



Daily Compliance Activity Report

Trade Date: 08/31/2009

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	S	400	168.10	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	ADBE	S	600	31.30	n/a	n/a	24.00	4.0
WAGONHOUND/NIC	048	ADI	S	900	28.21	n/a	n/a	27.00	3.0
WAGONHOUND/NIC	048	ADS	S	700	55.52	n/a	n/a	21.00	3.0
BASIX	033	AEO	B	31,000	13.55	25-Jun	27-Aug	930.00	3.0
WAGONHOUND/NIC	048	AES	S	4,000	13.66	n/a	n/a	120.00	3.0
WAGONHOUND/NIC	048	AGO	B	2,971	19.33	n/a	n/a	89.13	3.0
WAGONHOUND/NIC	048	AGP	B	1,406	23.52	n/a	n/a	42.18	3.0
CASTLEROCK	040	AIG	SS	49,412	46.89	n/a	n/a	496.52	2.0
WAGONHOUND/NIC	048	ALV	S	900	31.90	10-Jun	22-Jul	27.00	3.0
WAGONHOUND/NIC	048	AMR	S	4,800	5.46	n/a	n/a	144.00	3.0
WAGONHOUND/NIC	048	AMSC	B	740	32.32	n/a	n/a	22.20	3.0
WAGONHOUND/NIC	048	ANEN	B	1,747	16.13	n/a	n/a	52.41	3.0
BUCK CAPITAL MGMT	001	ANF	S	180,000	32.51	3-Jun	27-Aug	7,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	ANW	B	1,469	20.80	n/a	n/a	44.07	3.0
WAGONHOUND/NIC	048	APP	B	3,318	3.73	n/a	n/a	99.54	3.0
WAGONHOUND/NIC	048	ARD	B	949	30.58	n/a	n/a	28.47	3.0
WAGONHOUND/NIC	048	ARG	S	900	46.45	6-Aug	24-Aug	27.00	3.0
WAGONHOUND/NIC	048	ASIA	B	3,096	17.17	n/a	n/a	92.88	3.0
WAGONHOUND/NIC	048	ATHN	B	449	40.11	n/a	n/a	13.47	3.0
WAGONHOUND/NIC	048	AVT	S	2,600	26.38	n/a	n/a	78.00	3.0
WAGONHOUND/NIC	048	AWH	B	607	46.15	n/a	n/a	18.21	3.0
LAGRANGE CAP ADV	048	AXL	B	10,000	6.20	19-Aug	19-Aug	500.00	5.0
SCHOTTENFELD ASSOC	041	AXL	S	30,000	6.34	19-Aug	19-Aug	900.00	3.0
WAGONHOUND/NIC	048	AXL	B	6,013	6.22	19-Aug	19-Aug	180.39	3.0
SIGMA CAPITAL ASSOCIATES	041	BBY	S	50,000	36.18	n/a	27-Jul	2,000.00	4.0
WAGONHOUND/NIC	048	BFB	S	750	44.69	n/a	n/a	22.50	3.0
WINSLOW CAPITAL	030	BIDU	S	100	329.25	n/a	n/a	4.00	4.0
M&I FUNDS	047	BIG	B	38,059	25.62	25-Aug	25-Aug	1,522.36	4.0
B BUCK CAPITAL MGMT		BONT	B	147,000	6.66	n/a	6-Feb	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	BRCD	B	4,284	7.25	n/a	n/a	128.52	3.0
WAGONHOUND/NIC	048	BRCM	S	1,200	28.34	n/a	n/a	36.00	3.0
WAGONHOUND/NIC	048	BUCY	S	1,300	29.86	n/a	27-Jul	39.00	3.0
SCOPUS FUND	041	BWA	SS	7,500	29.68	3-Aug	24-Aug	375.00	5.0
WAGONHOUND/NIC	048	CAM	S	900	35.48	n/a	n/a	27.00	3.0
WAGONHOUND/NIC	048	CEC	B	1,316	26.69	n/a	n/a	39.48	3.0
WAGONHOUND/NIC	048	CEDC	B	1,044	32.02	n/a	n/a	31.32	3.0
WAGONHOUND/NIC	048	CENX	B	876	10.30	n/a	n/a	26.28	3.0
WAGONHOUND/NIC	048	CE	S	800	25.48	n/a	n/a	24.00	3.0
WAGONHOUND/NIC	048	CHD	S	900	57.14	5-Aug	5-Aug	27.00	3.0
WINSLOW CAPITAL	030	CHRW	S	300	56.21	n/a	n/a	12.00	4.0
