



# Daily Compliance Activity Report

Trade Date: 03/15/2010

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	300	222.70	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	ADBE	S	400	35.18	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	AMZN	S	200	129.90	n/a	n/a	8.00	4.0
RBC CAPITAL MARKETS	040	ANF	SS	7,500	43.05	n/a	5-Mar	300.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANN	B	100,000	19.58	n/a	n/a	3,500.00	3.5
SOUTH POINT CAP	067	AONE	SS	50,000	15.45	n/a	n/a	2,500.00	5.0
KACELA CAPITAL	034	ARO	S	25,000	28.28	n/a	12-Mar	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ATVI</b>	<b>B</b>	<b>50,000</b>	<b>11.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	AXL	B	60,000	10.32	n/a	8-Feb	3,000.00	5.0
BALYASNY ASSET MGMT	044	BBY	B	25,000	39.84	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	BIG	B	33,860	35.85	n/a	4-Mar	1,354.40	4.0
WINSLOW CAPITAL	030	BRCM	S	500	32.59	n/a	n/a	20.00	4.0
IVORY CAPITAL	034	BSX	S	53,000	6.50	n/a	n/a	1,590.00	3.0
SMITH MGMT LLC	029	BZ	S	200,000	5.50	n/a	n/a	6,000.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>CASY</b>	<b>SS</b>	<b>30,000</b>	<b>29.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
	KENNEDY CAPITAL	046	CBK	B	20,000	7.98	n/a	n/a	600.00 3.0
	PENNANT CAP MGMT	029	CELG	S	15,000	61.82	n/a	n/a	450.00 3.0
	WINSLOW CAPITAL	030	CELG	S	400	62.10	n/a	n/a	16.00 4.0
	WINSLOW CAPITAL	030	CHRW	S	200	53.92	n/a	n/a	8.00 4.0
	ROSEDALE CAPITAL	046	CMC	B	10,000	16.81	n/a	n/a	500.00 5.0
	WINSLOW CAPITAL	030	COST	S	300	60.52	n/a	n/a	12.00 4.0
	WINSLOW CAPITAL	030	CSCO	S	1,800	25.90	n/a	n/a	72.00 4.0
	ROTHSCHILD ASSET	040	CTL	S	18,750	34.68	n/a	n/a	750.00 4.0
	WINSLOW CAPITAL	030	CTSH	S	1,000	50.67	n/a	n/a	40.00 4.0
	PENNANT CAP MGMT	029	DGX	B	10,000	56.29	n/a	n/a	300.00 3.0
	MFP INVESTORS	032	DOW	S	50,000	29.84	n/a	2-Feb	2,500.00 5.0
<b>f</b>	<b>JASON ERIC COHEN</b>	<b>FID</b>	<b>DRWI</b>	<b>B</b>	<b>215</b>	<b>9.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
	WHITE PINE CAPITAL	030	EPIQ	S	13,425	12.00	n/a	n/a	671.25 5.0
	WINSLOW CAPITAL	030	EQIX	S	200	104.21	n/a	n/a	8.00 4.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>ERTS</b>	<b>B</b>	<b>50,000</b>	<b>17.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	239	EXH	S	15,196	26.08	n/a	10-Mar	607.84	4.0
ROTHSCHILD ASSET	040	FHN	B	81,850	13.20	n/a	n/a	3,274.00	4.0
<b>f DOUGLAS ROGERS</b>	<b>FID</b>	<b>FSLXX</b>	<b>B</b>	<b>5927</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	F	B	100,000	13.48	n/a	3-Mar	5,000.00	5.0
WINSLOW CAPITAL	030	GILD	S	300	47.67	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	GOOG	S	100	559.05	n/a	n/a	4.00	4.0
SOROS	036	GT	B	78,921	13.59	n/a	n/a	3,156.84	4.0
BALYASNY ASSET MGMT	044	GYMB	B	20,000	51.27	n/a	11-Mar	1,000.00	5.0
THE JAY GOLDMAN	028	HOT	SS	20,000	41.68	n/a	n/a	800.00	4.0
MELLON/BANK OF NEW YORK	046	IBM	S	15,625	127.55	n/a	n/a	781.25	5.0
CIRCLE T/SES PART	035	IGT	S	5,000	16.34	n/a	9-Feb	200.00	4.0
HARBORWATCH/DIAMBACK	232	ITW	SS	10,000	45.28	n/a	28-Jan	500.00	5.0
FRIESS MGMT	033	JCG	B	49,100	44.67	n/a	n/a	1,964.00	4.0
RBC CAPITAL MARKETS	040	JCP	B	5,000	30.34	n/a	5-Mar	200.00	4.0
WINSLOW CAPITAL	030	JNPR	S	900	29.95	n/a	n/a	36.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	JNY	B	17,100	18.74	n/a	10-Feb	666.90	3.9
ROTHSCHILD ASSET	040	KCI	S	16,430	49.48	n/a	n/a	657.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KR</b>	<b>SS</b>	<b>30,000</b>	<b>22.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	LLTC	S	400	27.47	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	LRCX	S	400	33.15	n/a	n/a	16.00	4.0
THE JAY GOLDMAN	028	LVS	B	40,000	18.85	n/a	10-Mar	1,600.00	4.0
SENATOR INVESTMENT GROUP	036	MI	B	180,000	7.95	n/a	n/a	5,400.00	3.0
WINSLOW CAPITAL	030	MRVL	S	1,100	19.87	n/a	n/a	44.00	4.0
