



# Daily Compliance Activity Report

Trade Date: 01/22/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>1023 HK</b>	<b>S</b>	<b>211,000</b>	<b>0.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.1</b>
CASTLE ARK	031	AAPL	S	100	503.74	n/a	n/a	5.00	0.0
BAIRD INVESTMENT	047	ADS	B	400	156.09	n/a	n/a	20.00	5.0
CASTLE ARK	031	AGN	S	140	105.78	n/a	22-Jan	7.00	0.0
BAIRD INVESTMENT	047	ALTR	B	1,100	35.51	n/a	n/a	55.00	5.0
BAIRD INVESTMENT	047	AMG	B	400	142.59	n/a	2-Mar	20.00	5.0
PATTEN & PATTEN	025	AMLPL	B	2,000	17.04	n/a	n/a	100.00	5.0
ALLIANZ/NICOLAS APPELEGATE		084 AMZN	B	19,700	270.43		n/a	n/a	394.00 0.0
CASTLE ARK	031	AMZN	S	110	269.67	n/a	n/a	5.50	0.0
BAIRD INVESTMENT	047	ANSS	B	700	72.51	n/a	n/a	35.00	5.0
CASTLE ARK	031	ANSS	S	330	72.53	n/a	n/a	16.50	0.0
CASTLE ARK	031	APC	S	380	79.35	n/a	17-Jan	19.00	0.0
BAIRD INVESTMENT	047	ARG	B	600	93.83	n/a	18-Jan	30.00	5.0
HIGHBRIDGE CAP	041	ATI	SS	8,000	29.81	n/a	18-Jan	240.00	3.0
BAIRD INVESTMENT	047	ATR	B	800	51.96	n/a	n/a	40.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ATU	B	1,500	29.49	n/a	n/a	75.00	5.0
GEORGE WEISS	278	AXL	S	20,000	11.39	n/a	22-Jan	800.00	0.0
CASTLE ARK	031	AXP	S	430	59.35	n/a	18-Jan	21.50	0.0
BAIRD INVESTMENT	047	AYI	B	600	68.00	n/a	n/a	30.00	5.0
<b>f AMY O'BANNON</b>	<b>FID</b>	<b>BACPRD</b>	<b>B</b>	<b>476</b>	<b>25.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BA</b>	<b>B</b>	<b>7,000</b>	<b>73.97</b>	<b>n/a</b>	<b>16-Jan</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>S</b>	<b>105,446</b>	<b>8.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>S</b>	<b>50,000</b>	<b>8.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
PATRIOT STRATEGY PARTNERS	036	BONT	B	10,000	13.99	n/a	15-Jan	400.00	4.0
BTG PACTUAL	040	BRCD	B	25,000	5.71	22-Jan[i]	22-Jan	750.00	3.0
STRONG/MARK GRONET	030	BRCD	B	200,000	5.71	22-Jan[i]	22-Jan	6,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BRE	B	100	51.27		n/a n/a	4.00	4.0
CASTLE ARK	031	BWA	S	370	75.46	n/a	11-Jan	18.50	0.0
BAIRD INVESTMENT	047	BWLD	B	500	76.99	n/a	n/a	25.00	5.0
PARKWEST	084	CAP	S	2,700	24.50	n/a	n/a	108.00	4.0
PARKWEST	084	CBI	S	40,000	49.53	n/a	n/a	1,600.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	GUGGENHEIM GLOBAL TRADING	(GGT)251	CBS	B	2,444	41.43		n/a	n/a	97.76	4.0
f	MANNY I KORMAN	FID	CBT	B	2000	42.81	n/a	18-Jan	0.00	0.0	
	BAIRD INVESTMENT	047	CERN	B	500	81.24	n/a	n/a	25.00	5.0	
	BAIRD INVESTMENT	047	CHD	B	1,200	56.57	n/a	5-Dec	60.00	5.0	
	BAIRD INVESTMENT	047	CLB	B	400	114.49	n/a	8-Jan	20.00	5.0	
	CASTLE ARK	031	CMG	C	55	293.48	n/a	17-Jan	2.75	0.0	
	BAIRD INVESTMENT	047	COG	B	700	51.65	n/a	17-Jan	35.00	5.0	
B	BUCK CAPITAL MGMT		COH	SS	20,000	60.18	n/a	18-Jan	non-brg	4.0	