WAGONHOUND/NIC	048	CLS	B	4,505	8.52	n/a	n/a	135.15	3.0
BUCK CAPITAL MGMT	001	CMG	B	5,000	84.10	23-Jul	23-Jul	200.00	4.0
WAGONHOUND/NIC	048	CMI	S	1,500	45.11	7-Aug	7-Aug	45.00	3.0
WAGONHOUND/NIC	048	COH	S	2,600	28.32	n/a	29-Jul	78.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	CPWR	B	42,100	7.17	n/a	n/a	1,263.00	3.0
WAGONHOUND/NIC	048	CPWR	S	3,000	7.18	n/a	n/a	90.00	3.0
WINSLOW CAPITAL	030	CSCO	S	2,300	21.59	n/a	22-Mar	92.00	4.0
WAGONHOUND/NIC	048	CSX	S	900	42.36	n/a	n/a	27.00	3.0
WINSLOW CAPITAL	030	CTSH	S	1,800	34.80	n/a	n/a	72.00	4.0
WAGONHOUND/NIC	048	CUTR	B	3,600	8.78	n/a	n/a	108.00	3.0
WAGONHOUND/NIC	048	CXG	S	1,300	28.14	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	CXO	B	1,038	32.40	n/a	n/a	31.14	3.0
WAGONHOUND/NIC	048	CYBS	B	1,960	15.31	n/a	n/a	58.80	3.0
WAGONHOUND/NIC	048	CYOU	B	909	37.81	n/a	n/a	27.27	3.0
f DAVID GEORGE BUCK	FID	CYPB	B	1000	7.00	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	CY	B	2,700	10.13	n/a	n/a	81.00	3.0
f DAVID GEORGE BUCK	FID	C	B	2500	5.00	n/a	17-Aug	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	10,000	67.64	n/a	n/a	non-brg	1.0
WAGONHOUND/NIC	048	DECK	B	610	68.09	n/a	n/a	18.30	3.0
WAGONHOUND/NIC	048	DNB	S	900	73.01	n/a	n/a	27.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	DOV	S	1,600	34.52	n/a	n/a	48.00	3.0
WAGONHOUND/NIC	048	DRC	S	1,800	29.66	n/a	n/a	54.00	3.0
WAGONHOUND/NIC	048	DRQ	B	1,022	42.48	n/a	n/a	30.66	3.0
WAGONHOUND/NIC	048	DSX	B	1,478	13.00	n/a	n/a	44.34	3.0
STRAUSS ASSET MGMT	040	DUG	B	15,000	16.38	n/a	n/a	600.00	4.0
WAGONHOUND/NIC	048	DXCM	B	4,197	7.76	n/a	n/a	125.91	3.0
WAGONHOUND/NIC	048	ECLP	B	1,025	16.71	n/a	n/a	30.75	3.0
WAGONHOUND/NIC	048	ELY	B	7,804	7.10	n/a	n/a	234.12	3.0
STRAUSS ASSET MGMT	040	ENER	S	20,000	11.32	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	EQIX	S	400	84.30	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	ESRX	S	1,100	72.07	n/a	n/a	33.00	3.0
WAGONHOUND/NIC	048	ESV	S	300	36.88	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	EXPD	S	400	32.71	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	EXPE	S	2,600	22.94	n/a	n/a	78.00	3.0
WINSLOW CAPITAL	030	FAST	S	600	36.20	n/a	n/a	24.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	FDO	S	1,100	30.25	n/a	4-Aug	33.00	3.0
WAGONHOUND/NIC	048	FIRE	B	1,982	18.97	n/a	n/a	59.46	3.0
WAGONHOUND/NIC	048	FLR	S	1,600	52.68	n/a	n/a	48.00	3.0
WAGONHOUND/NIC	048	FMC	S	900	47.66	n/a	n/a	27.00	3.0
BTIG/KDI ADV	039	FOR	B	24,600	14.27	6-Aug	6-Aug	984.00	4.0
WAGONHOUND/NIC	048	FRX	S	1,900	29.22	25-Aug	25-Aug	57.00	3.0
