



Daily Compliance Activity Report

Trade Date: 04/15/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAI	S	3,300	5.94	n/a	n/a	non-brg	3.0
TOKIO MARINE ASSET MGMT	045	AAPL	S	2,200	246.67	n/a	n/a	88.00	4.0
PATTEN & PATTEN	067	AA	S	12,000	14.38	n/a	n/a	600.00	5.0
B BUCK CAPITAL MGMT		ABFS	S	2,300	30.75	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ADM	S	3,100	28.39	n/a	26-Mar	non-brg	4.0
ADAGE CAPITAL MGMT	030	AEO	SS	93,100	18.19	n/a	9-Apr	2,793.00	3.0
B BUCK CAPITAL MGMT		AEO	S	16,000	18.02	n/a	9-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	600,000	18.11	n/a	9-Apr	non-brg	4.0
CAERUS GLOBAL	041	AEO	S	75,000	18.23	n/a	9-Apr	3,000.00	4.0
EXIS CAPITAL	044	AEO	SS	10,000	18.20	n/a	9-Apr	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	SS	25,000	18.07	n/a	9-Apr	875.00	3.5
TOKIO MARINE ASSET MGMT	045	AKAM	S	16,000	34.45	n/a	n/a	640.00	4.0
f ROBERT M DANIELS	FID	ALU	S	1000	3.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMG	S	400	83.41	n/a	2-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	1,600	49.83	n/a	9-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		AN	S	6,800	19.55	n/a	1-Apr	non-brg	4.0
T. ROWE PRICE	033	AOL	S	31,100	27.85	n/a	n/a	1,244.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		APC	S	2,000	74.78	n/a	1-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	S	10,200	31.18	n/a	9-Apr	non-brg	4.0
EXIS CAPITAL	044	ARO	S	30,000	31.14	n/a	9-Apr	1,500.00	5.0
ß BUCK CAPITAL MGMT		ATVI	B	20,000	11.84	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		ATVI	B	50,000	11.68	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ATVI	B	50,000	11.83	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		AVY	S	6,700	38.04	n/a	5-Mar	non-brg	4.0
f CHARLES MAXWELL KAIC	FID	AXL	S	260	11.33	n/a	8-Feb	0.00	0.0
METROPOLITAN CAPITAL	044	AXL	S	31,300	11.53	n/a	8-Feb	1,565.00	5.0
ß BUCK CAPITAL MGMT		AXP	S	400	46.28	n/a	15-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		BAC	S	9,100	19.68	n/a	15-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		BEBE	S	20,000	9.26	n/a	n/a	non-brg	3.0
f JONATHAN RICHARD HAR	FID	BEE	B	330	6.14	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	BGC	S	14,936	30.90	n/a	n/a	597.44	4.0
ß BUCK CAPITAL MGMT		BHI	S	2,700	49.44	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BK	S	3,100	32.17	n/a	15-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		BLK	S	400	209.38	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	BONT	B	50,000	17.19	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	BUCY	SS	7,000	73.74	n/a	22-Feb	350.00	5.0
MADISON ST PARTNERS LLC	046	BYI	S	21,900	42.96	n/a	n/a	1,095.00	5.0
⚡ BUCK CAPITAL MGMT		CAR	S	4,800	15.03	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	CLW	SS	10,000	54.96	n/a	n/a	300.00	3.0
⚡ BUCK CAPITAL MGMT		CNW	S	1,900	39.40	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CNW	S	20,000	39.55	n/a	n/a	non-brg	4.0
f JOEL GIFFORD TISS	FID	CNW	S	4011	39.56	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		COF	S	3,100	45.45	n/a	15-Apr	non-brg	4.0
SANDLER O'NEILL ASSET	031	COF	SS	18,400	45.16	n/a	15-Apr	920.00	5.0
⚡ BUCK CAPITAL MGMT		COH	S	20,000	42.41	n/a	14-Apr	non-brg	4.0
f DAVID GEORGE BUCK	FID	COP	S	2500	57.16	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CRI	B	60,000	32.48	n/a	n/a	non-brg	4.0
STERLING JOHNSTON	035	CRR	B	5,750	72.85	n/a	1-Apr	230.00	4.0
