,000	25.71	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ANN	S	2,900	25.73	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	012	APA	S	25,000	120.01	n/a	3-Jan	1,250.00	5.0
LANE GATE PARTNERS LLC	012	APC	B	1,000	75.14	n/a	14-Dec	30.00	3.0
FIRST NY SEC/CHRIS	041	ASNA	B	5,230	26.31	n/a	n/a	261.50	5.0
BUCK CAPITAL MGMT		AXL	S	16,600	13.59	n/a	3-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KADE CAPITAL LLC	028	AXL	SS	17,500	13.42	n/a	3-Jan	700.00	4.0
MILLENIUM PARTNERS	028	AXL	SS	20,000	13.43	n/a	3-Jan	800.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	50,000	14.05	n/a	3-Jan	1,700.00	4.0
⚡ BUCK CAPITAL MGMT		BAC	S	1,688	14.11	n/a	3-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BBY	SS	10,000	35.04	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	BEC	S	10	2.55	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BEE	B	1500	5.56	n/a	n/a	0.00	0.0
BALLAST CAP	040	BJRI	SS	1,100	33.61	n/a	n/a	55.00	5.0
⚡ BUCK CAPITAL MGMT		BJRI	SS	20,000	34.38	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BLK	S	1,265	189.55	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BLK	S	117	189.46	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	BP	S	20,000	46.25	n/a	n/a	1,000.00	5.0
COOPER CREEK PART	028	BZ	S	50,000	8.06	n/a	n/a	1,500.00	3.0
BALLAST CAP	040	CAG	SS	3,600	22.64	n/a	n/a	180.00	5.0
⚡ BUCK CAPITAL MGMT		CAR	S	25,000	14.72	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	CHS	S	40,000	11.99	n/a	5-Feb	1,200.00	3.0
ROTHSCHILD ASSET	040	CLD	B	260	22.92	n/a	n/a	10.40	4.0
⚡ BUCK CAPITAL MGMT		COF	S	425	43.34	n/a	30-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	COH	S	193,227	52.96	n/a	27-Oct	5,796.81	3.0
KLEINHEINZ CAP PART	031	COLM	SS	6,500	60.02	n/a	n/a	325.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,500	103.08	n/a	14-Dec	60.00	4.0
COLUMBUS CAP MGMT LLC	084	CVGI	B	50,000	16.84	n/a	n/a	1,500.00	3.0
f EDWARD W WHEELER	FID	CVGI	S	20000	16.80	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	CVGI	S	120	16.95	n/a	n/a	0.00	0.0
BASIX	033	CVH	B	39,000	27.62	n/a	n/a	1,170.00	3.0
RBC CAPITAL MARKETS	040	CX	SS	75,000	10.80	n/a	n/a	3,000.00	4.0
f ANDREW SINCLAIR	FID	C	S	100	0.52	n/a	17-Dec	0.00	0.0
B BUCK CAPITAL MGMT		C	S	2,373	4.84	n/a	17-Dec	non-brg	3.0
B BUCK CAPITAL MGMT		DDS	B	27,000	37.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	79.61	n/a	n/a	non-brg	4.0
FIRST NY SEC/CHRIS	041	DG	SS	10,000	30.42	n/a	16-Dec	500.00	5.0
AVESTA CAP	229	DIS	B	50,000	38.79	n/a	n/a	1,500.00	3.0
SAC CRIB	044	DOW	B	25,000	34.77	n/a	22-Dec	875.00	3.5
B BUCK CAPITAL MGMT		DTV	S	415	40.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EAT	SS	50,000	21.18	n/a	3-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	EGO	B	900	17.57	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	20,000	80.65	n/a	7-Dec	600.00	3.0
f DAVID GEORGE BUCK	FID	ESRX	B	1000	56.14	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FDO	B	1500	49.17	n/a	21-Dec	0.00	0.0
f KAREN F LEDDY	FID	FDO	S	400	50.00	n/a	21-Dec	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	55,000	16.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FITB	S	579	14.72	n/a	n/a	non-brg	4.0