WAGONHOUND/NIC	048	FSC	B	2,910	10.32	n/a	n/a	87.30	3.0
WAGONHOUND/NIC	048	FUQI	B	1,493	25.78	n/a	n/a	44.79	3.0
COOPER CREEK PART	028	F	B	31,000	7.56	27-Aug	31-Aug	930.00	3.0
SCOPUS FUND	041	F	S	65,000	7.57	27-Aug	31-Aug	3,250.00	5.0
WAGONHOUND/NIC	048	GEOY	B	1,511	25.40	n/a	n/a	45.33	3.0
WAGONHOUND/NIC	048	GET	B	1,743	20.35	n/a	n/a	52.29	3.0
WINSLOW CAPITAL	030	GILD	S	900	45.10	n/a	n/a	36.00	4.0
f ANDREW SINCLAIR	FID	GLWAW	B	30	0.65	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	GLWIC	B	5	0.65	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	GME	S	400	23.82	n/a	n/a	12.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	GNA	B	4,713	7.28	n/a	n/a	141.39	3.0
WINSLOW CAPITAL	030	GOOG	S	200	460.07	n/a	n/a	8.00	4.0
WAGONHOUND/NIC	048	GPC	S	1,300	37.00	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	GPS	S	2,800	19.64	n/a	30-Jan	84.00	3.0
WAGONHOUND/NIC	048	GTI	B	3,006	14.32	n/a	n/a	90.18	3.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	20.96	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	HD	S	30,000	27.24	10-Aug	19-Aug	1,500.00	5.0
KLEINHEINZ CAP PART	031	HLF	S	75,000	30.29	n/a	n/a	3,750.00	5.0
WAGONHOUND/NIC	048	HMSY	B	817	37.51	n/a	n/a	24.51	3.0
BUCK CAPITAL MGMT	001	HOG	B	50,000	23.78	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		HOG	C	50,000	23.69	n/a	n/a	non-brg	0.8
WAGONHOUND/NIC	048	HRBN	B	2,118	12.38	n/a	n/a	63.54	3.0
WAGONHOUND/NIC	048	HRB	S	900	17.25	n/a	n/a	27.00	3.0
WAGONHOUND/NIC	048	HRC	S	1,300	20.44	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	HRS	S	900	34.63	13-Aug	13-Aug	27.00	3.0
WAGONHOUND/NIC	048	HSC	B	1,531	31.11	29-Jul	29-Jul	45.93	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	HSP	S	1,300	39.23	n/a	22-Apr	39.00	3.0
WAGONHOUND/NIC	048	HSTX	S	223	6.04	n/a	n/a	6.69	3.0
WAGONHOUND/NIC	048	HUBB	S	900	38.45	n/a	n/a	27.00	3.0
LONG OAR GLOBAL INV	041	HUN	B	80,000	8.54	n/a	n/a	2,400.00	3.0
WAGONHOUND/NIC	048	IBM	B	200	117.52	n/a	n/a	6.00	3.0
WAGONHOUND/NIC	048	IBM	S	200	117.53	n/a	n/a	6.00	3.0
WAGONHOUND/NIC	048	ICFI	B	1,537	27.28	n/a	n/a	46.11	3.0
WAGONHOUND/NIC	048	ILMN	S	1,000	35.20	n/a	n/a	30.00	3.0
WINSLOW CAPITAL	030	ILMN	S	400	35.25	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	IMA	B	1,513	35.53	n/a	n/a	45.39	3.0
WAGONHOUND/NIC	048	IMGN	B	4,873	7.20	n/a	n/a	146.19	3.0
WAGONHOUND/NIC	048	INCY	B	5,155	6.57	n/a	n/a	154.65	3.0
WAGONHOUND/NIC	048	INFA	B	1,971	17.86	n/a	n/a	59.13	3.0
WAGONHOUND/NIC	048	IOC	B	1,040	30.34	n/a	n/a	31.20	3.0
WAGONHOUND/NIC	048	IPCM	B	1,174	29.34	n/a	n/a	35.22	3.0
