



# Daily Compliance Activity Report

Trade Date: 08/21/2009

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	100	168.60	n/a	n/a	4.00	4.0
NORTHPOINT	030	AAP	S	600	43.33	n/a	n/a	24.00	4.0
FORD FDN.	032	AA	S	40,000	12.53	n/a	n/a	2,000.00	5.0
WINSLOW CAPITAL	030	ADBE	B	200	32.58	n/a	n/a	8.00	4.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>AIG</b>	<b>B</b>	<b>2000</b>	<b>34.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	AMZN	B	100	84.50	n/a	n/a	4.00	4.0
M&I FUNDS	047	AN	B	16,009	19.07	3-Aug	5-Aug	640.36	4.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	37.76	n/a	21-Aug	1,600.00	4.0
<b>B</b> BUCK CAPITAL MGMT		ARO	S	40,000	37.70	n/a	21-Aug	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		ARO	S	40,000	39.07	n/a	21-Aug	non-brg	1.0
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>ARO</b>	<b>S</b>	<b>200</b>	<b>39.01</b>	<b>n/a</b>	<b>21-Aug</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	ARO	S	15,300	39.42	n/a	21-Aug	765.00	5.0
REICH AND TANG	067	ASH	S	10,000	35.39	n/a	24-Jul	500.00	5.0
<b>f</b> JOHN BARTMAN COLE	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>300</b>	<b>6.38</b>	<b>19-Aug</b>	<b>19-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> WILLIAM RAYMOND KATZ	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>500</b>	<b>6.40</b>	<b>19-Aug</b>	<b>19-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGU</b>	<b>S</b>	<b>10000</b>	<b>46.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>5000</b>	<b>24.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BIG	B	50,000	23.71	28-May	6-Aug	non-brg	4.0
f ROBERT M DANIELS	FID	BKC	S	500	17.59	20-Aug	20-Aug	0.00	0.0
ACK ASSET	028	BWA	SS	10,000	31.09	3-Aug	5-Aug	300.00	3.0
BALYASNY ASSET MGMT	044	BWA	S	13,787	31.09	3-Aug	5-Aug	689.35	5.0
CIRCLE T/SES PART	035	BWA	S	55,000	30.81	3-Aug	5-Aug	2,200.00	4.0
SCOPUS FUND	041	BZ	S	25,000	4.52	n/a	n/a	1,250.00	5.0
f MICHAEL THOMAS NOLAN	FID	CAL	S	500	12.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CAM	S	20,000	36.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CHA	SS	40,000	50.21	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	CHRW	B	100	57.53	n/a	n/a	4.00	4.0
CASTLE ARK	031	CLX	C	650	58.49	13-Aug	13-Aug	39.00	6.0
B BUCK CAPITAL MGMT		COLM	C	20,000	36.86	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		COLM	C	30,000	36.91	n/a	n/a	non-brg	2.5
f STRATTON PAR TNERSHI	FID	COWN	B	100	6.45	n/a	n/a	0.00	0.0
SONTERRA CAP	041	CPN	SS	30,000	12.27	n/a	n/a	1,200.00	4.0
f HARALAMBOS EFSTATHI	FID	CROX	B	700	7.16	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	CSCO	B	900	22.17	n/a	22-Mar	36.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CTSH	B	600	34.45	n/a	n/a	24.00	4.0
⚡ BUCK CAPITAL MGMT		CWTR	B	50,000	6.95	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CWTR	B	80,000	6.98	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		DHI	S	20,000	12.68	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	EQIX	B	100	86.11	n/a	n/a	4.00	4.0
⚡ STRATTON PARTNERSHIP	FID	ESCA	S	250	1.85	n/a	n/a	0.00	0.0
DSG CAPITAL	225	EWJ	B	15,000	10.15	n/a	n/a	450.00	3.0
⚡ BUCK CAPITAL MGMT		EXH	B	20,000	17.52	27-May	3-Aug	non-brg	4.0
WINSLOW CAPITAL	030	EXPD	B	100	33.49	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	FAST	B	100	37.20	n/a	n/a	4.00	4.0
NUMERIC	060	FDO	B	26,300	29.67	n/a	4-Aug	789.00	3.0
⚡ BUCK CAPITAL MGMT		FINL	S	20,000	8.13	n/a	28-Mar	non-brg	2.5
BUCK CAPITAL MGMT	001	FL	B	164,896	10.36	27-Apr	21-Aug	6,595.84	4.0
COLUMBIA PARTNERS	028	FL	C	143,914	10.34	27-Apr	21-Aug	5,756.56	4.0
RBC CAPITAL MARKETS	040	FL	B	50,000	10.38	27-Apr	21-Aug	2,000.00	4.0
THIRD COAST CAPITAL	035	FL	B	15,000	10.60	27-Apr	21-Aug	750.00	5.0
COOPER CREEK PART	028	F	B	25,000	7.70	3-Aug	21-Aug	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD ASSOC	041	F	S	100,000	7.72	3-Aug	21-Aug	3,000.00	3.0
SCOPUS FUND	041	F	B	30,000	7.74	3-Aug	21-Aug	1,500.00	5.0
TRELLUS PARTNERS LP	028	F	B	100,000	7.73	3-Aug	21-Aug	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>24,200</b>	<b>20.50</b>	<b>n/a</b>	<b>10-Jan</b>	<b>968.00</b>	<b>4.0</b>