TOKIO MARINE ASSET MGMT	045	CTXS	S	11,100	47.94	n/a	n/a	444.00	4.0
f MICHAEL C PERILLO	FID	CVGI	B	110	8.78	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	CVGI	S	260	8.72	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		C	S	23,400	5.00	n/a	15-Apr	non-brg	3.0
f NICOLAS EVAN PAKLER	FID	C	B	100	0.36	n/a	15-Apr	0.00	0.0
SANDLER O'NEILL ASSET	031	C	S	100,000	5.03	n/a	15-Apr	2,000.00	2.0
B BUCK CAPITAL MGMT		DAL	S	8,900	14.09	n/a	n/a	non-brg	4.0
THIRD POINT MGMT	044	DAL	B	50,000	14.40	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		DAN	S	2,300	13.41	n/a	25-Feb	non-brg	4.0
METROPOLITAN CAPITAL	044	DAN	B	68,200	13.37	n/a	25-Feb	3,410.00	5.0
EXIS CAPITAL	044	DENN	B	10,000	3.87	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		DFS	S	900	16.12	n/a	15-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		DHI	S	9,500	12.56	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	DLTR	B	200	59.59	n/a	24-Feb	10.00	5.0
f CHRISTOPHER ROBERT C	FID	DPZ	S	400	15.49	n/a	7-Apr	0.00	0.0
TRELLUS PARTNERS LP	028	DRYS	S	25,000	6.76	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		DVN	S	1,000	66.95	n/a	1-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		ECL	S	1,300	45.14	n/a	18-Feb	non-brg	4.0
f DAVID GEORGE BUCK	FID	EFA	B	1500	57.87	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	ERTS	B	8,489	19.86	n/a	n/a	424.45	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		ERTS	B	100,000	19.69	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		ERTS	B	50,000	19.95	n/a	n/a	non-brg 4.0
	FIRST NEW YORK LEDDY	035	ETFC	S	20,000	1.81	n/a	n/a	1,200.00 6.0
	KADE CAPITAL LLC	036	ETN	B	15,000	80.50	n/a	6-Apr	750.00 5.0
ß	BUCK CAPITAL MGMT		EXH	S	1,500	28.50	n/a	1-Apr	non-brg 4.0
f	EDWARD W WHEELER	FID	EXH	B	100	3.70	n/a	1-Apr	0.00 0.0
ß	BUCK CAPITAL MGMT		FITB	S	1,382	14.94	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		FITB	S	1,807	14.94	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		FITB	S	3,826	14.94	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		FITB	S	47,822	14.94	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		FITB	S	5,526	14.94	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		FL	S	9,100	16.00	n/a	14-Apr	non-brg 4.0
f	PEARL LUCHANSKY	FID	FMAGX	S	12	70.01	n/a	n/a	0.00 0.0
ß	BUCK CAPITAL MGMT		FOR	S	7,500	21.29	n/a	26-Mar	non-brg 4.0
ß	BUCK CAPITAL MGMT		FOSL	S	20,000	40.91	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		FUQI	S	23	11.88	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		F	S	13,000	13.57	n/a	5-Apr	non-brg 4.0
ß	BUCK CAPITAL MGMT		GCO	S	14,300	33.84	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		GCO	S	20,000	34.12	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GCO	S	25,700	33.94	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		GCO	S	31,579	34.13	n/a	n/a	non-brg	0.7
BUCK CAPITAL MGMT		GES	S	800	47.25	n/a	18-Mar	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	6,100	28.00	n/a	22-Mar	non-brg	4.0
DAVID GEORGE BUCK	FID	GIS	S	2000	70.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GLW	S	8,500	20.31	n/a	19-Mar	non-brg	4.0
ASCEND PARTNERS	033	GPS	B	20,000	25.31	n/a	n/a	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	GPS	S	30,000	25.27	n/a	n/a	1,500.00	5.0
DAVID GEORGE BUCK	FID	GS	B	700	184.52	n/a	15-Apr	0.00	0.0
ADAGE CAPITAL MGMT	030	GYMB	B	100,000	52.03	n/a	9-Apr	3,000.00	3.0
BUCK CAPITAL MGMT		GYMB	S	700	51.90	n/a	9-Apr	non-brg	4.0
