



Daily Compliance Activity Report

Trade Date: 01/19/2011

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	100	342.83	n/a	n/a	3.00	3.0
f MICHAEL C PERILLO	FID	ACW	S	26	15.20	n/a	n/a	0.00	0.0
NOMURA CAPITAL	029	ACW	S	400	15.25	n/a	n/a	12.00	3.0
MERRILL ASSET/BLACKROCK	266	AJG	S	8,400	29.05	n/a	n/a	336.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	10,000	22.09	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	ASML	S	100	37.41	n/a	n/a	3.00	3.0
B BUCK CAPITAL MGMT		AVY	S	25,000	41.70	n/a	5-Jan	non-brg	4.0
BALYASNY ASSET MGMT	044	AXL	C	39,631	15.17	n/a	7-Jan	1,981.55	5.0
B BUCK CAPITAL MGMT		AXL	S	15,000	15.82	n/a	7-Jan	non-brg	4.0
CYRUS CAPITAL	025	AXL	SS	14,673	15.61	n/a	7-Jan	586.92	4.0
LAGRANGE CAP ADV	048	AXL	B	15,000	15.10	n/a	7-Jan	750.00	5.0
B BUCK CAPITAL MGMT		BHI	S	20,000	59.14	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	BLDR	S	2000	2.32	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	BMC	B	27,010	48.78	n/a	n/a	1,080.40	4.0
f DAVID GEORGE BUCK	FID	BP	S	1000	47.99	n/a	n/a	0.00	0.0
CHARTER OAK	033	BUD	B	10,000	56.70	n/a	14-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		CACH	S	13,850	4.15	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		CACH	S	4,900	4.31	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	CBI	S	3000	35.51	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	CELG	S	100	56.05	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	CERN	S	100	96.38	n/a	n/a	3.00	3.0
MERRILL ASSET/BLACKROCK	266	CFR	S	4,200	62.41	n/a	n/a	168.00	4.0
NOMURA CAPITAL	029	CHMT	S	17,100	15.87	n/a	n/a	513.00	3.0
WINSLOW CAPITAL	030	CHRW	S	100	77.93	n/a	n/a	3.00	3.0
B BUCK CAPITAL MGMT		COH	B	10,000	53.59	n/a	11-Jan	non-brg	2.0
f DAVID GEORGE BUCK	FID	COP	B	500	67.56	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	COST	S	100	71.97	n/a	n/a	3.00	3.0
Õ Nilsa Vazquez		CREE	B	100	53.88	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,600	103.25	n/a	11-Jan	104.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	40,000	42.51	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CS	S	2000	44.26	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	CTSH	S	200	74.36	n/a	n/a	6.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CTXS	S	100	67.87	n/a	n/a	3.00	3.0
f COLE THOMAS KAICHER	FID	CVGI	B	450	16.18	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	CVGI	B	1000	16.91	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CYN	B	6,200	62.35	n/a	n/a	248.00	4.0
B BUCK CAPITAL MGMT		C	B	5,200	4.81	n/a	18-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		C	B	8,500	4.81	n/a	18-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		DAN	S	30,000	18.73	n/a	7-Jan	non-brg	4.0
SENATOR INVESTMENT GROUP	036	DAN	B	45,000	18.01	n/a	7-Jan	1,350.00	3.0
B BUCK CAPITAL MGMT		DECK	S	10,000	78.52	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DHI	S	25,000	13.34	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	S	20,000	51.74	n/a	18-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		DRI	SS	20,000	45.65	n/a	7-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	EAT	SS	30,000	20.99	n/a	3-Jan	900.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	EXPR	S	1400	18.15	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	S	3000	8.84	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	FHN	B	1,000	11.92	n/a	n/a	50.00	5.0
B BUCK CAPITAL MGMT		FINL	B	20,000	16.00	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FOR	S	10,000	19.75	n/a	3-Nov	non-brg	2.5
CIRCLE T/SES PART	035	F	B	20,000	17.88	n/a	7-Jan	800.00	4.0
B BUCK CAPITAL MGMT		GES	S	20,000	42.20	n/a	24-Nov	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	GES	S	100	42.23	n/a	24-Nov	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	6,300	36.40	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	GMCR	S	200	34.50	n/a	n/a	6.00	3.0
HIGHFIELDS CAP MGMT	030	GNW	B	200,000	13.63	n/a	n/a	8,000.00	4.0
WINSLOW CAPITAL	030	GOOG	S	100	632.25	n/a	n/a	3.00	3.0
B BUCK CAPITAL MGMT		HAL	S	40,000	39.96	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	HCF	B	2,940	7.60	n/a	n/a	147.00	5.0
NCM CAPITAL MGMT	035	INTU	S	9,885	47.21	n/a	n/a	395.40	4.0
WINSLOW CAPITAL	030	INTU	S	100	47.22	n/a	n/a	3.00	3.0
f JASON ERIC COHEN	FID	IVV	S	78	129.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IVZ	S	100,000	24.97	n/a	2-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		JBHT	S	10,000	42.06	n/a	n/a	non-brg	4.0
SAC CAPITAL/M GRONET	030	JCP	SS	70,000	29.02	n/a	7-Jan	2,450.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	JNPR	S	100	37.17	n/a	n/a	3.00	3.0