WINSLOW CAPITAL	030	GILD	B	400	46.71	n/a	n/a	16.00	4.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>GPK</b>	<b>S</b>	<b>2000</b>	<b>2.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>B</b>	<b>100,000</b>	<b>19.47</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>B</b>	<b>140,000</b>	<b>19.46</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>B</b>	<b>196,500</b>	<b>19.53</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
SAXON WOODS ADVISORS	038	GS	B	66,500	163.63	14-Jul	14-Jul	2,660.00	4.0
TPG-AXON	040	HAL	S	1,000,000	24.98	n/a	n/a	50,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>HD</b>	<b>C</b>	<b>20,000</b>	<b>27.18</b>	<b>10-Aug</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>4.0</b>
HOLLIS CAPITAL	033	HOT	B	5,000	30.65	n/a	n/a	250.00	5.0
SUN AMERICA ASSET MGMT	030	IACI	S	5,400	19.25	n/a	n/a	216.00	4.0
WINSLOW CAPITAL	030	ILMN	B	100	35.92	n/a	n/a	4.00	4.0
BMO NESBITT BURNS	041	IP	SS	200,000	20.96	14-Aug	14-Aug	10,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IP</b>	<b>S</b>	<b>60,000</b>	<b>21.21</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>non-brg</b>	<b>1.0</b>
CAVU CAP ADV	028	JCI	S	50,000	25.31	4-Aug	20-Aug	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	JNPR	B	300	24.57	n/a	22-Mar	12.00	4.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>JNS</b>	<b>S</b>	<b>600</b>	<b>13.63</b>	<b>16-Jul</b>	<b>19-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>30,000</b>	<b>39.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SCOPUS FUND	041	KMB	SS	20,000	59.31	27-Jul	27-Jul	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KMT</b>	<b>B</b>	<b>30,000</b>	<b>21.23</b>	<b>30-Jul</b>	<b>30-Jul</b>	<b>non-brg</b>	<b>2.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>KMT</b>	<b>B</b>	<b>70</b>	<b>21.20</b>	<b>30-Jul</b>	<b>30-Jul</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	K	B	1,578	47.40	n/a	n/a	63.12	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>S</b>	<b>20,000</b>	<b>14.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LL+HW[???</b>	<b>C</b>	<b>971</b>	<b>3.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>200.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LPX</b>	<b>S</b>	<b>67,000</b>	<b>6.37</b>	<b>n/a</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>3.0</b>
HIGHBRIDGE CAPITAL	038	LPX	SS	50,000	6.39	n/a	5-Aug	2,000.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>LVS</b>	<b>S</b>	<b>5000</b>	<b>13.97</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>0.00</b>	<b>0.0</b>
SAC TRADIN/BINDER	044	LVS	B	58,000	13.98	14-Aug	14-Aug	2,320.00	4.0
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>LYBI</b>	<b>S</b>	<b>600</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>50,000</b>	<b>24.81</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
FORD FDN.	032	MMM	S	12,000	71.99	7-Aug	7-Aug	600.00	5.0
WINSLOW CAPITAL	030	MRVL	B	500	14.19	n/a	n/a	20.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>MSFT</b>	<b>S</b>	<b>1000</b>	<b>24.06</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	MSFT	B	500	24.02	n/a	3-Apr	20.00	4.0
<b>f</b> CHRISTOPHER ROBERT B	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>1000</b>	<b>29.45</b>	<b>11-May</b>	<b>23-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MELISSA LEE BACKUS	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>1000</b>	<b>29.45</b>	<b>11-May</b>	<b>23-Jul</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>M</b>	<b>B</b>	<b>260,000</b>	<b>15.49</b>	<b>n/a</b>	<b>13-Aug</b>	<b>10,400.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>M</b>	<b>C</b>	<b>90,000</b>	<b>15.53</b>	<b>n/a</b>	<b>13-Aug</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	M	B	35,000	15.37	n/a	13-Aug	1,750.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>NKE</b>	<b>C</b>	<b>30,000</b>	<b>55.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>NP</b>	<b>S</b>	<b>14,790</b>	<b>11.55</b>	<b>11-Aug</b>	<b>11-Aug</b>	<b>591.60</b>	<b>4.0</b>
NUMERIC	060	ODP	S	22,700	5.35	n/a	27-Jul	681.00	3.0
