



# Daily Compliance Activity Report

Trade Date: 05/07/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>ABFS</b>	<b>S</b>	<b>10000</b>	<b>14.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	ABT	S	15,000	35.88	n/a	n/a	450.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>SS</b>	<b>150,000</b>	<b>19.27</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>1,260</b>	<b>19.01</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>1.0</b>
WINSLOW CAPITAL	030	AGN	S	3,000	104.45	n/a	6-May	90.00	0.0
WINSLOW CAPITAL	030	AMT	S	5,600	83.25	n/a	n/a	168.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>S</b>	<b>320</b>	<b>49.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>C</b>	<b>270</b>	<b>28.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>SS</b>	<b>17,000</b>	<b>29.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>APC</b>	<b>S</b>	<b>220</b>	<b>89.18</b>	<b>7-May</b>	<b>7-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>C</b>	<b>480</b>	<b>14.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>SS</b>	<b>34,000</b>	<b>14.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> STEFFANIE CARMELA CA	<b>FID</b>	<b>ARR</b>	<b>B</b>	<b>800</b>	<b>6.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AXL</b>	<b>S</b>	<b>2,520</b>	<b>15.61</b>	<b>n/a</b>	<b>6-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>300</b>	<b>15.99</b>	<b>n/a</b>	<b>6-May</b>	<b>0.00</b>	<b>0.0</b>
KINGDON ASSET MGMT	041	AXL	S	75,000	15.91	n/a	6-May	3,000.00	0.0
FEIN	084	AXL	B	100,000	15.62	n/a	6-May	3,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		AXP	S	270	70.22	n/a	7-May	non-brg	1.0
DOUGLAS ROGERS	FID	BACPRD	B	500	25.56	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BAC	S	2,030	13.00	n/a	6-May	non-brg	1.0
IAN L MILLER	FID	BAC	S	150	13.07	n/a	6-May	0.00	0.0
MICHAEL ALEXANDER SM	FID	BAC	S	10	2.10	n/a	6-May	0.00	0.0
MICHAEL ALEXANDER SM	FID	BAC	S	75	2.10	n/a	6-May	0.00	0.0
BUCK CAPITAL MGMT		BA	S	160	94.34	n/a	2-May	non-brg	1.0
BUCK CAPITAL MGMT		BBBY	C	300	69.69	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BBBY	SS	10,000	70.07	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	SS	7,000	69.76	n/a	n/a	non-brg	4.0
JOHN MICHAEL ZOLIDIS	FID	BBW	B	500	6.45	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	BBY	S	12,600	26.16	n/a	n/a	378.00	0.0
WINSLOW CAPITAL	030	BEN	S	3,800	158.07	n/a	2-Mar	114.00	0.0
BUCK CAPITAL MGMT		BHI	S	640	47.24	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BID	C	340	35.06	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BIG	C	170	37.47	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BIG	SS	13,000	37.48	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	BKW	SS	25,000	18.93	n/a	29-Apr	750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BLK	S	1,000	274.94	n/a	n/a	30.00	0.0
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>BONT</b>	<b>S</b>	<b>500</b>	<b>15.84</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>
COOPER CREEK PART	028	BONT	S	3,300	15.88	n/a	26-Apr	132.00	0.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>BONT</b>	<b>S</b>	<b>1500</b>	<b>15.75</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>BREFX</b>	<b>B</b>	<b>540</b>	<b>20.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	BWA	S	5,200	79.70	n/a	26-Apr	156.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>CAR</b>	<b>S</b>	<b>1,440</b>	<b>30.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
WINSLOW CAPITAL	030	CBS	S	7,900	47.62	n/a	n/a	237.00	0.0
KINGDON ASSET MGMT	041	CCE	B	25,000	37.44	n/a	n/a	1,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>CERN</b>	<b>C</b>	<b>210</b>	<b>95.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CNC</b>	<b>S</b>	<b>420</b>	<b>47.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COF</b>	<b>S</b>	<b>450</b>	<b>59.21</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>COF</b>	<b>S</b>	<b>30</b>	<b>4.35</b>	<b>n/a</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>COF</b>	<b>S</b>	<b>5</b>	<b>4.35</b>	<b>n/a</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	COG	S	4,300	68.23	n/a	2-May	129.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>C</b>	<b>100,000</b>	<b>57.75</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>C</b>	<b>290</b>	<b>56.89</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>C</b>	<b>83,310</b>	<b>57.75</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>