	CASTLE ARK	031	COH	S	190	60.46	n/a	18-Jan	9.50	0.0	
	S.A.C. CAPITAL	044	COH	B	15,000	60.10	n/a	18-Jan	525.00	3.5	
	CASTLE ARK	031	CRM	S	300	166.45	n/a	n/a	15.00	0.0	
	LATEEF MGMT	033	CTB	S	500	26.18	n/a	n/a	50.00	10.0	
	BAIRD INVESTMENT	047	CTRX	B	1,100	52.26	n/a	n/a	55.00	5.0	
	BAIRD INVESTMENT	047	CTXS	B	700	67.26	n/a	n/a	35.00	5.0	
	LATEEF MGMT	033	CVS	S	200	52.29	n/a	n/a	40.00	20.0	
	GUGGENHEIM GLOBAL TRADING	(GGT)251	CXS	B	56,509	12.48		n/a	n/a	1,695.27	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	C	S	270	41.73	n/a	18-Jan	13.50	0.0
LATEEF MGMT	033	DAL	S	750	14.00	n/a	14-Jan	75.00	10.0
SENATOR INVESTMENT GROUP	036	DAL	S	200,000	14.10	n/a	14-Jan	6,000.00	3.0
CASTLE ARK	031	DE	C	310	92.47	n/a	11-Jul	15.50	0.0
BAIRD INVESTMENT	047	DG	B	1,300	44.71	n/a	12-Dec	65.00	5.0
BAIRD INVESTMENT	047	DKS	B	1,200	47.91	n/a	10-Jan	60.00	5.0
CASTLE ARK	031	DKS	S	690	48.09	n/a	10-Jan	34.50	0.0
BAIRD INVESTMENT	047	DLR	B	900	71.51	n/a	n/a	45.00	5.0
CASTLE ARK	031	EMR	C	480	56.73	n/a	n/a	24.00	0.0
LATEEF MGMT	033	ENR	S	125	87.70	n/a	13-Dec	31.25	25.0
CASTLE ARK	031	EOG	S	295	126.20	n/a	n/a	14.75	0.0
PATTEN & PATTEN	025	EPP	B	1,000	48.38	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	EWBC	B	1,800	23.00	n/a	n/a	90.00	5.0
PATTEN & PATTEN	025	EWG	S	2,500	25.00	n/a	n/a	125.00	5.0
CASTLE ARK	031	EW	S	40	91.95	n/a	n/a	2.00	0.0
PATTEN & PATTEN	025	EZU	B	2,000	34.37	n/a	n/a	100.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	FAST	B	1,000	48.21	n/a	n/a	50.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>FAS</b>	<b>B</b>	<b>3000</b>	<b>139.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	FFIV	B	200	95.16	n/a	11-Jan	10.00	5.0
BAIRD INVESTMENT	047	FIRE	B	900	43.59	n/a	n/a	45.00	5.0
BAIRD INVESTMENT	047	FLR	B	700	63.21	n/a	n/a	35.00	5.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>41014</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>10000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J. GOLDMAN	028	GCO	SS	40,000	61.35	n/a	n/a	1,600.00	4.0
NOKOMIS PARTNERS	031	GDI	B	28,050	69.79	n/a	n/a	841.50	3.0
BAIRD INVESTMENT	047	GHL	B	700	58.43	n/a	n/a	35.00	5.0
CASTLE ARK	031	GILD	S	220	77.73	n/a	n/a	11.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	12.01	n/a	18-Jan	1,000.00	5.0
OZ MGMT	040	GM	S	100,000	28.83	n/a	22-Jan	3,000.00	0.0
CASTLE ARK	031	GWR	S	100	84.44	n/a	n/a	5.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	HBI	SS	20,000	37.87	n/a	30-Nov	600.00	3.0
CASTLE ARK	031	HD	S	480	65.72	n/a	n/a	24.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	HMSY	B	1,300	28.27	n/a	n/a	65.00	5.0