WAGONHOUND/NIC	048	IPG	S	3,700	6.26	n/a	n/a	111.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	IPI	B	1,305	23.59	n/a	n/a	39.15	3.0
JP MORGAN VENTURES	046	IWM	SS	17,500	57.07	n/a	n/a	875.00	5.0
f JOSEPH CIRO AMATURO	FID	JNK	B	3000	36.53	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	JNPR	S	1,500	23.05	n/a	22-Mar	45.00	3.0
WINSLOW CAPITAL	030	JNPR	S	800	23.09	n/a	22-Mar	32.00	4.0
B BUCK CAPITAL MGMT		JNS	B	80,193	12.64	16-Jul	19-Aug	non-brg	4.0
f DAVID GEORGE BUCK	FID	JPM	B	1500	43.34	7-Aug	17-Aug	0.00	0.0
WAGONHOUND/NIC	048	JRCC	B	1,334	16.59	n/a	n/a	40.02	3.0
SCOPUS FUND	041	JWN	B	10,000	28.24	n/a	27-Aug	500.00	5.0
WAGONHOUND/NIC	048	KBH	B	2,591	18.11	n/a	n/a	77.73	3.0
WAGONHOUND/NIC	048	KMT	S	1,400	22.04	30-Jul	30-Jul	42.00	3.0
SCOGGIN CAP	039	KNX	B	24,400	16.25	n/a	n/a	732.00	3.0
JP MORGAN VENTURES	046	KR	B	10,000	21.66	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	LAZ	B	1,682	38.86	n/a	30-Jul	50.46	3.0
f JOHN BARTMAN COLE	FID	LEHMQ	S	200	0.20	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	LLL	S	750	74.22	n/a	n/a	22.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	LMIA	B	3,184	9.12	n/a	n/a	95.52	3.0
B BUCK CAPITAL MGMT		LM	S	10,700	28.52	3-Aug	19-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		LM	S	24,425	28.65	3-Aug	19-Aug	non-brg	0.8
UBS OCONNOR	031	LM	SS	75,000	28.38	3-Aug	19-Aug	2,250.00	3.0
WAGONHOUND/NIC	048	LTD	S	3,700	14.88	n/a	30-Jan	111.00	3.0
WAGONHOUND/NIC	048	LULU	B	1,800	19.95	n/a	n/a	54.00	3.0
WAGONHOUND/NIC	048	LZ	S	1,100	63.88	n/a	n/a	33.00	3.0
WAGONHOUND/NIC	048	MAKO	B	4,686	8.47	n/a	n/a	140.58	3.0
WAGONHOUND/NIC	048	MANT	B	394	52.66	n/a	n/a	11.82	3.0
SCOPUS FUND	041	MCD	S	5,000	55.77	n/a	10-Aug	250.00	5.0
WAGONHOUND/NIC	048	MDAS	B	1,744	22.37	n/a	n/a	52.32	3.0
WAGONHOUND/NIC	048	MDCA	B	5,538	6.05	n/a	n/a	166.14	3.0
WAGONHOUND/NIC	048	MDRX	B	1,099	14.82	n/a	n/a	32.97	3.0
WAGONHOUND/NIC	048	MELI	B	941	31.20	n/a	n/a	28.23	3.0
WAGONHOUND/NIC	048	MHLD	B	4,282	7.53	n/a	n/a	128.46	3.0
f DAVID GEORGE BUCK	FID	MHS	B	500	55.22	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	MRTN	B	2,408	16.95	n/a	n/a	72.24	3.0
WINSLOW CAPITAL	030	MRVL	S	1,100	15.19	n/a	n/a	44.00	4.0
WINSLOW CAPITAL	030	MSFT	S	1,200	24.58	n/a	3-Apr	48.00	4.0
WAGONHOUND/NIC	048	MTD	S	500	87.34	n/a	n/a	15.00	3.0
WAGONHOUND/NIC	048	MYGN	S	1,600	30.44	n/a	n/a	48.00	3.0
WAGONHOUND/NIC	048	MYRX	S	400	4.52	n/a	n/a	12.00	3.0
WAGONHOUND/NIC	048	NAV	S	1,500	43.01	n/a	n/a	45.00	3.0
