



Daily Compliance Activity Report

Trade Date: 01/25/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	AAPL	B	200	338.81	n/a	n/a	6.00	3.0
MILLENIUM PARTNERS	028	AA	B	75,000	16.13	n/a	n/a	3,000.00	4.0
WINSLOW CAPITAL	030	ADSK	B	2,400	39.94	n/a	n/a	72.00	3.0
WINSLOW CAPITAL	030	AMTD	B	3,100	20.05	n/a	n/a	93.00	3.0
WINSLOW CAPITAL	030	AMZN	B	800	174.76	n/a	n/a	24.00	3.0
COLUMBUS CIRCLE	036	ANV	S	75,415	24.31	n/a	n/a	3,016.60	4.0
WINSLOW CAPITAL	030	ASML	B	1,800	40.37	n/a	n/a	54.00	3.0
BALYASNY ASSET MGMT	044	ASNA	S	25,000	27.15	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		ASNA	S	20,000	27.14	n/a	n/a	non-brg	4.0
SURSUM CAPITAL	215	ASNA	SS	5,000	27.03	n/a	n/a	150.00	3.0
f LBP ENTERPRISES INC	FID	AVY	S	1000	41.80	n/a	5-Jan	0.00	0.0
f LEE F BACKUS	FID	AVY	S	1000	41.79	n/a	5-Jan	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	AXL	S	2000	14.45	n/a	7-Jan	0.00	0.0
PATTEN & PATTEN	025	BBY	B	1,500	35.15	n/a	n/a	75.00	5.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	10000	8.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BHI	SS	106,123	60.84	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		BHI	S	24,482	60.84	n/a	n/a	non-brg	4.0
f	CICILY S BACKUS	FID	BHI	S	1000	61.82	n/a	n/a	0.00	0.0
f	LBP ENTERPRI SES INC	FID	BHI	S	1000	61.78	n/a	n/a	0.00	0.0
	WINSLOW CAPITAL	030	BIDU	B	900	105.39	n/a	n/a	27.00	3.0
	BUCK CAPITAL MGMT	001	BID	B	20,000	39.02	n/a	n/a	600.00	3.0
B	BUCK CAPITAL MGMT		BID	B	20,000	39.25	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		BID	B	30,000	39.19	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		BIG	S	100,000	32.22	n/a	21-Jan	non-brg	4.0
B	BUCK CAPITAL MGMT		BIG	S	100,000	32.25	n/a	21-Jan	non-brg	4.0
	SIGMA CAPITAL ASSOCIATES	041	BKE	SS	25,000	36.19	n/a	n/a	875.00	3.5
B	BUCK CAPITAL MGMT		BLK	S	34,642	198.06	n/a	n/a	non-brg	4.0
	IRIDIAN ASSET MGMT.	036	BLL	S	67,950	69.79	n/a	n/a	3,397.50	5.0
B	BUCK CAPITAL MGMT		CACH	S	2,500	4.03	n/a	n/a	non-brg	1.0
	WINSLOW CAPITAL	030	CELG	B	900	56.05	n/a	n/a	27.00	3.0
	WINSLOW CAPITAL	030	CERN	B	700	95.97	n/a	n/a	21.00	3.0
	WINSLOW CAPITAL	030	CHRW	B	1,000	77.04	n/a	n/a	30.00	3.0
B	BUCK CAPITAL MGMT		CHS	S	100,000	10.78	n/a	5-Feb	non-brg	4.0
B	BUCK CAPITAL MGMT		CHS	S	50,000	10.80	n/a	5-Feb	non-brg	4.0
	TRUST CO OF THE WEST/NY	040	CLDA	B	149,829	26.41	n/a	n/a	7,491.45	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		COH	B	20,000	52.29	n/a	20-Jan	non-brg	4.0
CASTLE ARK	031	COH	B	108,130	52.43	n/a	20-Jan	5,406.50	5.0
B BUCK CAPITAL MGMT		COLM	C	43,200	60.62	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	COST	B	800	71.97	n/a	n/a	24.00	3.0
WINSLOW CAPITAL	030	CTSH	B	3,500	73.01	n/a	n/a	105.00	3.0
WINSLOW CAPITAL	030	CTXS	B	1,600	62.61	n/a	n/a	48.00	3.0
B BUCK CAPITAL MGMT		CVGI	S	5,000	17.09	n/a	n/a	non-brg	4.0
f MARK DEVEREAUX KAICH	FID	CVGI	S	300	17.58	n/a	n/a	0.00	0.0
f BERNA GABRIELLE BARS	FID	CVTR	B	2000	5.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DAL	B	25,000	11.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DDS	S	10,000	39.41	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		DECK	S	10,000	72.86	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	DF	B	500	10.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DLTR	S	177,583	52.08	n/a	21-Jan	non-brg	4.0
f ANTHONY SUTERA	FID	DPZ	S	1000	16.70	n/a	7-Jan	0.00	0.0
VISIUM/BALY BOBBY	044	DRI	C	10,000	47.20	n/a	7-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		EAT	SS	50,000	22.45	n/a	25-Jan	non-brg	4.0
SURSUM CAPITAL	215	ECL	B	5,000	50.05	n/a	5-Jan	150.00	3.0