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MACELLUM CAPITAL	086	COH	SS	36,000	58.04	n/a	24-Apr	1,080.00	0.0
WINSLOW CAPITAL	030	CRM	S	16,200	42.43	n/a	n/a	486.00	0.0
ROYCE TRADING	031	CRR	B	25,000	70.54	n/a	2-May	1,250.00	0.0
LATEEF MGMT	033	CSCO	B	2,600	20.35	n/a	26-Feb	282.00	0.0
ACK ASSET	028	CSX	SS	65,000	25.28	n/a	n/a	1,950.00	0.0
WINSLOW CAPITAL	030	CVS	S	7,700	58.48	n/a	n/a	231.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>S</b>	<b>350</b>	<b>47.84</b>	<b>n/a</b>	<b>6-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>S</b>	<b>1,180</b>	<b>18.03</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>1.0</b>
WINSLOW CAPITAL	030	DAL	S	44,400	18.08	n/a	24-Apr	1,332.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>4000</b>	<b>17.53</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DFS</b>	<b>S</b>	<b>500</b>	<b>46.21</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>S</b>	<b>860</b>	<b>53.22</b>	<b>n/a</b>	<b>26-Mar</b>	<b>non-brg</b>	<b>1.0</b>
WINSLOW CAPITAL	030	DG	S	37,000	53.16	n/a	26-Mar	1,110.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>S</b>	<b>35,000</b>	<b>26.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>S</b>	<b>370</b>	<b>26.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
WINSLOW CAPITAL	030	DHR	S	14,900	61.66	n/a	n/a	447.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>C</b>	<b>630</b>	<b>149.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	DIS	S	20,100	65.52	n/a	n/a	603.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>DKS</b>	<b>S</b>	<b>180</b>	<b>50.13</b>	<b>n/a</b>	<b>7-May</b>	<b>non-brg</b>	<b>1.0</b>
SIGMA CAP BOBBY	044	DPZ	S	55,000	57.58	n/a	30-Apr	1,650.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>DVN</b>	<b>S</b>	<b>350</b>	<b>58.62</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> IAN L MILLER	<b>FID</b>	<b>DVN</b>	<b>S</b>	<b>25</b>	<b>58.58</b>	<b>n/a</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
T. ROWE PRICE	243	DWRE	S	20,000	30.15	n/a	n/a	800.00	0.0
WINSLOW CAPITAL	030	ECL	S	3,900	86.09	n/a	18-Jan	117.00	0.0
WINSLOW CAPITAL	030	EL	S	5,200	70.27	n/a	6-May	156.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>ETN</b>	<b>S</b>	<b>270</b>	<b>62.55</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>1.0</b>
CAPITAL RESEARCH GROUP		296 EXC	B	125,901	35.33		n/a	n/a	4,406.54 0.0
<b>B</b> BUCK CAPITAL MGMT		<b>EXPE</b>	<b>C</b>	<b>150</b>	<b>58.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
COLUMBUS CAP MGMT LLC	084	EXTR	B	100,000	3.33	n/a	n/a	3,000.00	0.0
WINSLOW CAPITAL	030	FB	S	25,000	27.11	n/a	n/a	750.00	0.0
CR INTRINIC INVESTMENT	044	FDX	B	30,000	98.84	n/a	n/a	900.00	0.0
LOMAS CAPITAL	040	FDX	B	28,000	99.41	n/a	n/a	840.00	0.0
WINSLOW CAPITAL	030	FDX	S	6,600	98.61	n/a	n/a	198.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>FINL</b>	<b>S</b>	<b>1,340</b>	<b>20.63</b>	<b>n/a</b>	<b>7-May</b>	<b>non-brg</b>	<b>1.0</b>

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ß BUCK CAPITAL MGMT		FL	S	640	35.19	n/a	7-May	non-brg	1.0
ß BUCK CAPITAL MGMT		FNP	B	100,000	21.29	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	18,700	21.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	44,384	21.88	n/a	n/a	non-brg	1.0
SYMPHONY ASSET	033	FNP	B	72,920	21.59	n/a	n/a	2,187.60	0.0
ß BUCK CAPITAL MGMT		FOR	S	440	22.73	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		FOSL	S	100	105.83	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		FOSL	S	20,000	106.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	20,000	108.14	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	26,400	106.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	B	30,000	27.56	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	S	740	27.58	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	FTI	S	5,900	56.33	n/a	n/a	177.00	0.0
ß BUCK CAPITAL MGMT		FWM	S	370	17.51	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		F	SS	70,000	14.18	n/a	7-May	non-brg	4.0
TRELLUS PARTNERS LP	028	F	SS	25,000	14.20	n/a	7-May	750.00	0.0
ß BUCK CAPITAL MGMT		GIII	S	160	40.98	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GM	S	1,040	31.94	n/a	7-May	non-brg	1.0
WINSLOW CAPITAL	030	GSK	S	7,600	51.22	n/a	n/a	228.00	0.0