WAGONHOUND/NIC	048	NBL	S	1,300	60.16	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	NCR	S	1,900	13.35	n/a	n/a	57.00	3.0
WAGONHOUND/NIC	048	NDSN	B	784	53.56	n/a	n/a	23.52	3.0
WAGONHOUND/NIC	048	NETL	B	1,476	43.91	n/a	n/a	44.28	3.0
WAGONHOUND/NIC	048	NKTR	B	5,968	8.26	n/a	n/a	179.04	3.0
WAGONHOUND/NIC	048	NLY	S	1,400	17.32	n/a	n/a	42.00	3.0
WAGONHOUND/NIC	048	NOV	S	1,500	36.26	n/a	n/a	45.00	3.0
WAGONHOUND/NIC	048	NUVA	B	664	40.02	n/a	n/a	19.92	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	NYB	S	1,500	10.72	n/a	26-Aug	165.00	11.0
WAGONHOUND/NIC	048	OI	S	800	33.79	n/a	n/a	24.00	3.0
WAGONHOUND/NIC	048	OMPI	B	2,372	9.51	n/a	n/a	71.16	3.0
WAGONHOUND/NIC	048	ONNN	B	5,273	8.07	n/a	n/a	158.19	3.0
WINSLOW CAPITAL	030	ORCL	S	1,700	21.87	n/a	n/a	68.00	4.0
WINSLOW CAPITAL	030	ORLY	S	400	38.28	n/a	n/a	16.00	4.0
WAGONHOUND/NIC	048	ORN	B	1,482	20.35	n/a	n/a	44.46	3.0
WINSLOW CAPITAL	030	PCLN	S	300	153.76	n/a	n/a	12.00	4.0
WAGONHOUND/NIC	048	PCX	S	400	8.79	n/a	n/a	12.00	3.0
WAGONHOUND/NIC	048	PFCB	B	999	32.13	22-Jul	22-Jul	29.97	3.0
WAGONHOUND/NIC	048	PGN	S	1,300	39.42	n/a	n/a	39.00	3.0
WAGONHOUND/NIC	048	PHM	S	5,502	12.72	n/a	n/a	165.06	3.0
WAGONHOUND/NIC	048	PH	S	350	48.34	n/a	31-Jul	10.50	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	26,000	20.40	21-Jul	21-Jul	1,300.00	5.0
GOLD SACHS SPECIAL SIT	030	PLCE	B	120,000	30.34	n/a	27-Aug	6,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	PLCE	B	12,000	30.34	n/a	27-Aug	600.00	5.0
WAGONHOUND/NIC	048	PLD	S	500	11.00	n/a	n/a	15.00	3.0
WAGONHOUND/NIC	048	PNRA	S	500	52.21	30-Jul	30-Jul	15.00	3.0
WAGONHOUND/NIC	048	PNR	B	837	28.27	n/a	n/a	25.11	3.0
WAGONHOUND/NIC	048	PPDI	S	500	20.05	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	QCOM	S	1,600	46.33	n/a	n/a	64.00	4.0
WAGONHOUND/NIC	048	REGN	B	641	22.52	n/a	n/a	19.23	3.0
WINSLOW CAPITAL	030	RIMM	S	300	73.04	n/a	n/a	12.00	4.0
WAGONHOUND/NIC	048	RL	S	800	66.22	6-Aug	6-Aug	24.00	3.0
WAGONHOUND/NIC	048	ROL	S	3,800	17.77	n/a	n/a	114.00	3.0
WAGONHOUND/NIC	048	ROST	S	1,700	46.53	n/a	n/a	51.00	3.0
WAGONHOUND/NIC	048	RSTI	B	1,638	22.70	n/a	n/a	49.14	3.0
WAGONHOUND/NIC	048	RS	S	1,100	36.86	n/a	n/a	33.00	3.0
WAGONHOUND/NIC	048	RTI	B	1,316	19.06	n/a	n/a	39.48	3.0
WAGONHOUND/NIC	048	RVBD	B	1,432	19.30	n/a	n/a	42.96	3.0
WAGONHOUND/NIC	048	RVSN	B	4,180	9.16	n/a	n/a	125.40	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	SBUX	S	2,800	18.93	n/a	21-Jul	84.00	3.0
WAGONHOUND/NIC	048	SCG	S	1,700	34.69	n/a	n/a	51.00	3.0
WINSLOW CAPITAL	030	SCHW	S	2,400	18.05	n/a	n/a	96.00	4.0