BUCK CAPITAL MGMT	001	EL	B	194	82.69	n/a	14-Jan	5.82	3.0
WINSLOW CAPITAL	030	ESRX	B	3,400	57.57	n/a	n/a	102.00	3.0
B BUCK CAPITAL MGMT		ETH	SS	20,000	23.89	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	EXPO	B	3,500	36.07	n/a	n/a	140.00	4.0
KLEINHEINZ CAP PART	031	FAST	SS	25,000	58.75	n/a	n/a	1,250.00	5.0
f CICYLY S BACKUS	FID	FOR	S	1000	19.10	n/a	3-Nov	0.00	0.0
f CICYLY S BACKUS	FID	FOR	S	1000	19.13	n/a	3-Nov	0.00	0.0
f LEE F BACKUS	FID	FOR	S	1000	19.11	n/a	3-Nov	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	B	20,000	67.20	n/a	n/a	non-brg	4.0
SURSUM CAPITAL	215	FOSL	SS	5,000	67.81	n/a	n/a	150.00	3.0
f KEVIN MICHAEL O'GORM	FID	F	S	2000	17.73	n/a	7-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	40,000	42.42	n/a	20-Jan	1,200.00	3.0
SURSUM CAPITAL	215	GES	SS	5,000	42.51	n/a	20-Jan	150.00	3.0
WINSLOW CAPITAL	030	GMCR	B	1,700	34.49	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	GOOG	B	200	615.89	n/a	n/a	6.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		HBI	B	21,000	23.25	n/a	20-Jan	non-brg	4.0
SURSUM CAPITAL	215	HBI	B	20,000	23.04	n/a	20-Jan	600.00	3.0
SURSUM CAPITAL	215	HWD	B	10,000	10.71	n/a	n/a	300.00	3.0
f KATHERINE L O'GORMAN	FID	IGT	S	2000	17.93	n/a	21-Jan	0.00	0.0
WINSLOW CAPITAL	030	INTU	B	1,300	46.34	n/a	n/a	39.00	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	9,814	62.17	n/a	n/a	392.56	4.0
B BUCK CAPITAL MGMT		IVZ	S	100,000	23.91	n/a	2-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		IYC	C	42,000	68.64	n/a	n/a	non-brg	2.0
OSKIE CAPITAL MGMT	224	JCP	B	10,000	32.24	n/a	7-Jan	500.00	5.0
WINSLOW CAPITAL	030	JNPR	B	1,500	34.71	n/a	n/a	45.00	3.0
f ANTHONY SUTERA	FID	JNY	B	1000	12.49	n/a	21-Jan	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	40,000	42.06	n/a	n/a	non-brg	4.0
f JOHN BARTMAN COLE	FID	LNET	S	1000	3.41	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	LPX	S	500	10.25	n/a	8-Nov	0.00	0.0
B BUCK CAPITAL MGMT		LTD	B	18,000	28.35	n/a	n/a	non-brg	4.0
SURSUM CAPITAL	215	LTD	B	5,000	28.40	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		MNRO	B	10,000	31.89	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MNRO	B	10,000	32.21	n/a	n/a	non-brg	2.5
SAC ENERGY GS-BOB	044	MRO	B	100,000	43.25	n/a	n/a	3,500.00	3.5
f JOHN BARTMAN COLE	FID	NCS	B	500	12.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NDN	B	30,815	15.20	n/a	21-Jan	non-brg	2.5
WINSLOW CAPITAL	030	NFLX	B	100	183.11	n/a	n/a	3.00	3.0
SURSUM CAPITAL	215	NKE	S	5,000	82.42	n/a	n/a	150.00	3.0
f JOHN BARTMAN COLE	FID	NM	B	500	4.98	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	NTAP	B	1,300	53.52	n/a	n/a	39.00	3.0
WINSLOW CAPITAL	030	ORCL	B	4,200	32.14	n/a	n/a	126.00	3.0
WINSLOW CAPITAL	030	ORLY	B	1,300	55.92	n/a	n/a	39.00	3.0
f CHRISTOPHER ROBERT C	FID	PCH	B	200	36.02	n/a	21-Jan	0.00	0.0
WINSLOW CAPITAL	030	PCLN	B	300	422.33	n/a	n/a	9.00	3.0
PATTEN & PATTEN	025	PGN	B	1,500	45.41	n/a	n/a	75.00	5.0
f DAVID GEORGE BUCK	FID	PRWCX	B	3848	20.77	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	QCOM	B	3,800	50.95	n/a	n/a	114.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CICYLY S BACKUS	FID	RF	S	5000	7.05	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	RHHBY	S	2,000	38.29	n/a	n/a	100.00	5.0
f FRANCIS MICHAEL MCCA	FID	RKT	B	200	63.07	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	RRC	B	58,300	47.17	n/a	11-Jan	2,332.00	4.0
f KAREN F LEDDY	FID	RRR	B	1000	11.94	n/a	12-Jan	0.00	0.0
MILLENIUM PARTNERS	028	RYN	S	10,000	58.70	n/a	21-Jan	400.00	4.0
WINSLOW CAPITAL	030	SCHW	B	1,400	18.05	n/a	n/a	42.00	3.0