SAC CHICAGO ANDREW	031	FL	B	71,849	19.43	n/a	22-Dec	2,514.72	3.5
B BUCK CAPITAL MGMT		FOR	S	930	18.80	n/a	3-Nov	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	59030	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		F	S	50,000	17.15	n/a	3-Jan	non-brg	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084 F			SS	20,000	17.30	n/a	3-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	36.53	n/a	n/a	300.00	3.0
WAGONHOUND/NIC	289	GES	S	3,801	45.35	n/a	24-Nov	152.04	4.0
f DAVID GEORGE BUCK	FID	GGP	S	4000	15.39	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	5,000	34.27	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GIII	S	5,000	34.97	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		GIII	S	5,000	35.05	n/a	n/a	non-brg	1.0
JOSEPH CIRO AMATURO	FID	GIS	B	5000	35.46	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GLW	S	1,478	19.03	n/a	1-Nov	non-brg	4.0
BALYASNY ASSET MGMT	044	GM	S	20,000	37.39	n/a	3-Jan	1,000.00	5.0
IRIDIAN ASSET MGMT.	036	GM	B	52,060	37.65	n/a	3-Jan	1,561.80	3.0
BUCK CAPITAL MGMT		GS	S	91	172.43	n/a	16-Dec	non-brg	4.0
DELTEC ASSET MGMT.	040	HAL	B	10,000	39.56	n/a	n/a	500.00	5.0
NICOLAS APPELEGATE	084	IBM	B	31,200	147.48	n/a	n/a	624.00	2.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	1,600	63.07	n/a	n/a	64.00	4.0
JMP ASSET MGMT	210	IPSU	B	5,446	13.03	n/a	n/a	272.30	5.0
BUCK CAPITAL MGMT		IP	S	651	27.59	n/a	15-Dec	non-brg	4.0
DAVID GEORGE BUCK	FID	ISTA	B	4000	5.24	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		IVZ	S	1,631	24.31	n/a	2-Mar	non-brg	4.0
BUCK CAPITAL MGMT		JACK	S	4,600	21.21	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JBHT	S	225	40.79	n/a	n/a	non-brg	4.0
MARC PAUL LUCHANSKY	FID	JCI	S	500	39.54	n/a	3-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	JNY	B	8,100	15.58	n/a	28-Oct	405.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	10,000	41.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JPM	S	355	43.66	n/a	17-Dec	non-brg	4.0
f DAVID GEORGE BUCK	FID	JPM	S	1000	43.59	n/a	17-Dec	0.00	0.0
DELTEC ASSET MGMT.	040	JPM	B	5,500	43.65	n/a	17-Dec	275.00	5.0
RBC CAPITAL MARKETS	040	JRCC	S	10,000	25.18	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		KEY	S	1,520	8.91	n/a	n/a	non-brg	3.0
MERRILL ASSET/BLACKROCK	266	KMB	S	48,356	62.68	n/a	27-Oct	1,934.24	4.0
BUCK CAPITAL MGMT	001	KR	SS	20,000	21.65	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	54.27	n/a	4-Jan	300.00	3.0
SAGE ASSET MGMT	012	KS	B	15,000	15.33	n/a	n/a	750.00	5.0
OSKIE CAPITAL MGMT	224	LEA	B	5,000	100.21	n/a	3-Jan	250.00	5.0
B BUCK CAPITAL MGMT		LEN	S	416	18.46	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	LIZ	B	600	7.12	n/a	7-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	B	10,000	29.94	n/a	n/a	300.00	3.0
DISCIPLINED GROWTH INV.	030	LTD	B	8,300	30.08	n/a	n/a	415.00	5.0
BUCK CAPITAL MGMT	001	LTM	SS	30,000	41.03	n/a	n/a	900.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	070	LVS	B	25,000	46.40	n/a	9-Dec	1,250.00	5.0