METROPOLITAN CAPITAL	044	GYMB	S	27,700	51.74	n/a	9-Apr	1,385.00	5.0
BUCK CAPITAL MGMT		HAL	B	20,000	32.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HTZ	S	4,600	12.21	n/a	n/a	non-brg	4.0
TOKIO MARINE ASSET MGMT	045	IBM	S	2,700	130.59	n/a	n/a	108.00	4.0
BUCK CAPITAL MGMT		ICON	S	20,000	16.73	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		IFF	S	600	51.14	n/a	29-Mar	non-brg	4.0
RBC CAPITAL MARKETS	040	IGT	SS	15,000	19.61	n/a	9-Feb	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	IP	SS	50,000	28.09	n/a	26-Mar	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		IP	S	3,500	28.04	n/a	26-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IR	S	1,600	37.80	n/a	16-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ITW	S	700	49.19	n/a	28-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IVZ	S	9,800	22.52	n/a	2-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JACK	S	1,200	26.09	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	JAS	S	9,790	44.05	n/a	n/a	391.60	4.0
⌘ BUCK CAPITAL MGMT		JBHT	S	3,500	38.32	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		JBHT	S	40,000	38.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JBLU	S	13,500	6.55	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JCG	S	20,000	48.59	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	JCP	B	5,000	31.69	n/a	9-Apr	250.00	5.0
⌘ BUCK CAPITAL MGMT		JNS	S	11,500	15.47	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JNY	S	1,600	21.69	n/a	14-Apr	non-brg	4.0
EXIS CAPITAL	044	JNY	B	5,000	21.70	n/a	14-Apr	250.00	5.0
⌘ BUCK CAPITAL MGMT		JPM	S	2,200	47.93	n/a	15-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JWN	S	1,000	42.98	n/a	9-Apr	non-brg	4.0

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⌘ BUCK CAPITAL MGMT		JWN	S	20,000	42.78	n/a	9-Apr	non-brg	4.0
EXIS CAPITAL	044	JWN	B	10,000	43.10	n/a	9-Apr	500.00	5.0
RBC CAPITAL MARKETS	040	JWN	SS	10,000	43.42	n/a	9-Apr	400.00	4.0
⌘ BUCK CAPITAL MGMT		KEG	S	8,200	10.29	n/a	1-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KEY	S	1,900	8.43	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		KEY	S	2,300	8.43	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		KEY	S	5,000	8.43	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		KEY	S	62,500	8.43	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		KEY	S	7,200	8.43	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		KNX	S	4,000	21.42	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	KR	B	10,000	23.36	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	20,000	56.75	n/a	9-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	400	57.45	n/a	9-Apr	non-brg	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	57.51	n/a	9-Apr	500.00	5.0
RBC CAPITAL MARKETS	040	KSS	SS	10,000	57.69	n/a	9-Apr	400.00	4.0
⌘ BUCK CAPITAL MGMT		LEA	B	100	82.73	n/a	25-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LEN	S	4,900	17.75	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	LIZ	B	15,000	8.61	n/a	7-Oct	750.00	5.0
⌘ BUCK CAPITAL MGMT		LL	S	20,000	29.05	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	LVS	B	10,000	23.35	n/a	14-Apr	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		MA	S	200	262.91	n/a	12-Apr	non-brg	4.0
BUCK CAPITAL MGMT		MDC	S	800	35.35	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	MERC	B	25,000	5.75	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT		MFB	S	10,000	22.48	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		MGM	C	50,000	14.83	n/a	15-Apr	non-brg	4.0