ß BUCK CAPITAL MGMT		JNY	S	111,278	13.66	n/a	28-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	S	264,400	13.67	n/a	28-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		JNY	S	57,300	13.69	n/a	28-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		JNY	S	75,000	13.66	n/a	28-Oct	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	JNY	B	400	13.67	n/a	28-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		JOSB	S	20,000	41.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	40.89	n/a	7-Jan	300.00	3.0
ß BUCK CAPITAL MGMT		KR	SS	20,000	21.43	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	10,000	51.00	n/a	7-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		LEN	S	20,000	20.30	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LIZ	S	100,000	4.96	n/a	7-Oct	non-brg	3.0
ß BUCK CAPITAL MGMT		LL	S	10,000	26.08	n/a	n/a	non-brg	4.0
f JOHN BARTMAN COLE	FID	LNET	B	2000	3.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MDC	S	7,700	31.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MNRO	B	10,000	32.00	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	MTRX	B	8000	11.09	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALANA J A MADIGAN-SI	FID	MWA	B	1245	4.11	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	NFLX	S	100	191.00	n/a	n/a	3.00	3.0
f ALEXANDRA ELISE ZOLI	FID	NKE	B	30	83.31	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	NTAP	S	100	57.88	n/a	n/a	3.00	3.0
CAVU CAP ADV	028	ODP	S	20,000	5.58	n/a	n/a	1,000.00	5.0
WINSLOW CAPITAL	030	ORCL	S	300	31.38	n/a	n/a	9.00	3.0
B BUCK CAPITAL MGMT		PAG	S	20,000	16.93	n/a	7-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	PBR	B	1000	36.64	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	PCX	S	75	23.03	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	PMTG	S	12,300	24.74	n/a	n/a	492.00	4.0
CAMBIAR CAP	046	PRX	B	52,384	36.37	n/a	18-Jan	2,095.36	4.0
B BUCK CAPITAL MGMT		PSS	C	10,000	19.80	n/a	n/a	non-brg	4.0
LISTED ERR	099	PVH	B	42,300	58.91	n/a	10-Jan	0.00	0.0
IRIDIAN ASSET MGMT.	036	PX	S	19,390	92.47	n/a	5-Jan	969.50	5.0
WINSLOW CAPITAL	030	QCOM	S	800	52.35	n/a	n/a	24.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	RCII	SS	30,000	29.06	n/a	n/a	1,200.00	4.0
CATAPULT	040	RCII	S	6,500	29.06	n/a	n/a	260.00	4.0
⚡ BUCK CAPITAL MGMT		ROST	C	10,000	63.99	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SBUX	B	2000	32.81	n/a	7-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		SHOO	B	60,000	40.77	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	SHPGY	S	100	79.20	n/a	18-Jan	3.00	3.0
⚡ BUCK CAPITAL MGMT		SLB	S	25,000	86.93	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	SMG	S	3000	51.68	n/a	14-Jan	0.00	0.0
BNP PARIBAS SEC	040	SSCC	S	10,000	27.80	n/a	7-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	SWY	SS	20,000	20.97	n/a	n/a	600.00	3.0
f MANNY I KORMAN	FID	TBT	B	200	0.01	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		TGT	B	10,000	54.52	n/a	7-Jan	non-brg	4.0
f MARK DEVEREAUX KAICH	FID	TLB	S	1000	6.53	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		TOL	S	15,000	20.82	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TRLG	SS	10,000	20.48	n/a	n/a	non-brg	2.5
f JASON ERIC COHEN	FID	TWM	B	840	11.94	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	UAL	S	20,000	24.30	n/a	n/a	1,000.00	5.0
SENATOR INVESTMENT GROUP	036	UNH	S	50,000	40.88	n/a	n/a	1,500.00	3.0
⌘ BUCK CAPITAL MGMT		URBN	S	20,000	34.84	n/a	n/a	non-brg	4.0
AVESTA CAP	229	VZ	C	100,000	34.43	n/a	n/a	3,000.00	3.0
⌘ BUCK CAPITAL MGMT		WBC	S	1,613	62.19	n/a	5-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		WMS	S	20,000	45.98	n/a	23-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	S	10,000	52.65	n/a	10-Jan	non-brg	4.0
RBC CAPITAL MARKETS	040	WY	S	20,000	21.50	n/a	29-Oct	800.00	4.0
SAC CRIB	044	XLI	SS	25,000	35.72	n/a	n/a	875.00	3.5
TOTAL (Trade Date) :								35,348.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/18	SENATOR INVESTMENT GROUP	036	EEM	SS	75,000	47.83	n/a	n/a	2250.00 3.0
AO,CXL	01/18	SENATOR INVESTMENT GROUP	036	EEM	SS	75,000	47.83	n/a	n/a	2250.00 3.0
AO,CRT	01/11	MANNING & NAPIER	034	SHW	S	106,632	83.34	n/a	5-Jan	3198.96 3.0
AO,CXL	01/11	MANNING & NAPIER	034	SHW	S	106,632	83.34	n/a	5-Jan	3198.96 3.0
AO,	01/11	MANNING & NAPIER	034	SHW	S	270	83.34	n/a	5-Jan	8.10 3.0

TOTAL (AO, CXL, CRT) :**8.10**

TOTAL (Trade Date) :**35,348.13****TOTAL (AO, CXL, CRT) :****8.10**

TOTAL (RUN DATE) / NFS:**35,356.23**

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 19-Jan.
NONE

MRI Securities without Trade Activity on 19-Jan.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
YTD = 4%

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)