SIGMA CAP BOBBY	044	MAR	B	25,000	41.07	n/a	7-Dec	0.00	0.0
⚡ BUCK CAPITAL MGMT		MNRO	S	10,000	34.88	n/a	n/a	non-brg	2.5
BALLAST CAP	040	MON	B	2,700	68.71	n/a	17-Dec	135.00	5.0
⚡ BUCK CAPITAL MGMT		MON	S	2,000	69.33	n/a	17-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MSMSRAWW	C	65,000	113.39	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MS	S	3,013	28.18	n/a	16-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MW	SS	40,000	24.97	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	MYL	B	8,000	21.65	n/a	3-Jan	400.00	5.0
BUCK CAPITAL MGMT	001	M	S	10,000	25.02	n/a	4-Jan	300.00	3.0
⚡ BUCK CAPITAL MGMT		NBD CN	S	500	14.96	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	OEH	B	350	13.96	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		OTP HB	C	500	25.00	n/a	n/a	non-brg	7.5
⚡ BUCK CAPITAL MGMT		PAG	S	50,000	16.87	n/a	3-Jan	non-brg	4.0
GRANITE CAPITAL	028	PAG	S	10,000	16.76	n/a	3-Jan	500.00	5.0
BALLAST CAP	040	PAYX	B	3,200	30.92	n/a	n/a	160.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	PH	S	50	87.07	n/a	3-Jan	0.00	0.0
B BUCK CAPITAL MGMT		PIR	S	30,000	10.47	n/a	n/a	non-brg	4.0
SHEFFIELD ASSET MGMT	031	PKG	S	20,000	26.25	n/a	15-Dec	1,000.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	PKG	S	76,803	26.17	n/a	15-Dec	3,010.95	4.0
B BUCK CAPITAL MGMT		PLCE	B	10,400	48.33	n/a	18-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	3,400	48.38	n/a	18-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		PSS	SS	10,000	21.21	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PZZA	SS	15,000	27.76	n/a	n/a	non-brg	0.8
MERRILL ASSET/BLACKROCK	266	RE	S	5,600	85.08	n/a	n/a	224.00	4.0
B BUCK CAPITAL MGMT	001	RL	SS	20,000	111.44	n/a	11-Nov	600.00	3.0
B BUCK CAPITAL MGMT		RL	C	15,000	109.23	n/a	11-Nov	non-brg	2.5
JET CAPITAL/CHRIS	041	RMBS	S	25,000	20.37	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		RRGB	SS	20,000	21.32	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RUSHA	S	1,400	19.94	n/a	n/a	non-brg	2.5
MANNING & NAPIER	034	SHW	S	135,400	83.60	n/a	30-Nov	4,062.00	3.0
B BUCK CAPITAL MGMT		SIG	S	10,000	42.28	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SLM	S	1,153	12.80	n/a	22-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SODA	B	20,000	28.87	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		SONC	SS	40,000	10.09	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		SRI	S	20,000	16.08	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		STI	S	666	29.60	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	STI	B	1000	29.53	n/a	n/a	0.00	0.0
BALLAST CAP	040	SVU	B	7,800	8.91	n/a	n/a	390.00	5.0
⚡ BUCK CAPITAL MGMT		SVU	SS	50,000	8.91	n/a	n/a	non-brg	3.0
1798 CAP/LOMBARD ASSET	040	SWC	S	10,000	20.49	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		SWFT	S	516	12.28	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SWY	SS	50,000	21.52	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	TCK	S	15,000	62.82	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	TEX	S	10,000	30.17	n/a	22-Oct	400.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	250,000	59.95	n/a	4-Jan	7,500.00	3.0