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>HOV</b>	<b>S</b>	<b>500</b>	<b>6.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARSENAL ASSET MANAGEMENT	028	HUBB	S	5,000	86.58	n/a	n/a	200.00	0.0
BAIRD INVESTMENT	047	ICLR	B	1,700	28.65	n/a	n/a	85.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>SS</b>	<b>30,000</b>	<b>23.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BAIRD INVESTMENT	047	IHG	B	1,400	28.91	n/a	n/a	70.00	5.0
PATTEN & PATTEN	025	IJR	B	400	82.54	n/a	n/a	20.00	5.0
BAIRD INVESTMENT	047	ILMN	B	1,100	50.95	n/a	n/a	55.00	5.0
LATEEF MGMT	033	IP	S	300	41.92	n/a	17-Jan	45.00	15.0
CASTLE ARK	031	ISRG	S	40	516.57	n/a	n/a	2.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>ITX SM</b>	<b>B</b>	<b>30,000</b>	<b>142.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>21.4</b>
BAIRD INVESTMENT	047	IVZ	B	1,300	27.65	n/a	2-Mar	65.00	5.0
PATTEN & PATTEN	025	IYF	B	1,000	64.14	n/a	n/a	50.00	5.0
BAIRD INVESTMENT	047	JBHT	B	900	63.67	n/a	n/a	45.00	5.0
CASTLE ARK	031	JBHT	S	540	63.64	n/a	n/a	27.00	0.0
BTG PACTUAL	040	JBLU	B	15,000	6.19	n/a	16-Jan	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>C</b>	<b>22,100</b>	<b>44.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BAIRD INVESTMENT	047	JOY	B	600	67.27	n/a	11-Jul	30.00	5.0
FIRST NY SEC/CHRIS	041	JWN	S	10,000	55.18	n/a	4-Jan	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>S</b>	<b>20,000</b>	<b>54.69</b>	<b>n/a</b>	<b>17-Jan</b>	<b>non-brg</b>	<b>4.0</b>
CASTLE ARK	031	KORS	C	470	54.88	n/a	17-Jan	23.50	0.0
PATTEN & PATTEN	025	KRE	S	1,800	29.82	n/a	n/a	90.00	5.0
CASTLE ARK	031	KSU	S	280	91.55	n/a	n/a	14.00	0.0
LATEEF MGMT	033	K	S	150	57.99	n/a	n/a	37.50	25.0
CORVEX CAPITAL	041	LEA	B	50,000	47.62	n/a	22-Jan	1,500.00	0.0
CASTLE ARK	031	LECO	S	290	51.96	n/a	n/a	14.50	0.0
BAIRD INVESTMENT	047	LKQ	B	1,200	22.41	n/a	n/a	60.00	5.0
CASTLE ARK	031	LNKD	S	210	119.07	n/a	n/a	10.50	0.0
EPOCH INV MGMT	030	LVS	B	50,000	52.77	n/a	13-Jun	1,500.00	0.0
HIGHBRIDGE CAP	041	LYB	S	4,500	61.88	n/a	n/a	135.00	3.0
BAIRD INVESTMENT	047	MAN	B	1,000	47.13	n/a	n/a	50.00	5.0
CASTLE ARK	031	MA	S	50	519.27	n/a	17-Jan	2.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MCD</b>	<b>C</b>	<b>17,100</b>	<b>93.00</b>	<b>n/a</b>	<b>22-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MCD</b>	<b>C</b>	<b>70,000</b>	<b>92.98</b>	<b>n/a</b>	<b>22-Jan</b>	<b>non-brg</b>	<b>4.0</b>
BAIRD INVESTMENT	047	MCHP	B	800	33.35	n/a	n/a	40.00	5.0
BAIRD INVESTMENT	047	MKC	B	1,000	66.45	n/a	n/a	50.00	5.0
CASTLE ARK	031	MON	S	260	102.38	n/a	18-Jan	13.00	0.0
LOMAS CAPITAL	040	MWV	B	80,000	32.47	n/a	24-Oct	2,400.00	3.0
GEORGE WEISS	278	M	B	25,000	38.15	n/a	14-Jan	1,000.00	0.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>NMM</b>	<b>S</b>	<b>3000</b>	<b>14.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	NOK	B	100,000	4.55	n/a	n/a	3,500.00	3.5