BUCK CAPITAL MGMT		MGM	C	70,000	14.77	n/a	15-Apr	non-brg	4.0
BUCK CAPITAL MGMT		MGM	C	80,000	14.56	n/a	15-Apr	non-brg	2.0
BUCK CAPITAL MGMT		MGM	C	80,000	14.87	n/a	15-Apr	non-brg	4.0
RAMIUS CAP	040	MIDD	C	21,400	59.59	n/a	5-Mar	856.00	4.0
BUCK CAPITAL MGMT		MON	B	500	65.81	n/a	12-Apr	non-brg	4.0
BUCK CAPITAL MGMT		MS	B	115,600	30.98	n/a	15-Apr	non-brg	4.0
JONATHAN RICHARD HAR	FID	MS	B	65	30.94	n/a	15-Apr	0.00	0.0
BUCK CAPITAL MGMT		M	S	30,000	23.86	n/a	9-Apr	non-brg	4.0
EXIS CAPITAL	044	M	B	5,000	23.89	n/a	9-Apr	250.00	5.0
BUCK CAPITAL MGMT		NWY	S	40,000	5.91	n/a	n/a	non-brg	3.0
OZ MGMT	040	ONNN	C	112,536	8.80	n/a	n/a	3,376.08	3.0
RAMIUS CAP	040	ORLY	C	29,350	43.88	n/a	n/a	1,174.00	4.0
ROYCE TRADING	216	ORLY	B	200	43.93	n/a	n/a	10.00	5.0

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B BUCK CAPITAL MGMT		PAG	S	3,900	15.77	n/a	23-Mar	non-brg	4.0
RAMIUS CAP	040	PBI	C	42,975	25.17	n/a	n/a	1,719.00	4.0
ROTHSCHILD ASSET	040	PCH	B	9,630	37.73	n/a	26-Mar	385.20	4.0
f DAVID GEORGE BUCK	FID	PEP	B	1000	66.29	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PHM	S	1,700	11.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PIR	S	20,000	9.47	n/a	n/a	non-brg	3.0
CR INTRINIC INVESTMENT	044	PRGO	SS	25,000	61.70	n/a	15-Apr	875.00	3.5
B BUCK CAPITAL MGMT		PSS	S	1,900	24.40	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	1,400	63.90	n/a	14-Apr	non-brg	4.0
DENVER INST. ADV	046	PVH	S	17,300	64.12	n/a	14-Apr	692.00	4.0
STERLING JOHNSTON	035	PVH	S	7,500	63.95	n/a	14-Apr	300.00	4.0
B BUCK CAPITAL MGMT		QKLS	S	20,000	5.94	n/a	n/a	non-brg	3.0
GRANITE CAPITAL	045	RE	S	10,000	83.09	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		RF	S	360,847	8.74	n/a	n/a	non-brg	3.0
f JONATHAN RICHARD HAR	FID	RF	S	1032	8.66	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	RL	S	10,200	90.22	n/a	14-Apr	408.00	4.0
f KAREN F LEDDY	FID	ROHI	B	5500	2.00	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MICHAEL THOMAS NOLAN	FID	ROHI	B	1000	1.85	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		RRR	S	9,600	8.29	n/a	17-Feb	non-brg	3.0
B	BUCK CAPITAL MGMT		RYL	S	2,300	23.39	n/a	n/a	non-brg	4.0
	RBC CAPITAL MARKETS	040	SBUX	S	10,000	25.11	n/a	7-Apr	400.00	4.0
f	CHRISTOPHER ROBERT C	FID	SEE	B	300	22.30	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SHOO	S	20,000	54.27	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SIAL	S	800	56.25	n/a	6-Apr	non-brg	4.0
B	BUCK CAPITAL MGMT		SII	S	1,000	45.13	n/a	n/a	non-brg	4.0
	WAGONHOUND/NIC	048	SKS	B	2,612	9.57	n/a	n/a	78.36	3.0
B	BUCK CAPITAL MGMT		SKX	S	10,000	39.65	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SLB	S	2,400	66.86	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SLM	S	14,600	13.48	n/a	14-Apr	non-brg	4.0
	MERRILL ASSET/BLACKROCK	263	SM	B	20,400	39.66	n/a	n/a	816.00	4.0
	SENATOR INVESTMENT GROUP	036	SPY	SS	67,500	121.31	n/a	n/a	2,025.00	3.0
B	BUCK CAPITAL MGMT		STI	S	1,900	30.00	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		STI	S	2,657	30.00	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		STI	S	23,379	30.00	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		STI	S	700	30.00	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		STI	S	850	30.00	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		STT	S	2,300	47.85	n/a	15-Apr	non-brg	4.0