WAGONHOUND/NIC	048	SEPR	S	2,000	18.12	n/a	n/a	60.00	3.0
WAGONHOUND/NIC	048	SFSF	B	4,855	11.86	n/a	n/a	145.65	3.0
WAGONHOUND/NIC	048	SGEN	B	5,350	12.15	n/a	n/a	160.50	3.0
f DAVID GEORGE BUCK	FID	SGP	S	2000	28.22	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SGP	S	300	28.22	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	SGP	S	250	28.22	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	SHAW	S	2,600	29.23	n/a	n/a	78.00	3.0
WAGONHOUND/NIC	048	SHFL	B	4,927	7.52	n/a	n/a	147.81	3.0
WAGONHOUND/NIC	048	SHOO	B	1,362	32.07	n/a	n/a	40.86	3.0
WAGONHOUND/NIC	048	SIAL	S	1,100	50.69	2-Jun	23-Jul	33.00	3.0
WAGONHOUND/NIC	048	SIRO	B	1,461	26.25	n/a	n/a	43.83	3.0
SCOPUS FUND	041	SKS	SS	50,000	6.11	n/a	n/a	2,500.00	5.0
WAGONHOUND/NIC	048	SKX	B	1,712	17.53	n/a	13-Mar	51.36	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	SLAB	B	1,191	45.04	n/a	n/a	35.73	3.0
WAGONHOUND/NIC	048	SNA	S	1,100	37.22	n/a	n/a	33.00	3.0
JP MORGAN VENTURES	046	SNV	S	50,000	3.64	n/a	n/a	1,500.00	3.0
KENNEDY CAPITAL	046	SOA	S	50,000	12.01	n/a	n/a	2,000.00	4.0
f JASON ERIC COHEN	FID	SPF	B	460	3.74	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	SPN	S	1,400	18.10	n/a	n/a	42.00	3.0
f MARC PAUL LUCHANSKY	FID	SPY	S	1000	101.96	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	STAR	B	1,741	20.27	n/a	n/a	52.23	3.0
WAGONHOUND/NIC	048	STJ	S	1,600	38.43	n/a	n/a	48.00	3.0
f ANDREW SINCLAIR	FID	SWGIE	B	100	0.16	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	SWI	B	938	18.59	n/a	n/a	28.14	3.0
WAGONHOUND/NIC	048	SWKS	B	2,978	11.65	n/a	n/a	89.34	3.0
WAGONHOUND/NIC	048	SYNO	B	3,333	15.61	n/a	n/a	99.99	3.0
WAGONHOUND/NIC	048	SY Y	S	2,000	25.41	n/a	24-Apr	60.00	3.0
WAGONHOUND/NIC	048	SY	B	1,016	34.68	n/a	n/a	30.48	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANDREW SINCLAIR	FID	SZCUJ	S	300	0.12	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	TEVA	S	1,000	51.53	29-Jul	25-Aug	40.00	4.0
WAGONHOUND/NIC	048	TFX	S	800	45.34	n/a	n/a	24.00	3.0
WAGONHOUND/NIC	048	TGH	B	4,311	14.31	n/a	n/a	129.33	3.0
SCOPUS FUND	041	TIN	B	28,600	16.85	14-Aug	14-Aug	1,430.00	5.0
JP MORGAN VENTURES	046	TJX	SS	15,000	36.24	28-Jul	27-Aug	750.00	5.0
WAGONHOUND/NIC	048	TKR	B	1,725	21.07	n/a	n/a	51.75	3.0
WAGONHOUND/NIC	048	TMK	S	700	42.38	n/a	n/a	21.00	3.0
WAGONHOUND/NIC	048	TNDM	B	1,432	25.07	n/a	n/a	42.96	3.0
WAGONHOUND/NIC	048	TOL	S	1,700	22.66	n/a	n/a	51.00	3.0
WAGONHOUND/NIC	048	TRAD	B	3,665	7.16	n/a	n/a	109.95	3.0
BMO NESBITT BURNS	041	UFS	SS	25,000	35.15	n/a	n/a	1,250.00	5.0