CASTLE ARK	031	NTAP	C	710	34.76	n/a	18-Dec	35.50	0.0
LATEEF MGMT	033	NUE	S	225	47.91	n/a	n/a	45.00	20.0
BAIRD INVESTMENT	047	OII	B	1,000	60.27	n/a	n/a	50.00	5.0
CASTLE ARK	031	ORCL	S	1,220	34.83	n/a	n/a	61.00	0.0
BAIRD INVESTMENT	047	ORLY	B	700	88.57	n/a	n/a	35.00	5.0
CASTLE ARK	031	PANW	S	40	55.15	n/a	n/a	2.00	0.0
CASTLE ARK	031	PCAR	S	690	46.40	n/a	n/a	34.50	0.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	PH	B	30	93.23	n/a	n/a	1.50	0.0
BAIRD INVESTMENT	047	PII	B	300	90.00	n/a	n/a	15.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	40,000	38.58	n/a	22-Jan	2,000.00	5.0
BAIRD INVESTMENT	047	PLT	B	700	37.74	n/a	n/a	35.00	5.0
BAIRD INVESTMENT	047	PLXS	B	1,200	26.07	n/a	n/a	60.00	5.0
SIGMA CAPITAL ASSOCIATES	041	PNRA	B	15,000	164.08	n/a	3-Jan	525.00	3.5
BAIRD INVESTMENT	047	PRGO	B	500	103.99	n/a	22-Jan	25.00	5.0
BAIRD INVESTMENT	047	PVH	B	500	118.71	n/a	17-Jan	25.00	5.0
CASTLE ARK	031	QCOM	S	640	64.51	n/a	n/a	32.00	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	10,000	74.00	n/a	17-Jan	500.00	5.0
CASTLE ARK	031	RL	S	100	165.07	n/a	5-Nov	5.00	0.0
BAIRD INVESTMENT	047	ROK	B	600	87.52	n/a	n/a	30.00	5.0
BAIRD INVESTMENT	047	ROP	B	400	116.61	n/a	n/a	20.00	5.0
CASTLE ARK	031	RRC	S	320	68.45	n/a	17-Jan	16.00	0.0
BAIRD INVESTMENT	047	RVBD	B	1,200	18.71	n/a	n/a	60.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	RYN	S	15,000	55.14	n/a	31-Oct	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>S</b>	<b>50,000</b>	<b>27.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COLUMBUS CIRCLE	036	SHOO	B	4,300	46.48	n/a	n/a	172.00	0.0
CASTLE ARK	031	SHW	S	190	163.54	n/a	18-Jan	9.50	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>10,000</b>	<b>18.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SO</b>	<b>S</b>	<b>1200</b>	<b>43.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	SPF	B	50,000	7.85	n/a	n/a	2,000.00	0.0
BAIRD INVESTMENT	047	SRCL	B	500	94.60	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>STT</b>	<b>S</b>	<b>18,000</b>	<b>55.04</b>	<b>n/a</b>	<b>18-Jan</b>	<b>non-brg</b>	<b>4.0</b>
FINDLAY PARK PART	085	STT	B	146,000	55.17	n/a	18-Jan	19,410.57	0.0
IRIDIAN ASSET MGMT.	036	STX	S	49,560	36.76	n/a	n/a	2,478.00	0.0
NOMURA INTERNATIONAL PLC	085	STZ	S	9,829	38.00	n/a	16-Jan	373.51	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>S</b>	<b>42,500</b>	<b>10.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BAIRD INVESTMENT	047	SWKS	B	1,600	21.03	n/a	n/a	80.00	5.0
CASTLE ARK	031	SWN	S	1,200	34.65	n/a	17-Jan	60.00	0.0
LATEEF MGMT	033	SWY	S	400	18.56	n/a	n/a	40.00	10.0