BUCK CAPITAL MGMT		SUMR	S	12,000	6.86	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SUP	S	2,200	16.58	n/a	1-Mar	non-brg	4.0
MILLRACE FUND LP	028	SUP	S	20,731	16.61	n/a	1-Mar	829.24	4.0
BUCK CAPITAL MGMT		SWN	S	2,200	42.04	n/a	1-Apr	non-brg	4.0
CHARLES MAXWELL KAIC	FID	TA	B	650	4.54	n/a	n/a	0.00	0.0
MARK DEVEREAUX KAICH	FID	TA	B	1200	4.49	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		TEX	S	3,500	26.39	n/a	22-Feb	non-brg	4.0
SAXON WOODS ADVISORS	242	TGT	S	29,700	56.46	n/a	9-Apr	1,188.00	4.0
AVESTA CAP	229	TIF	S	100,000	50.95	n/a	n/a	3,000.00	3.0
FRANCIS MICHAEL MCCA	FID	TITN	S	1100	13.04	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		TJX	S	2,200	46.04	n/a	9-Apr	non-brg	4.0
BUCK CAPITAL MGMT		TJX	S	20,000	46.05	n/a	9-Apr	non-brg	4.0
SAXON WOODS ADVISORS	242	TJX	S	26,600	46.22	n/a	9-Apr	1,064.00	4.0
COUGAR TRADING	044	TM	SS	5,000	79.85	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT		TOL	S	3,800	20.41	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAPITAL MGMT	040	TYC	B	55,500	40.07	n/a	29-Jan	2,775.00	5.0
⌘ BUCK CAPITAL MGMT		UAUA	S	1,300	22.11	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		UAUA	S	30,000	22.65	n/a	n/a	non-brg	4.0
SANDLER CAPITAL	226	UA	S	85,000	33.93	n/a	14-Apr	5,100.00	6.0
⌘ BUCK CAPITAL MGMT		URBN	S	1,600	39.16	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	URS	B	5,200	50.45	n/a	n/a	208.00	4.0
UBS OCONNOR	031	UTX	SS	50,000	74.48	n/a	n/a	1,500.00	3.0
TOKIO MARINE ASSET MGMT	045	VAR	S	6,400	56.24	n/a	n/a	256.00	4.0
f DAVID GEORGE BUCK	FID	VNO	B	500	79.09	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		WBC	S	8,800	32.04	n/a	13-Apr	non-brg	4.0
CENTURION PARTNERS	041	WCRX	B	15,000	27.61	n/a	15-Apr	600.00	4.0
⌘ BUCK CAPITAL MGMT		WERN	S	3,600	23.85	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WFT	S	5,200	16.99	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	10,000	51.00	n/a	2-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	S	1,900	50.70	n/a	2-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	S	20,000	49.77	n/a	2-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WSO	S	400	61.02	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WY	S	3,000	46.86	n/a	26-Mar	non-brg	4.0
COHE & STEERS	041	WY	S	46,313	47.05	n/a	26-Mar	1,852.52	4.0
GREEN ARROW DOUG	040	XLP	SS	25,000	27.93	n/a	n/a	1,250.00	5.0
f CALEF CAMPBELL DAVIS	FID	YRCW	B	800	0.61	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	ZQK	B	40,000	5.41	n/a	12-Mar	2,000.00	5.0
TOTAL (Trade Date):								81,207.89	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/13	11:11 CAPITAL CORP	046	ELN	S	160,900	8.13	n/a	n/a	6436.00 4.0
AO,CXL	04/13	11:11 CAPITAL CORP	046	ELN	S	160,900	8.13	n/a	n/a	8045.00 5.0
AO,CXL	04/12	PROSPECTOR PARTNERS LLC	036	HES	B	6,600	65.36	n/a	n/a	264.00 4.0
AO,CRT	04/12	PROSPECTOR PARTNERS LLC	036	HES	B	1,400	65.36	n/a	n/a	56.00 4.0
AO,CRT	04/12	PROSPECTOR PARTNERS LLC	036	HES	B	5,200	65.36	n/a	n/a	208.00 4.0
TOTAL (AO, CXL, CRT) :										-1,609.00

TOTAL (Trade Date) :	81,207.89
TOTAL (AO, CXL, CRT) :	-1,609.00

TOTAL (RUN DATE) / NFS:	79,598.89
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MRI Securities with Trade Activity on 15-Apr.
NONE

MRI Securities without Trade Activity on 15-Apr.
NYB, GD, AOS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 13%

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)