



# Daily Compliance Activity Report

Trade Date: 01/12/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		7974 JP	B	4,100	286.03	n/a	n/a	non-brg	42.9
SERENGETI MGMT	030	ACI	B	25,000	34.16	n/a	n/a	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANF	B	75,000	53.43	n/a	10-Jan	2,250.00	3.0
BUCK CAPITAL MGMT	001	ANN	B	145,000	23.75	n/a	n/a	4,350.00	3.0
BUCK CAPITAL MGMT		ANN	B	50,000	24.12	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	ANN	B	20,000	23.42	n/a	n/a	800.00	4.0
FIRST NY SEC/CHRIS	041	ANN	B	10,000	24.01	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		ARO	SS	100,000	25.46	n/a	7-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ASNA	B	20,000	26.70	n/a	n/a	non-brg	4.0
PLATTE RIVER CAPITAL	240	AVP	S	64,900	29.26	n/a	7-Dec	2,596.00	4.0
BUCK CAPITAL MGMT		AXL	S	25,000	15.58	n/a	7-Jan	non-brg	0.8
BUCK CAPITAL MGMT		AXL	S	50,000	15.60	n/a	7-Jan	non-brg	4.0
MARK ANTHONY GRONET	FID	BAC	B	1000	14.91	n/a	6-Jan	0.00	0.0
BUCK CAPITAL MGMT		BJRI	C	10,000	34.02	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		BJRI	C	19,400	34.11	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BODY	S	7,706	20.86	n/a	n/a	non-brg	2.5
LOCUS WOOD CAPITAL MGMT	044	BP	B	10,000	47.20	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUSTRADA CAP LLC	085	BUD	B	17,300	58.15	n/a	15-Dec	519.00	3.0
CASTLE ARK	031	BWA	S	72,314	69.84	n/a	7-Jan	3,615.70	5.0
FIRST NY SEC/CHRIS	041	BZ	B	10,000	8.36	n/a	n/a	500.00	5.0
MA CAPITAL MGMT/MELLON ADV041	BZ	B	B	5,000	8.37	n/a	n/a	250.00	5.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	300	14.76	n/a	n/a	15.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CBK</b>	<b>B</b>	<b>50,000</b>	<b>6.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CBRL</b>	<b>SS</b>	<b>30,000</b>	<b>54.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	COLM	SS	20,000	59.59	n/a	n/a	1,000.00	5.0
BALLAST CAP	040	COV	B	1,900	46.90	n/a	n/a	95.00	5.0
BALLAST CAP	040	CPB	SS	1,100	35.00	n/a	n/a	55.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CRK</b>	<b>S</b>	<b>300</b>	<b>24.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>CROX</b>	<b>S</b>	<b>300</b>	<b>17.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	CRR	S	1,900	103.09	n/a	11-Jan	76.00	4.0
BALLAST CAP	040	CVA	SS	2,300	16.79	n/a	n/a	115.00	5.0
<b>f ANDREW MARK GRONET</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>100</b>	<b>5.03</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>2000</b>	<b>5.03</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	SARAH ELIZABETH GRON	FID	C	B	100	5.03	n/a	6-Jan	0.00	0.0
	SENATOR INVESTMENT GROUP	036	DAN	B	38,300	18.17	n/a	7-Jan	1,149.00	3.0
ß	BUCK CAPITAL MGMT		DECK	S	20,000	79.65	n/a	n/a	non-brg	4.0
f	ALICE BEEBE LONGLEY	FID	DEFIX	B	1667	29.99	n/a	n/a	0.00	0.0
	PARAMETER CAPITAL MGMT LLC044	DE		B	25,000	87.40	n/a	11-Jan	1,000.00	4.0
ß	BUCK CAPITAL MGMT		EAT	SS	30,000	21.78	n/a	3-Jan	non-brg	4.0
f	JOHN BARTMAN COLE	FID	FBC	B	3500	1.65	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FDO	C	29,000	43.60	n/a	5-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		FOSL	B	10,500	67.81	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		FOSL	B	19,500	68.25	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GCO	B	10,000	38.78	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GCO	B	50,000	36.93	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		GCO	B	50,000	37.81	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GES	S	30,000	42.56	n/a	24-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		GIIL	S	5,000	35.60	n/a	n/a	non-brg	4.0
	NCM CAPITAL MGMT	035	GILD	B	23,700	37.66	n/a	n/a	948.00	4.0
	CAMBIAR CAP	046	GLW	B	100,000	19.62	n/a	6-Jan	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	IGT	B	5,000	18.64	n/a	7-Dec	250.00	5.0
LISTED ERR	099	INTC	S	720	21.17	n/a	n/a	0.00	0.0
PAULSON & CO INC	041	IP	B	297,300	28.69	n/a	7-Jan	11,892.00	4.0