MERRILL ASSET/BLACKROCK	266	THG	S	10,765	46.67	n/a	n/a	430.60	4.0
ELM RIDGE ADVISORS	044	TIN	S	300	22.75	n/a	15-Dec	12.00	4.0
SACC-SCHWARTZ	044	TIN	B	50,000	22.11	n/a	15-Dec	1,750.00	3.5
BUCK CAPITAL MGMT	001	TLB	S	30,000	8.39	n/a	n/a	600.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TLB	B	60,000	8.20	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		TSCO	S	39,400	47.83	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	TTI	B	55,900	11.77	n/a	n/a	2,236.00	4.0
BUCK CAPITAL MGMT		TXRH	SS	20,000	17.37	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		UA	SS	10,000	54.07	n/a	27-Oct	non-brg	4.0
BUCK CAPITAL MGMT		URBN	S	10,000	36.30	n/a	n/a	non-brg	4.0
JOSEPH CIRO AMATURO	FID	URZ	B	10000	4.03	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	VALE	B	100,000	35.49	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	VFC	SS	20,000	85.05	n/a	22-Oct	600.00	3.0
MARC PAUL LUCHANSKY	FID	VMW	B	100	93.28	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		VTG	S	1,700	2.02	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		VTG	S	35,200	2.00	n/a	n/a	non-brg	2.0
JOEL GIFFORD TISS	FID	WBC	S	1000	61.99	n/a	21-Dec	0.00	0.0
MARC PAUL LUCHANSKY	FID	WBC	S	140	60.68	n/a	21-Dec	0.00	0.0
BUCK CAPITAL MGMT		WERN	S	482	22.59	n/a	n/a	non-brg	4.0
DELTEC ASSET MGMT.	040	WFC	B	7,600	31.80	n/a	16-Dec	380.00	5.0
BUCK CAPITAL MGMT		WFMI	SS	20,000	49.30	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WMT	SS	30,000	54.69	n/a	17-Nov	900.00	3.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	53.41	n/a	9-Nov	600.00	3.0
BALLAST CAP	040	WSO	SS	600	62.42	n/a	n/a	30.00	5.0
THE JAY GOLDMAN	028	WYNN	S	7,500	111.27	n/a	9-Dec	300.00	4.0
WEINTRAUB CAPITAL MGT.	040	WY	S	20,000	19.73	n/a	29-Oct	800.00	4.0
f EDWARD W WHEELER	FID	ZINC	B	6100	12.68	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								74,227.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/31	LISTED ERR	099	CTXS	B	20,300	68.18	n/a	n/a	0.00	0.0
AO,CRT	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,	01/03	LANE GATE PARTNERS LLC	012	FOR	B	3,700	19.34	n/a	3-Nov	111.00	3.0
AO,	01/03	LANE GATE PARTNERS LLC	012	JCI	B	500	39.10	n/a	3-Jan	15.00	3.0
AO,CXL	01/03	SCOPUS FUND	041	M	B	100,000	25.58	n/a	4-Jan	4000.00	4.0
AO,CRT	01/03	SCOPUS FUND	041	M	B	100,000	25.58	n/a	4-Jan	4000.00	4.0
AO,CXL	01/03	SHEFFIELD ASSET MGMT	031	PKG	S	50,000	26.50	n/a	15-Dec	1500.00	3.0
AO,CRT	01/03	SHEFFIELD ASSET MGMT	031	PKG	S	50,000	26.50	n/a	15-Dec	2500.00	5.0
AO,	12/23	MANNING & NAPIER	034	V	B	20	68.71	n/a	21-Dec	0.60	3.0
AO,CXL	12/23	MANNING & NAPIER	034	V	B	20	68.71	n/a	21-Dec	0.60	3.0
TOTAL (AO, CXL, CRT) :										1,126.00	

TOTAL (Trade Date) :	74,227.36
TOTAL (AO, CXL, CRT) :	1,126.00

TOTAL (RUN DATE) / NFS:	75,353.36
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MRI Securities with Trade Activity on 4-Jan.
NONE

MRI Securities without Trade Activity on 4-Jan.
CMI

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 19%
YTD = 11%

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)