



Daily Compliance Activity Report

Trade Date: 09/15/2010

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	S	200	269.59	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	ADSK	S	400	32.46	n/a	n/a	12.00	3.0
RAINIER INV MGMT	035	ADS	B	86,330	63.93	n/a	n/a	3,453.20	4.0
BUCK CAPITAL MGMT	001	AEO	B	75,000	14.46	n/a	2-Sep	3,000.00	4.0
CHILTON CAPITAL MGMT.	036	AEO	S	80,000	14.40	n/a	2-Sep	2,400.00	3.0
LAGRANGE CAP ADV	048	ALV	SS	16,476	60.79	15-Sep	15-Sep	823.80	5.0
f ABRAM M CHAPPELL	FID	AMR	S	175	6.48	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	AMZN	S	200	144.18	n/a	n/a	6.00	3.0
B BUCK CAPITAL MGMT		ANN	B	20,000	18.41	n/a	n/a	non-brg	4.0
GRANITE CAPITAL	028	AN	S	20,000	23.30	n/a	4-Aug	1,000.00	5.0
f CHRISTOPHER ROBERT C	FID	APC	B	100	53.92	n/a	13-Sep	0.00	0.0
f JOHN BARTMAN COLE	FID	ARG	S	22	1.75	n/a	5-Feb	0.00	0.0
f KAREN F LEDDY	FID	ARM	B	500	14.14	n/a	n/a	0.00	0.0
TRAFELET & COMP.	028	ATML	SS	87,500	6.86	n/a	n/a	2,625.00	3.0
TRAFELET & COMP.	028	ATML	S	112,500	6.86	n/a	n/a	3,375.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	AXL	B	175,500	8.67	n/a	4-Aug	8,775.00	5.0
f MANNY I KORMAN	FID	AXP	B	5000	40.86	n/a	14-Sep	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BALT	B	5000	11.38	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	067	BGC	B	10,000	24.98	n/a	n/a	400.00	4.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	5.41	n/a	n/a	800.00	4.0
MILLENIUM PARTNERS	028	CCK	SS	15,000	29.15	n/a	n/a	600.00	4.0
WINSLOW CAPITAL	030	CELG	S	200	54.82	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CERN	S	200	79.86	n/a	n/a	6.00	3.0
SENATOR INVESTMENT GROUP	036	CHRW	SS	40,000	67.75	n/a	n/a	800.00	2.0
WINSLOW CAPITAL	030	CHRW	S	200	67.90	n/a	n/a	6.00	3.0
f JASON ERIC COHEN	FID	CLWR	S	325	7.37	n/a	n/a	0.00	0.0
RANGER	031	CMG	B	8,980	169.19	n/a	23-Jul	449.00	5.0
DIAMONDBACK CAP MGMT	232	CNS	B	10,000	20.68	n/a	n/a	500.00	5.0
WINSLOW CAPITAL	030	COST	S	200	61.04	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CSCO	S	1,200	21.79	n/a	n/a	36.00	3.0
B BUCK CAPITAL MGMT		CSTR	B	10,000	41.47	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CTSH	S	700	62.80	n/a	n/a	21.00	3.0
WINSLOW CAPITAL	030	CTXS	S	300	67.09	n/a	n/a	9.00	3.0
DALTON GREINER	012	CWTR	C	73,730	4.96	n/a	n/a	2,949.20	4.0
f JONATHAN RICHARD HAR	FID	C	B	250	3.93	n/a	15-Sep	0.00	0.0
f MANNY I KORMAN	FID	C	B	25000	3.92	n/a	15-Sep	0.00	0.0
B BUCK CAPITAL MGMT		DAN	B	15,600	10.58	n/a	2-Aug	non-brg	4.0
RBC CAPITAL MARKETS	040	DAR	B	25,000	8.20	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		DBRN	B	40,000	24.40	n/a	n/a	non-brg	4.0
PIONEER PATH	226	DECK	B	2,200	46.75	n/a	n/a	66.00	3.0
f MANNY I KORMAN	FID	ENDP	B	5000	29.74	n/a	14-Sep	0.00	0.0
WINSLOW CAPITAL	030	EQIX	S	200	95.48	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	ESRX	S	600	46.49	n/a	n/a	18.00	3.0
WALL STREET CAPITAL	084	ESV	S	3,400	44.46	n/a	n/a	153.00	4.5