⚡ BUCK CAPITAL MGMT		JACK	B	30,000	22.31	n/a	n/a	non-brg	4.0
BALLAST CAP	040	JNY	B	4,700	14.34	n/a	28-Oct	235.00	5.0
⚡ BUCK CAPITAL MGMT		JNY	B	1,700	14.50	n/a	28-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JNY	B	2,800	14.50	n/a	28-Oct	non-brg	4.0
f JASON ERIC COHEN	FID	LEN	S	2	5.34	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	MS	B	1000	28.39	n/a	7-Jan	0.00	0.0
f ANTHONY SUTERA	FID	MU	S	5000	9.33	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MVRX	C	67,500	208.14	n/a	n/a	non-brg	20.8
⚡ BUCK CAPITAL MGMT		MW	B	20,000	26.50	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MW	C	27,900	26.07	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	MYL	B	10000	22.60	n/a	12-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		PAG	S	25,000	16.98	n/a	7-Jan	non-brg	4.0
SHEFFIELD ASSET MGMT	031	PKG	S	15,000	28.63	n/a	7-Jan	750.00	5.0
⚡ BUCK CAPITAL MGMT		PLCE	B	10,000	46.88	n/a	6-Jan	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		PLCE	B	50,000	47.47	n/a	6-Jan	non-brg	4.0
B	BUCK CAPITAL MGMT		PLCE	B	60,000	46.71	n/a	6-Jan	non-brg	2.5
	SENATOR INVESTMENT GROUP	036	PMC	S	28,000	13.11	n/a	n/a	840.00	3.0
	SENATOR INVESTMENT GROUP	036	RJET	S	69,726	7.06	n/a	n/a	2,091.78	3.0
	RBC CAPITAL MARKETS	040	RRR	B	50,000	11.57	12-Jan	12-Jan	2,000.00	4.0
f	JASON ERIC COHEN	FID	RYL	S	3	2.43	n/a	n/a	0.00	0.0
	ELM RIDGE ADVISORS	044	RYN	S	60,000	56.92	n/a	27-Oct	2,400.00	4.0
B	BUCK CAPITAL MGMT		SHOO	B	20,000	41.97	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		SHOO	B	25,000	42.28	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		SHOO	B	50,000	41.80	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SHOO	B	55,000	42.07	n/a	n/a	non-brg	2.5
	MANNING & NAPIER	034	SHW	S	163,573	83.34	n/a	5-Jan	4,907.19	3.0
f	MANNY I KORMAN	FID	SLM	B	550	1.73	n/a	12-Jan	0.00	0.0
f	MANNY I KORMAN	FID	SLM	S	550	0.77	n/a	12-Jan	0.00	0.0
B	BUCK CAPITAL MGMT		SODA	B	40,000	31.60	n/a	n/a	non-brg	2.5
	BALLAST CAP	040	SPTN	B	3,200	16.16	n/a	n/a	160.00	5.0
	LOCUS WOOD CAPITAL MGMT	044	SWK	B	10,000	68.19	n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		SWN	B	1,100	38.84	n/a	11-Jan	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SWN	B	700	38.84	n/a	11-Jan	non-brg	2.5
ß BUCK CAPITAL MGMT		SWN	S	1,800	38.81	n/a	11-Jan	non-brg	4.0
f MARK ANTHONY GRONET	FID	TEX	B	300	29.43	n/a	22-Oct	0.00	0.0
BALLAST CAP	040	TIN	B	5,300	23.22	n/a	7-Jan	265.00	5.0
f MARK DEVEREAUX KAICH	FID	TLB	B	1000	6.12	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	TMBCF	S	1500	4.91	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	S	100,000	36.25	n/a	n/a	non-brg	4.0
f MARK ANTHONY GRONET	FID	V	B	200	72.34	n/a	10-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		WBC	S	10,000	63.68	n/a	5-Jan	non-brg	2.5
ß BUCK CAPITAL MGMT		WBS	S	50,787	19.98	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								51,674.67	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	01/11	LISTED ERR	099	INTC	B	720	20.94	n/a	n/a	0.00	0.0
AO,CRT	01/11	MANNING & NAPIER	034	SHW	S	210	83.34	n/a	5-Jan	6.30	3.0
AO,CXL	01/11	MANNING & NAPIER	034	SHW	S	30	83.34	n/a	5-Jan	0.90	3.0
AO,CXL	01/11	MANNING & NAPIER	034	SHW	S	180	83.34	n/a	5-Jan	5.40	3.0
AO,	01/11	BUCK CAPITAL MGMT	001	WRC	S	1,000	51.22	n/a	10-Jan	30.00	3.0
AO,CXL	01/11	BUCK CAPITAL MGMT	001	WRC	S	10,000	51.22	n/a	10-Jan	300.00	3.0
AO,CRT	01/11	BUCK CAPITAL MGMT	001	WRC	S	9,000	51.22	n/a	10-Jan	270.00	3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>	

TOTAL (Trade Date) :	51,674.67
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>51,674.67</b>
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**BCM Cancel/Corrects and As-Of Trades**

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	01/11	BUCK CAPITAL MGMT.	SWN	B	700	38.19	n/a	11-Jan	28.00
CRT	01/11	BUCK CAPITAL MGMT	SWN	B	1,800	38.19	n/a	11-Jan	72.00 4.0