f HARALAMBOS EFSTATHI	FID	SDS	B	30	1.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SHLD	SS	20,000	77.88	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	SHPGY	B	1,200	78.84	n/a	24-Jan	36.00	3.0
f JOSEPH CIRO AMATURO	FID	SLV	B	3000	26.15	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SLW	B	2000	29.37	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	S	20,000	39.23	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SONC	C	17,500	10.09	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	SPY	B	20,000	128.90	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLLIS CAPITAL	033	SSCC	S	5,000	36.15	n/a	7-Jan	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	SSCC	S	96,958	35.70	n/a	7-Jan	3,878.32	4.0
B BUCK CAPITAL MGMT		SWFT	S	30,000	14.66	n/a	n/a	non-brg	4.0
WATERFRONT CAP	028	SWK	B	20,000	66.07	n/a	n/a	800.00	4.0
f DAVID GEORGE BUCK	FID	TFCIX	S	9407	11.43	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	TGT	SS	10,000	55.76	n/a	7-Jan	500.00	5.0
f KATHERINE L O'GORMAN	FID	TGT	B	675	55.97	n/a	7-Jan	0.00	0.0
SURSUM CAPITAL	215	TGT	B	20,000	55.92	n/a	7-Jan	600.00	3.0
ADAGE CAPITAL MGMT	030	TJX	B	450,000	48.04	n/a	7-Jan	13,500.00	3.0
COLUMBUS CIRCLE	036	TPX	B	1,900	43.58	n/a	n/a	76.00	4.0
JMP ASSET MGMT	210	TUES	B	25,000	4.27	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		URBN	S	10,000	34.07	n/a	n/a	non-brg	4.0
f CALEF CAMPBELL DAVIS	FID	URRE	B	200	2.53	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	USG	S	3000	15.81	n/a	22-Oct	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VMW	S	200	82.63	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	VVR	S	8,000	4.95	n/a	n/a	400.00	5.0
f CICILY S BACKUS	FID	WBC	S	1000	57.94	n/a	5-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WATERFRONT CAP	028	WHR	SS	15,000	87.20	n/a	n/a	600.00	4.0
COLUMBUS CIRCLE	036	WLK	S	2,754	38.85	n/a	n/a	110.16	4.0
PERRY PARTNERS	085	WMB	B	25,000	26.29	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	040	WMT	B	42,600	56.55	n/a	17-Nov	1,704.00	4.0
LISTED ERR	099	WMT	B	3,100	56.55	n/a	17-Nov	0.00	0.0
LISTED ERR	099	WMT	S	3,100	56.55	n/a	17-Nov	0.00	0.0
f JOSEPH CIRO AMATURO	FID	WNC	S	5000	11.68	n/a	n/a	0.00	0.0
CAXTON PART	040	WY	S	149,524	22.97	n/a	21-Jan	5,233.35	3.5
B BUCK CAPITAL MGMT		XRT	C	190,000	46.69	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								69,241.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/19	NOMURA CAPITAL	029	ABH	S	350	26.72	n/a	n/a	10.50 3.0
AO,CXL	01/19	NOMURA CAPITAL	029	ABH	S	350	26.72	n/a	n/a	10.50 3.0
AO,	01/24	ARMATURE CAPITAL	041	IP	B	20,000	28.76	n/a	7-Jan	800.00 4.0
AO,CXL	01/24	ARMATURE CAPITAL	041	IP	B	20,000	28.75	n/a	7-Jan	800.00 4.0
AO,CRT	01/24	SCOPUS FUND	041	JNY	S	25,800	12.33	n/a	21-Jan	1032.00 4.0
AO,CXL	01/24	SCOPUS FUND	041	JNY	S	25,800	12.33	n/a	21-Jan	1032.00 4.0
AO,	01/24	NOMURA CAPITAL	029	SSCC	S	875	35.05	n/a	7-Jan	26.25 3.0
AO,CXL	01/24	NOMURA CAPITAL	029	SSCC	S	875	35.05	n/a	7-Jan	26.25 3.0
AO,CRT	01/24	IMPALA ASSET MMT	012	WAB	SS	17,624	53.32	n/a	n/a	881.20 5.0
AO,CXL	01/24	IMPALA ASSET MMT	012	WAB	SS	17,624	53.32	n/a	n/a	881.20 5.0
AO,	01/24	COLUMBUS CIRCLE	036	WLK	S	4,246	40.38	n/a	n/a	148.82 3.0

TOTAL (AO, CXL, CRT) :**148.82**

TOTAL (Trade Date) :**69,241.26****TOTAL (AO, CXL, CRT) :****148.82**

TOTAL (RUN DATE) / NFS:**69,390.08**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 25-Jan.
NONE

MRI Securities without Trade Activity on 25-Jan.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
YTD = 4%

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)