WINSLOW CAPITAL	030	MSFT	S	900	29.18	n/a	n/a	36.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>20,000</b>	<b>23.52</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
WINSLOW CAPITAL	030	ORCL	S	1,300	25.17	n/a	n/a	52.00	4.0
WINSLOW CAPITAL	030	ORLY	S	400	40.41	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	PCLN	S	200	237.60	n/a	n/a	8.00	4.0
HUNTER GLOBAL INVESTOR	067	PEP	S	50,000	66.20	n/a	n/a	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>SS</b>	<b>20,000</b>	<b>30.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>PFCB</b>	<b>SS</b>	<b>50,000</b>	<b>42.95</b>	<b>n/a</b>	<b>18-Feb</b>	<b>non-brg</b>	<b>4.0</b>
GALT INVESTMENT	041	PLCE	B	25,000	42.59	n/a	10-Mar	1,250.00	5.0
BAIRD INVESTMENT	047	PNC	B	3,325	57.34	n/a	n/a	166.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>70,000</b>	<b>53.13</b>	<b>n/a</b>	<b>4-Mar</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	QCOM	S	900	38.89	n/a	n/a	36.00	4.0
ROTHSCHILD ASSET	040	Q	B	6,910	4.78	n/a	n/a	276.40	4.0
OSS CAPITAL/KEVIN DANN	067	RCL	B	55,000	30.34	n/a	n/a	1,650.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SAH</b>	<b>B</b>	<b>20,000</b>	<b>11.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	SCHW	S	800	18.27	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	SPLS	S	600	23.16	n/a	n/a	24.00	4.0
SENATOR INVESTMENT GROUP	036	SPY	SS	25,000	115.31	n/a	n/a	750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>S</b>	<b>3,512</b>	<b>6.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
PENNANT CAP MGMT	029	TDG	S	8,400	52.31	n/a	n/a	252.00	3.0
WINSLOW CAPITAL	030	TEVA	S	500	61.11	n/a	15-Mar	20.00	4.0
BMO NESBITT BURNS	041	TIN	B	25,000	19.36	n/a	9-Feb	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	TM	B	5,000	78.18	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>SS</b>	<b>20,000</b>	<b>57.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UBI FP</b>	<b>B</b>	<b>80,000</b>	<b>12.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.9</b>
CONIFER/ISF	025	UNH	S	5,000	32.23	n/a	n/a	250.00	5.0
WINSLOW CAPITAL	030	URBN	S	400	36.19	n/a	n/a	16.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>VHC</b>	<b>S</b>	<b>100</b>	<b>1.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	WFC	B	7,400	29.52	n/a	9-Mar	370.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>1500</b>	<b>6.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CIRCLE T/SES PART	035	YUM	SS	15,000	37.30	n/a	5-Feb	600.00	4.0
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>ZQK</b>	<b>S</b>	<b>500</b>	<b>4.29</b>	<b>n/a</b>	<b>12-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ZQK</b>	<b>S</b>	<b>2500</b>	<b>4.24</b>	<b>n/a</b>	<b>12-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>ZQK</b>	<b>S</b>	<b>1000</b>	<b>4.35</b>	<b>n/a</b>	<b>12-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>63,018.33</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	03/12	COLUMBUS CIRCLE	036	CHK	S	14,439	25.60	n/a	n/a	577.56	4.0
AO,CRT	03/12	GALT INVESTMENT	041	CPKI	S	10,000	16.95	n/a	19-Feb	400.00	4.0
AO,CXL	03/12	GALT INVESTMENT	041	CPKI	S	10,000	16.95	n/a	19-Feb	500.00	5.0
AO,CXL	03/12	LAGRANGE CAP ADV	048	F	SS	10,000	13.27	n/a	3-Mar	500.00	5.0
AO,CRT	03/12	LAGRANGE CAP ADV	048	F	SS	10,000	13.27	n/a	3-Mar	500.00	5.0
AO,	03/12	AELTUS/ING INVESTMENT MGT	215	MO	S	750,000	20.18	n/a	n/a	26250.00	3.5
AO,CXL	03/12	GALT INVESTMENT	041	SUMR	S	10,000	6.76	n/a	n/a	500.00	5.0
AO,CRT	03/12	GALT INVESTMENT	041	SUMR	S	10,000	6.76	n/a	n/a	300.00	3.0

**TOTAL (AO, CXL, CRT) :****26,527.56**

TOTAL (Trade Date):

63,018.33

TOTAL (AO, CXL, CRT):

26,527.56

**TOTAL (RUN DATE) / NFS:****89,545.89**

MRI Securities with Trade Activity on 15-Mar.  
NONE

MRI Securities without Trade Activity on 15-Mar.

GR

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

T-Date = 5%

YTD = 17%



**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)**