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CASTLE ARK	031	SYK	C	420	61.60	n/a	n/a	21.00	0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>100</b>	<b>65.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	TDC	B	800	65.19	n/a	n/a	40.00	5.0
CASTLE ARK	031	TDC	S	740	65.50	n/a	n/a	37.00	0.0
CASTLE ARK	031	TDG	S	40	136.82	n/a	n/a	2.00	0.0
CASTLE ARK	031	TGT	S	120	61.44	n/a	3-Jan	6.00	0.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	61.55	n/a	3-Jan	875.00	3.5
CASTLE ARK	031	TIBX	S	440	21.82	n/a	n/a	22.00	0.0
BAIRD INVESTMENT	047	TIF	B	600	62.72	n/a	n/a	30.00	5.0
CASTLE ARK	031	TJX	S	980	44.65	n/a	4-Jan	49.00	0.0
CASTLE ARK	031	TPX	C	770	35.20	n/a	n/a	38.50	0.0
BAIRD INVESTMENT	047	TRMB	B	800	62.01	n/a	n/a	40.00	5.0
BAIRD INVESTMENT	047	TSCO	B	500	93.82	n/a	n/a	25.00	5.0
LATEEF MGMT	033	TSN	S	400	21.96	n/a	n/a	40.00	10.0
CASTLE ARK	031	TXN	C	830	33.35	n/a	n/a	41.50	0.0
BAIRD INVESTMENT	047	UA	B	800	47.06	n/a	26-Oct	40.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	ULTA	B	500	95.64	n/a	n/a	25.00	5.0
CASTLE ARK	031	UNH	S	630	55.97	n/a	n/a	31.50	0.0
BAIRD INVESTMENT	047	URBN	B	1,400	42.78	n/a	n/a	70.00	5.0
CASTLE ARK	031	VMW	C	250	92.56	n/a	n/a	12.50	0.0
CASTLE ARK	031	WAB	S	320	91.38	n/a	n/a	16.00	0.0
BAIRD INVESTMENT	047	WBC	B	700	65.25	n/a	8-Nov	35.00	5.0
CASTLE ARK	031	WFM	S	440	92.24	n/a	n/a	22.00	0.0
BAIRD INVESTMENT	047	WLL	B	800	47.87	n/a	n/a	40.00	5.0
CASTLE ARK	031	WMT	C	310	69.60	n/a	15-Nov	15.50	0.0
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>600</b>	<b>9.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	WSO	B	500	75.54	n/a	n/a	25.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>XIDE</b>	<b>B</b>	<b>25000</b>	<b>3.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	XLV	B	500	42.21	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLV</b>	<b>C</b>	<b>150,000</b>	<b>49.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
GEORGE WEISS	278	YUM	SS	15,000	65.14	n/a	14-Jan	600.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ZBRA	B	800	41.67	n/a	n/a	40.00	5.0
<b>TOTAL (Trade Date):</b>								<b>70,911.36</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									70,911.36
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									70,911.36
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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 22-Jan.

BRCD

MRI Securities without Trade Activity on 22-Jan.

DPZ, IPXL, MS

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

T-Date = 0%

YTD = 0%

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)