f MARC PAUL LUCHANSKY	FID	FILEFX	B	119	8.25	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	B	50,000	14.04	n/a	20-Aug	non-brg	4.0
WEINTRAUB CAPITAL MGT.	040	FL	B	100,000	13.97	n/a	20-Aug	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MITCHELL JAMES SPEIS	FID	FSNXX	B	10000	1.00	n/a	n/a	0.00	0.0
HARBORWATCH/DIAMBACK	232	F	SS	25,000	11.90	n/a	2-Sep	1,250.00	5.0
f JOSEPH CIRO AMATURO	FID	GAZ	B	10000	8.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	9,400	28.63	n/a	n/a	376.00	4.0
B BUCK CAPITAL MGMT		GCO	B	20,600	28.63	n/a	n/a	non-brg	4.0
MILLENIUM PARTNERS	028	GE	S	100,000	16.13	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		GIII	S	12,678	31.77	n/a	n/a	non-brg	1.5
B BUCK CAPITAL MGMT		GIII	S	20,000	31.20	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		GIII	S	600	31.80	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	GMCR	S	400	35.63	n/a	n/a	12.00	3.0
SCOPUS FUND	041	GNTX	B	120,800	18.61	n/a	2-Aug	6,040.00	5.0
WINSLOW CAPITAL	030	GOOG	S	100	479.63	n/a	n/a	3.00	3.0
SENATOR INVESTMENT GROUP	036	HPQ	B	150,000	39.91	n/a	n/a	3,000.00	2.0
HOLLIS CAPITAL	033	HP	S	5,000	40.00	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		ICON	B	17,500	16.86	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		ICON	B	38,700	16.69	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		IP	B	25,000	22.84	n/a	26-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	22.95	n/a	26-Aug	2,500.00	5.0
MILLENIUM PARTNERS	028	IP	B	25,000	22.76	n/a	26-Aug	1,000.00	4.0
SIGMA CAP BOBBY	044	IWM	B	50,000	65.06	n/a	n/a	1,750.00	3.5
B BUCK CAPITAL MGMT		JCP	B	100,000	23.94	n/a	2-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		KCP	B	13,500	13.95	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		KCP	B	2,000	14.45	n/a	n/a	non-brg	1.5
CENTURION PARTNERS	041	KSS	B	10,000	49.93	n/a	2-Sep	400.00	4.0
JP MORGAN VENTURES	046	KSS	B	10,000	50.03	n/a	2-Sep	500.00	5.0
f CHRISTOPHER ROBERT C	FID	LIZ	B	1000	5.16	n/a	7-Oct	0.00	0.0
WINSLOW CAPITAL	030	LLTC	S	300	31.04	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	LRCX	S	300	39.00	n/a	n/a	9.00	3.0
B BUCK CAPITAL MGMT		LTD	B	20,000	26.36	n/a	n/a	non-brg	4.0
LISTED ERR	099	LZ	S	4,500	103.96	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	MAS	S	148,752	11.01	n/a	n/a	5,950.08	4.0
B BUCK CAPITAL MGMT		MA	S	36,300	208.79	n/a	15-Sep	non-brg	1.0
CHILTON CAPITAL MGMT.	036	MDT	B	174,300	33.48	n/a	n/a	5,229.00	3.0
STANDARD PACIFIC CAPITAL	040	MET	S	120,000	40.51	n/a	n/a	6,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		MFB	S	10,000	28.36	n/a	n/a	non-brg	2.5
MERRILL ASSET/BLACKROCK	266	MIG	S	10,200	8.65	n/a	n/a	408.00	4.0
WINSLOW CAPITAL	030	MRVL	S	600	17.26	n/a	n/a	18.00	3.0
BASCOM HILL PARTNERS LLC	033	M	SS	25,000	21.44	n/a	2-Sep	750.00	3.0
WINSLOW CAPITAL	030	NTAP	S	300	49.30	n/a	n/a	9.00	3.0
TRUSTCO/SUNTRUST	040	OCR	B	25,000	21.70	n/a	n/a	875.02	3.5
WINSLOW CAPITAL	030	ORCL	S	900	25.67	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	ORLY	S	300	51.14	n/a	n/a	12.00	4.0