SCOPUS FUND	041	OMX	B	70,000	10.88	n/a	15-Apr	3,500.00	5.0
WINSLOW CAPITAL	030	ORCL	B	600	22.00	n/a	n/a	24.00	4.0
WINSLOW CAPITAL	030	ORLY	B	100	38.46	n/a	n/a	4.00	4.0
WINSLOW CAPITAL	030	PCLN	B	100	152.30	n/a	n/a	4.00	4.0
COHE & STEERS	091	PCL	S	247,040	31.47	n/a	28-Jul	9,881.60	4.0
THOMAS WEISEL ASSET MGMT	035	PDC	B	4,265	6.03	n/a	n/a	127.95	3.0
CASTLE ARK	031	PHM	S	1,267	12.62	n/a	n/a	76.02	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		PLCE	B	60,000	31.67	n/a	20-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PLCE	S	800	31.70	n/a	20-Aug	non-brg	1.0
WINSLOW CAPITAL	030	QCOM	B	600	46.95	n/a	n/a	24.00	4.0
KACELA CAPITAL	034	QLGC	B	20,000	14.53	n/a	n/a	800.00	4.0
STRAUSS ASSET MGMT	040	RAVN	B	5,000	31.77	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	RIMM	B	100	76.69	n/a	n/a	4.00	4.0
BUCK CAPITAL MGMT	001	RL	S	19,700	67.52	6-Aug	6-Aug	788.00	4.0
⚡ BUCK CAPITAL MGMT		RYL	S	20,000	23.19	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	SCHW	B	900	17.95	n/a	n/a	36.00	4.0
⚡ BUCK CAPITAL MGMT		SII	B	10,000	28.37	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	15,000	15.40	n/a	13-Mar	non-brg	1.0
⚡ BUCK CAPITAL MGMT		SKX	S	25,000	15.57	n/a	13-Mar	non-brg	4.0
COBALT	041	SLM	B	50,000	8.71	12-Aug	12-Aug	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		SPLS	SS	30,000	22.42	n/a	27-Jul	non-brg	4.0
Ⓢ NICOLAS EVAN PAKLER	FID	SPLS	B	150	22.36	n/a	27-Jul	0.00	0.0
RBC CAPITAL MARKETS	040	SPLS	B	15,000	21.96	n/a	27-Jul	600.00	4.0
MILLENIUUM PARTNERS	028	SWY	S	15,626	19.18	n/a	n/a	625.04	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	SYNA	B	13,800	25.65	n/a	n/a	552.00	4.0
MILLENIUM PARTNERS	028	TAP	B	4,838	46.40	n/a	n/a	193.52	4.0
BNP PARIBAS SEC	040	TEN	SS	15,000	17.50	n/a	n/a	600.00	4.0
WINSLOW CAPITAL	030	TEVA	B	400	51.97	29-Jul	17-Aug	16.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	45.56	19-Aug	19-Aug	800.00	4.0
f JASON ERIC COHEN	FID	TIN	S	60	16.91	14-Aug	14-Aug	0.00	0.0
COOPER CREEK PART	028	TIS	S	10,000	20.46	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	TXT	B	75,000	14.60	n/a	n/a	3,750.00	5.0
FORD FDN.	032	UNP	S	27,000	61.87	n/a	n/a	1,350.00	5.0
f CHRISTOPHER ROBERT B	FID	VALE	B	1000	20.29	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	VALE	B	2000	20.30	n/a	n/a	0.00	0.0
f MELISSA LEE BACKUS	FID	VALE	B	1000	20.29	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	VLO	B	75,000	18.57	n/a	n/a	3,750.00	5.0
f IAN L MILLER	FID	WHR	B	25	63.43	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	WHR	S	150	64.17	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	WHR	S	125	64.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	39.05	28-Jul	12-Aug	400.00	4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	YHOO	B	157,947	14.84	n/a	n/a	6,317.88	4.0
<b>TOTAL (Trade Date):</b>							<b>161,286.84</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/20	ASCEND PARTNERS	033	COLM	C	4,100	36.15	n/a	n/a	205.00 5.0
AO,	08/20	LEVEL GLOBAL PARTNERS	031	GME	S	857,000	23.72	n/a	n/a	8570.00 1.0
AO,CRT	08/19	CENTURION PARTNERS	041	MA	S	5,000	196.18	30-Jul	20-Aug	200.00 4.0
AO,CXL	08/19	CENTURION PARTNERS	041	MA	S	5,000	196.18	30-Jul	20-Aug	200.00 4.0
AO,CXL	08/18	SENATOR INVESTMENT GROUP	036	PCU	SS	7,500	26.05	n/a	n/a	300.00 4.0
AO,CRT	08/18	SENATOR INVESTMENT GROUP	036	PCU	SS	7,500	26.05	n/a	n/a	300.00 4.0
AO,CRT	08/20	TROUBH PART	067	SLM	B	100,000	8.47	12-Aug	12-Aug	5000.00 5.0
AO,CXL	08/20	TROUBH PART	067	SLM	B	50,000	8.47	12-Aug	12-Aug	2500.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>11,275.00</b>
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TOTAL (Trade Date) :	161,286.84
TOTAL (AO, CXL, CRT) :	11,275.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>172,561.84</b>
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MRI Securities with Trade Activity on 21-Aug. NONE
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MRI Securities without Trade Activity on 21-Aug.

PVH

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

T-Date = 35%

YTD = 21%

**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)**