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WINSLOW CAPITAL	030	GWW	S	800	252.37	n/a	16-Apr	24.00	0.0
⚡ BUCK CAPITAL MGMT		HAL	S	590	43.52	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	HD	S	6,500	75.11	n/a	n/a	195.00	0.0
f CHRISTY FRANK	FID	HEES	S	1000	21.43	n/a	n/a	0.00	0.0
f JARROD MICHAEL FEINS	FID	HEK	B	500	3.76	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		HTZ	S	1,690	24.65	n/a	n/a	non-brg	1.0
f JARROD MICHAEL FEINS	FID	IAU	B	9	14.06	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	IBM	S	4,800	202.64	n/a	n/a	144.00	0.0
⚡ BUCK CAPITAL MGMT		IJH	C	400	117.34	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	INTC	B	3000	24.08	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	INTC	B	5000	24.12	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	INTC	S	30	0.38	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		IWM	C	2,210	95.67	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JBLU	S	1,780	6.94	n/a	26-Apr	non-brg	1.0
CASTLEROCK	040	JCP	S	50,000	16.45	n/a	30-Apr	2,000.00	0.0
f MARC PAUL LUCHANSKY	FID	JCP	B	400	16.53	n/a	30-Apr	0.00	0.0
⚡ BUCK CAPITAL MGMT		JIVE	S	1,610	14.89	n/a	n/a	non-brg	1.0

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BUCK CAPITAL MGMT		JOY	S	320	59.44	n/a	11-Jul	non-brg	1.0
BUCK CAPITAL MGMT		JPM	S	350	48.53	n/a	6-May	non-brg	1.0
S.A.C. CAPITAL	044	JWN	SS	50,000	58.45	n/a	8-Apr	1,500.00	0.0
BUCK CAPITAL MGMT		KEG	S	550	6.26	n/a	2-May	non-brg	1.0
SANDLER O'NEILL ASSET	031	KEY	S	25,000	10.19	n/a	n/a	1,250.00	0.0
CENTURION PARTNERS	041	KKR	S	20,000	20.96	n/a	n/a	800.00	0.0
BUCK CAPITAL MGMT		KMT	S	800	40.98	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KNX	S	20,000	16.40	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KNX	S	41,640	16.43	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		KNX	S	800	16.39	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KORS	S	430	58.07	n/a	22-Apr	non-brg	1.0
KINGDON ASSET MGMT	041	KORS	S	10,000	58.18	n/a	22-Apr	400.00	0.0
BUCK CAPITAL MGMT		KSS	C	200	47.38	n/a	8-Apr	non-brg	1.0
BUCK CAPITAL MGMT		LEA	S	280	58.83	n/a	29-Apr	non-brg	1.0
BUCK CAPITAL MGMT		LEG	C	210	32.78	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		LEN	S	230	42.24	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	LEN	S	22,600	42.09	n/a	n/a	678.00	0.0



