



Daily Compliance Activity Report

Trade Date: 01/13/2011

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		494 HK	B	174,000	6.05	n/a	n/a	non-brg	1.2
f NICOLAS EVAN PAKLER	FID	AAPL	B	34	344.46	n/a	n/a	0.00	0.0
BALLAST CAP	040	ABB	B	7,000	23.46	n/a	n/a	350.00	5.0
SERENGETI MGMT	030	ACI	B	50,000	34.40	n/a	n/a	2,500.00	5.0
f KAREN F LEDDY	FID	ACW	S	700	15.34	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	APC	S	2000	78.60	n/a	11-Jan	0.00	0.0
OSKIE CAPITAL MGMT	224	ARM	B	5,000	22.00	n/a	n/a	250.00	5.0
BNP PARIBAS SEC	040	ASNA	S	10,000	26.54	n/a	n/a	500.00	5.0
f ANTHONY SUTERA	FID	AXL	S	1000	15.73	n/a	7-Jan	0.00	0.0
B BUCK CAPITAL MGMT		AXL	S	95,200	15.32	n/a	7-Jan	non-brg	4.0
TRELLUS PARTNERS LP	028	AXL	SS	20,000	15.63	n/a	7-Jan	1,000.00	5.0
f REUBEN D DVORETSKY	FID	BBEP	S	131	22.08	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BEE	B	665	5.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BID	B	20,000	45.19	n/a	n/a	non-brg	4.0
SAC CHICAGO ANDREW	031	BIG	S	50,000	32.13	n/a	7-Dec	1,750.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN BARTMAN COLE	FID	BLDR	B	1500	2.05	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	BSX	B	25,000	7.44	n/a	n/a	1,000.00	4.0
BALLAST CAP	040	CAG	SS	1,775	23.32	n/a	n/a	88.75	5.0
1798 CAP/LOMBARD ASSET	040	CAT	B	5,000	94.38	n/a	22-Oct	250.00	5.0
f NICOLAS EVAN PAKLER	FID	CMG	B	54	221.50	n/a	7-Jan	0.00	0.0
B BUCK CAPITAL MGMT		CNW	B	10,000	33.32	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		COH	B	10,000	53.77	n/a	11-Jan	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	CVGI	S	5000	18.93	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CVGI	S	5000	18.96	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	CVGI	S	1000	18.10	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	CVGI	S	1000	18.10	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	C	B	1000	5.06	n/a	6-Jan	0.00	0.0
f MANNY I KORMAN	FID	C	B	20000	5.05	n/a	6-Jan	0.00	0.0
FRONTPOINT	266	DECK	B	34,100	80.45	n/a	n/a	1,705.00	5.0
B BUCK CAPITAL MGMT		DLTR	B	10,000	50.34	n/a	18-Nov	non-brg	4.0
NEUSTRADA CAP LLC	085	FLIR	B	34,500	29.07	n/a	n/a	1,035.00	3.0
B BUCK CAPITAL MGMT		F	S	200,000	18.80	n/a	7-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PECONIC PARTNERS	036	F	S	200,000	18.57	n/a	7-Jan	10,000.00	5.0
ROSEDALE CAPITAL	046	F	S	30,000	18.86	n/a	7-Jan	1,200.00	4.0
B BUCK CAPITAL MGMT		GCO	B	25,000	37.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	B	25,000	37.99	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	100,000	43.15	n/a	24-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	20,000	42.86	n/a	24-Nov	non-brg	2.0
B BUCK CAPITAL MGMT		GES	S	20,000	43.10	n/a	24-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	5,400	43.16	n/a	24-Nov	non-brg	0.8
B BUCK CAPITAL MGMT		GES	S	64,600	43.47	n/a	24-Nov	non-brg	4.0
f FRANCIS PATRICK GALL	FID	GFF	B	210	12.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	5,000	35.48	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	GIS	S	5000	36.61	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	GLD	S	8,200	134.81	n/a	n/a	328.00	4.0
OSKIE CAPITAL MGMT	224	GM	B	5,000	38.67	n/a	7-Jan	250.00	5.0
SAC CAPITAL/M GRONET	030	HD	B	60,000	35.10	n/a	13-Dec	2,100.00	3.5
f CHRISTOPHER ROBERT C	FID	HEES	B	500	12.54	n/a	n/a	0.00	0.0
CATAPULT	040	IGT	SS	29,700	18.90	13-Jan	13-Jan	1,188.00	4.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	743	62.25	n/a	n/a	29.72	4.0
f NICOLAS EVAN PAKLER	FID	JNK	S	125	40.07	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	KR	SS	50,000	21.53	n/a	n/a	2,000.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	5,023	42.15	n/a	16-Dec	251.15	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	7,600	107.00	n/a	7-Jan	228.00	3.0