f ANDREW SINCLAIR	FID	UNEAP	B	20	0.44	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	UNT	S	1,100	37.26	n/a	28-Aug	33.00	3.0
WAGONHOUND/NIC	048	VAR	S	600	42.59	n/a	n/a	18.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	VMED	B	3,094	11.45	n/a	n/a	92.82	3.0
CAVU CAP ADV	028	VMW	S	15,000	35.21	n/a	n/a	750.00	5.0
WAGONHOUND/NIC	048	VRTX	S	800	37.24	n/a	n/a	24.00	3.0
WAGONHOUND/NIC	048	WAB	B	865	37.61	n/a	n/a	25.95	3.0
WAGONHOUND/NIC	048	WAC	S	271	14.49	n/a	n/a	8.13	3.0
WAGONHOUND/NIC	048	WAL	B	5,822	7.29	n/a	n/a	174.66	3.0
WAGONHOUND/NIC	048	WATG	B	3,975	8.94	n/a	n/a	119.25	3.0
WAGONHOUND/NIC	048	WFR	S	600	15.99	n/a	n/a	18.00	3.0
WAGONHOUND/NIC	048	WGOV	B	1,410	20.90	n/a	n/a	42.30	3.0
WAGONHOUND/NIC	048	WLL	B	729	48.43	n/a	n/a	21.87	3.0
WAGONHOUND/NIC	048	WLT	S	700	52.09	n/a	n/a	21.00	3.0
WAGONHOUND/NIC	048	WMS	B	746	42.25	n/a	n/a	22.38	3.0
WAGONHOUND/NIC	048	WM	S	500	29.74	n/a	n/a	15.00	3.0
WAGONHOUND/NIC	048	WPI	S	2,100	35.19	n/a	25-Aug	63.00	3.0
WAGONHOUND/NIC	048	WPRT	B	3,668	10.22	n/a	n/a	110.04	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	WRB	S	1,392	25.55	n/a	n/a	41.76	3.0
WAGONHOUND/NIC	048	WRC	B	1,149	38.08	28-Jul	12-Aug	34.47	3.0
WAGONHOUND/NIC	048	WTI	S	1,100	9.89	n/a	n/a	33.00	3.0
WAGONHOUND/NIC	048	XLNX	S	1,500	22.15	n/a	n/a	45.00	3.0
WAGONHOUND/NIC	048	ZBRA	B	1,375	25.06	n/a	n/a	41.25	3.0
TOTAL (Trade Date):								67,079.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/28	BTIG/KDI ADV	039	FOR	B	2,789	14.10	6-Aug	6-Aug	111.56 4.0
AO,CXL	08/28	BTIG/KDI ADV	039	FOR	B	2,789	14.10	6-Aug	6-Aug	139.45 5.0
AO,	08/28	LOOMIS SALES/BOSTON	036	JBT	S	9,748	17.36	n/a	n/a	389.92 4.0
AO,CRT	08/26	SENATOR INVESTMENT GROUP	036	SLT	B	11,250	13.87	n/a	n/a	450.00 4.0
AO,CXL	08/26	SENATOR INVESTMENT GROUP	036	SLT	B	11,250	13.87	n/a	n/a	337.50 3.0
AO,CRT	08/25	EMERSON CAPITAL MGMT	048	SPLS	B	8,000	21.80	n/a	27-Jul	240.00 3.0
AO,CXL	08/25	EMERSON CAPITAL MGMT	048	SPLS	B	8,000	21.80	n/a	27-Jul	320.00 4.0
AO,CXL	08/28	CUMBERLAND	038	SPY	SS	30,000	103.45	n/a	n/a	1200.00 4.0
AO,CRT	08/28	CUMBERLAND	038	SPY	SS	30,000	103.45	n/a	n/a	900.00 3.0
TOTAL (AO, CXL, CRT) :										94.53

TOTAL (Trade Date) :	67,079.02
TOTAL (AO, CXL, CRT) :	94.53

TOTAL (RUN DATE) / NFS:	67,173.55
--------------------------------	------------------

MRI Securities with Trade Activity on 31-Aug. NONE

MRI Securities without Trade Activity on 31-Aug.

AVY, WCRX

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

T-Date = 56%

YTD = 21%

<u>Legend:</u>
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)