ADALY INV MGMT	031	PAG	B	14,539	12.01	n/a	4-Aug	508.87	3.5
GRANITE CAPITAL	028	PAG	B	20,000	11.88	n/a	4-Aug	1,000.00	5.0
LAGRANGE CAP ADV	048	PAG	B	200	11.85	n/a	4-Aug	10.00	5.0
NEWLAND CAPITAL MGT	067	PAG	B	15,000	11.82	n/a	4-Aug	600.00	4.0
TRELLUS PARTNERS LP	028	PAG	B	3,900	11.70	n/a	4-Aug	195.00	5.0
WINSLOW CAPITAL	030	PCLN	S	100	330.98	n/a	n/a	3.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	25,000	23.89	n/a	26-Aug	1,250.00	5.0
RANGER	031	PNRA	B	17,410	87.15	n/a	28-Jul	870.50	5.0
HOPLITE MGMT	025	PXD	C	328,097	65.35	n/a	29-Jul	16,404.85	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	QCOM	S	700	41.72	n/a	n/a	21.00	3.0
FIRST NEW YORK NICK	029	Q	S	10,000	6.07	n/a	n/a	500.00	5.0
NEWLAND CAPITAL MGT	067	RBN	S	15,000	25.55	n/a	n/a	600.00	4.0
WALL STREET CAPITAL	084	RL	S	27,300	85.17	n/a	5-Aug	1,228.50	4.5
f KAREN F LEDDY	FID	SLB	B	200	58.04	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	B	50	0.38	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	50	0.52	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	20,000	19.41	n/a	26-Aug	1,000.00	5.0
TALKOT CAPITAL LLC	084	SSCC	B	5,000	19.43	n/a	26-Aug	200.00	4.0
B BUCK CAPITAL MGMT		SUP	S	34,082	16.51	n/a	16-Aug	non-brg	4.0
CHARTER OAK	033	SWN	B	50,000	32.50	n/a	6-Aug	2,500.00	5.0
f MARK DEVEREAUX KAICH	FID	TA	S	779	3.22	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	TEVA	S	300	54.40	n/a	13-Sep	9.00	3.0
SAGE ASSET MGMT	012	TIN	B	27,800	19.98	n/a	26-Aug	1,390.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TIN	B	15,000	19.91		n/a 26-Aug	750.00	5.0
SIGMA CAP BOBBY	044	TMO	S	49,900	46.72	n/a	n/a	1,746.50	3.5
B BUCK CAPITAL MGMT		UA	C	80,000	43.39	n/a	28-Jul	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	CHRISTOPHER ROBERT C	FID	UA	S	100	42.85	n/a	28-Jul	0.00	0.0
	WINSLOW CAPITAL	030	URBN	S	500	34.73	n/a	n/a	15.00	3.0
	PROSPECTOR PARTNERS LLC	036	WLP	B	54,200	54.75	n/a	n/a	2,168.00	4.0
B	BUCK CAPITAL MGMT		WMS	B	40,000	39.20	n/a	n/a	non-brg	4.0
	OZ MGMT	040	WMT	B	100,000	53.02	n/a	7-Sep	2,000.00	2.0
	OZ MGMT	040	WMT	SS	100,000	52.80	n/a	7-Sep	2,000.00	2.0
	SCOUT/UMB	047	WRC	S	21,900	48.29	n/a	6-Aug	1,095.00	5.0
	T. ROWE PRICE	033	WY	S	111,700	15.90	n/a	26-Aug	4,468.00	4.0
TOTAL (Trade Date) :									120,217.52	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/13	LISTED ERR	099	LZ	B	9,000	102.72	n/a	n/a	0.00 0.0
AO,	09/13	LISTED ERR	099	LZ	S	4,500	102.72	n/a	n/a	0.00 0.0
AO,CRT	09/13	TOCQUEVILLE	067	LZ	S	5,000	102.72	n/a	n/a	250.00 5.0
AO,CXL	09/13	TOCQUEVILLE	067	LZ	S	500	102.72	n/a	n/a	25.00 5.0
TOTAL (AO, CXL, CRT) :										225.00

TOTAL (Trade Date) :	120,217.52
TOTAL (AO, CXL, CRT) :	225.00

TOTAL (RUN DATE) / NFS:	120,442.52
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MRI Securities with Trade Activity on 15-Sep.

ALV

MRI Securities without Trade Activity on 15-Sep.

BUD

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

T-Date = 14%

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)