ENTRUST CAPITAL	040	LMT	S	12,500	74.11	n/a	20-Oct	625.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	15,000	9.59	n/a	8-Nov	750.00	5.0
WATERFRONT CAP	028	MCD	SS	20,000	72.81	n/a	7-Jan	800.00	4.0
ST OF MICHIAN	047	MRK	B	230,000	34.65	n/a	n/a	6,900.00	3.0
LISTED ERR	099	MRK	B	70,000	34.65	n/a	n/a	0.00	0.0
LISTED ERR	099	MRK	S	70,000	34.78	n/a	n/a	0.00	0.0
PORTER-ORLIN	044	NXG	S	200,000	2.79	n/a	n/a	6,000.00	3.0
f NICOLAS EVAN PAKLER	FID	ORLY	S	135	57.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PAG	S	50,000	16.77	n/a	7-Jan	non-brg	4.0
VISIUM/BALY BOBBY	044	PFCB	C	12,500	47.33	n/a	7-Jan	625.00	5.0
f MARC PAUL LUCHANSKY	FID	PHM	B	500	8.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PIR	S	50,000	10.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	22,500	44.92	n/a	13-Jan	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PLCE	B	80,000	45.28	n/a	13-Jan	non-brg	4.0
ROARING BLUE LION MGMT	012	PLCE	S	8,140	45.12	n/a	13-Jan	325.60	4.0
SURSUM CAPITAL	215	PLCE	S	20,000	44.91	n/a	13-Jan	600.00	3.0
OSKIE CAPITAL MGMT	224	PMI	B	50,000	3.89	n/a	n/a	2,500.00	5.0
f EDWARD W WHEELER	FID	PRU	S	1800	60.90	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	PRX	B	36,849	35.99	n/a	12-Jan	1,473.96	4.0
B BUCK CAPITAL MGMT		PSS	C	25,000	20.38	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PSS	C	25,000	20.38	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PSS	C	25,000	20.42	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PSS	C	25,000	20.42	n/a	n/a	non-brg	0.8
SANDLER CAPITAL	028	RBN	S	60,000	42.22	n/a	n/a	3,600.00	6.0
CATAPULT	040	RRTS	S	20,000	13.59	n/a	n/a	800.00	4.0
COHE & STEERS	041	RYN	S	18,816	56.97	n/a	27-Oct	752.64	4.0
B BUCK CAPITAL MGMT		SHOO	B	100,000	41.60	n/a	n/a	non-brg	4.0
ARCHON CAPITAL	035	SONC	SS	20,000	10.99	n/a	n/a	600.00	3.0
OSKIE CAPITAL MGMT	224	SPR	B	5,000	22.22	n/a	5-Nov	250.00	5.0
f THOMAS JOHN LEDDY	FID	SUP	S	500	21.70	n/a	7-Jan	0.00	0.0
BALLAST CAP	040	SYX	SS	1,325	30.47	n/a	n/a	66.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	TAN	S	10000	7.89	n/a	n/a	0.00	0.0
BALLAST CAP	040	TFX	B	850	55.82	n/a	n/a	42.50	5.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	55.76	n/a	7-Jan	300.00	3.0
BALLAST CAP	040	TIN	B	5,250	23.22	n/a	7-Jan	262.50	5.0
MISSOURI VALLEY PART	046	TROW	B	29,095	67.26	n/a	n/a	1,454.75	5.0
BNP PARIBAS SEC	040	UFS	S	5,000	78.91	n/a	n/a	250.00	5.0
1798 CAP/LOMBARD ASSET	040	UNP	B	8,000	98.58	n/a	n/a	400.00	5.0
B BUCK CAPITAL MGMT		URBN	S	70,000	36.36	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	URZ	S	10000	4.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VFC	C	11,000	82.59	n/a	22-Oct	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	VXX	B	5000	33.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WBC	S	5,000	62.90	n/a	5-Jan	non-brg	4.0
f JOHN BARTMAN COLE	FID	WCBO	B	1000	3.36	n/a	n/a	0.00	0.0
BALLAST CAP	040	WGO	SS	2,625	15.55	n/a	n/a	131.25	5.0
WATERFRONT CAP	028	WMT	B	27,000	55.01	n/a	17-Nov	1,080.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERCHANTS GATE CAP LP	036	WSM	C	50,000	33.03	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	WY	S	10,000	21.48	n/a	29-Oct	500.00	5.0
TOTAL (Trade Date):								61,093.07	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									61,093.07
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									61,093.07

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	01/12	BUCK CAPITAL MGMT.	SWN	B	700	38.84	n/a	11-Jan	17.50
CRT	01/12	BUCK CAPITAL MGMT	SWN	B	700	38.84	n/a	11-Jan	17.50 2.5
CXL	01/12	BUCK CAPITAL MGMT.	SWN	B	700	38.84	n/a	11-Jan	17.50
CRT	01/12	BUCK CAPITAL MGMT	SWN	B	1,100	38.84	n/a	11-Jan	27.50 2.5