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KINGDON ASSET MGMT	041	LOW	B	150,000	40.36	n/a	n/a	6,000.00	0.0
⌘ BUCK CAPITAL MGMT		LULU	SS	7,000	74.38	n/a	7-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LUV	C	530	14.25	n/a	26-Apr	non-brg	1.0
WINSLOW CAPITAL	030	LVS	S	5,500	56.87	n/a	13-Jun	165.00	0.0
WINSLOW CAPITAL	030	MA	S	2,300	549.85	n/a	2-May	69.00	0.0
⌘ BUCK CAPITAL MGMT		MDT	S	350	47.70	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MDY	C	170	213.97	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MOH	S	650	34.13	n/a	n/a	non-brg	1.0
WINSLOW CAPITAL	030	MON	S	10,300	107.61	n/a	n/a	309.00	0.0
⌘ BUCK CAPITAL MGMT		MS	S	1,090	23.31	n/a	6-May	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MTOR	S	3,520	5.97	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	MWA	S	20000	7.32	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	MWV	B	25,000	34.68	n/a	30-Apr	1,250.00	0.0
⌘ BUCK CAPITAL MGMT		MWV	S	790	34.53	n/a	30-Apr	non-brg	1.0
CORVEX CAPITAL	041	MWV	B	3,200	34.65	n/a	30-Apr	96.00	0.0
OSKIE CAPITAL MGMT	224	MWV	B	30,000	34.70	n/a	30-Apr	1,500.00	0.0
⌘ BUCK CAPITAL MGMT		M	S	470	45.91	n/a	26-Apr	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		NCLH	B	141,442	32.03	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NCLH	B	47,776	31.68	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		NTRS	C	130	54.03	n/a	6-May	non-brg	1.0
SANDLER O'NEILL ASSET	031	NYCB	B	19,891	13.42	n/a	24-Apr	994.55	0.0
WINSLOW CAPITAL	030	PCP	S	1,800	192.61	n/a	11-Apr	54.00	0.0
ß BUCK CAPITAL MGMT		PETM	C	13,300	68.58	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PETM	C	270	67.99	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PFE	S	1,380	28.90	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PII	S	100	85.81	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	C	140	49.35	n/a	26-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	SS	10,000	50.01	n/a	26-Mar	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	PL	S	12,700	38.50	n/a	n/a	508.00	0.0
MERRILL ASSET/BLACKROCK	297	PRU	S	8,700	65.88	n/a	n/a	348.00	0.0
ß BUCK CAPITAL MGMT		PVH	B	10,000	117.26	n/a	22-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH	S	270	116.06	n/a	22-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		RDN	S	2,710	12.88	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RLGY	B	30,000	50.47	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	RL	S	2,900	184.23	n/a	22-Apr	87.00	0.0
f YANAI A FRANK	FID	RNF	S	825	34.42	n/a	n/a	0.00	0.0
f PATRICK O'GRADY	FID	ROIAK	B	340	1.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		R	S	350	60.08	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SHOO	S	20,000	48.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SLB	S	200	76.97	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SLM	S	930	21.21	n/a	22-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		SLXP	C	470	54.05	n/a	6-May	non-brg	1.0
B BUCK CAPITAL MGMT		SPN	S	1,060	28.09	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SPY	C	100	162.25	n/a	n/a	non-brg	1.0
EPOCH INV MGMT	030	SSD	B	16,035	28.77	n/a	n/a	481.05	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	B	10,000	7.20		n/a n/a	200.00	0.0
B BUCK CAPITAL MGMT		STT	S	500	59.70	n/a	6-May	non-brg	1.0
B BUCK CAPITAL MGMT		SWN	S	740	37.38	n/a	6-May	non-brg	1.0
B BUCK CAPITAL MGMT		SWY	C	20,000	23.90	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		TDG	C	120	148.32	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TDG	SS	3,500	149.93	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TEVA	S	730	38.43	n/a	6-May	non-brg	1.0
ß BUCK CAPITAL MGMT		TITN	S	1,090	23.37	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		UAL	C	330	33.57	n/a	26-Apr	non-brg	1.0
WINSLOW CAPITAL	030	UNH	S	8,500	60.82	n/a	n/a	255.00	0.0
WINSLOW CAPITAL	030	UNP	S	8,700	153.30	n/a	n/a	261.00	0.0
ß BUCK CAPITAL MGMT		URBN	S	550	42.08	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URI	S	360	57.71	n/a	17-Apr	non-brg	1.0
MERRILL ASSET/BLACKROCK	297	USB	B	14,207	33.03	n/a	n/a	568.28	0.0
WINSLOW CAPITAL	030	UTX	S	6,200	93.72	n/a	n/a	186.00	0.0
WINSLOW CAPITAL	030	VLO	S	17,000	39.20	n/a	n/a	510.00	0.0
ß BUCK CAPITAL MGMT		VMC	S	380	53.87	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		V	S	100	178.12	n/a	2-May	non-brg	1.0
WINSLOW CAPITAL	030	V	S	6,100	179.43	n/a	2-May	183.00	0.0
ß BUCK CAPITAL MGMT		WFC	C	320	38.14	n/a	6-May	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	WFC	S	9,600	38.35	n/a	6-May	288.00	0.0
ß BUCK CAPITAL MGMT		WFM	C	10,000	92.50	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	WFM	S	4,500	92.06	n/a	n/a	135.00	0.0
NORTHWESTERN MUTUAL LIFE	047	WMB	S	69,600	37.05	n/a	n/a	2,784.00	0.0
ß BUCK CAPITAL MGMT		WMT	C	100	78.96	n/a	22-Feb	non-brg	1.0
ß BUCK CAPITAL MGMT		WMT	SS	6,500	79.01	n/a	22-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		WNC	S	2,980	9.96	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XLFX	C	540	19.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XPO	S	620	17.29	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	C	280	74.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	C	97,645	74.62	n/a	n/a	non-brg	2.0
WINSLOW CAPITAL	030	YUM	S	9,600	68.51	n/a	6-May	288.00	0.0
WINSLOW CAPITAL	030	ZTS	S	13,900	32.61	n/a	n/a	417.00	0.0
f ANTHONY SUTERA	FID		B	25000	96.98	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID		S	25000	108.40	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID		B	2000	106.50	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								59,493.02	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/06	T. ROWE PRICE	243	DWRE	S	10,000	28.77	n/a	n/a	400.00 0.0
AO,CXL	05/06	T. ROWE PRICE	028	DWRE	S	10,000	28.77	n/a	n/a	400.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	59,493.02
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>59,493.02</b>
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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 7-May.

APC

MRI Securities without Trade Activity on 7-May.

VNTV

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

T-Date = 0%

YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)