



# Daily Compliance Activity Report

Trade Date: 04/14/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	SS	281,900	18.27	n/a	9-Apr	8,457.00	3.0
EXIS CAPITAL	044	AEO	SS	10,000	18.26	n/a	9-Apr	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>APC</b>	<b>B</b>	<b>10,000</b>	<b>72.48</b>	<b>n/a</b>	<b>1-Apr</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	ARO	B	30,000	30.95	n/a	9-Apr	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ATVI</b>	<b>B</b>	<b>40,000</b>	<b>12.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AVP</b>	<b>B</b>	<b>260,000</b>	<b>32.72</b>	<b>n/a</b>	<b>7-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AVP</b>	<b>B</b>	<b>30,600</b>	<b>32.70</b>	<b>n/a</b>	<b>7-Apr</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	AVP	B	50,000	32.80	n/a	7-Apr	2,500.00	5.0
ROSEDALE CAPITAL	046	AXL	S	10,000	10.85	n/a	8-Feb	500.00	5.0
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>BEE</b>	<b>B</b>	<b>550</b>	<b>5.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	BGC	S	20,554	30.72	n/a	n/a	822.16	4.0
LAGRANGE CAP ADV	048	BONT	SS	8,386	17.00	n/a	n/a	419.30	5.0
WHALE ROCK CAP	030	BONT	B	60,000	16.88	n/a	n/a	2,400.00	4.0
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>BRKB</b>	<b>B</b>	<b>1000</b>	<b>80.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MADISON ST PARTNERS LLC	046	BYI	S	3,100	42.85	n/a	n/a	155.00	5.0
NEW JERSEY DIV OF INV.	030	CCC	S	100,000	18.13	n/a	n/a	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	CNK	S	20,000	18.77	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>70,000</b>	<b>32.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THIRD COAST CAPITAL	035	CSTR	B	10,000	36.40	n/a	n/a	500.00	5.0
THIRD COAST CAPITAL	035	CWTR	S	45,000	7.53	n/a	n/a	2,250.00	5.0
SANDLER O'NEILL ASSET	031	C	S	50,000	4.75	n/a	13-Apr	1,000.00	2.0
BALYASNY ASSET MGMT	044	DAN	B	25,000	13.60	n/a	25-Feb	1,250.00	5.0
TRELLUS PARTNERS LP	028	DAN	S	24,000	13.57	n/a	25-Feb	1,200.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	15.88	n/a	14-Apr	2,500.00	5.0
THOMAS WEISEL ASSET MGMT	035	DV	S	4,651	70.35	n/a	n/a	139.53	3.0
GLOBAL 56 LLC	060	ENTG	S	3,500	5.88	n/a	n/a	140.00	4.0
RBC CAPITAL MARKETS	040	FAST	SS	20,000	52.58	n/a	n/a	800.00	4.0
KENNEDY CAPITAL	046	FINL	S	50,000	17.56	n/a	n/a	2,000.00	4.0
<b>f MAY Y TANG</b>	<b>FID</b>	<b>FLCSX</b>	<b>S</b>	<b>46</b>	<b>16.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	FLS	S	6,500	116.73	n/a	n/a	260.00	4.0
HOLLIS CAPITAL	033	FL	B	5,000	15.48	n/a	14-Apr	250.00	5.0
BMO NESBITT BURNS	041	FOR	B	10,000	20.53	n/a	26-Mar	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FUQI	S	10,000	11.59	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		FUQI	S	93,996	11.58	n/a	n/a	non-brg	4.0
CHRISTOPHER ROBERT C	FID	F	B	500	13.21	n/a	5-Apr	0.00	0.0
BUCK CAPITAL MGMT		GCO	S	17,000	34.44	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GCO	S	83,000	34.25	n/a	n/a	non-brg	0.8
MFP INVESTORS	032	GGP	S	45,000	16.22	n/a	n/a	2,250.00	5.0
MANNY I KORMAN	FID	GLW	B	10000	20.03	n/a	19-Mar	0.00	0.0
BENNETT LAWRENCE	028	GR	B	4,000	71.98	n/a	15-Mar	160.00	4.0
KAREN F LEDDY	FID	GSI	S	1200	4.04	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GYMB	B	20,000	53.00	n/a	9-Apr	1,000.00	5.0
BUCK CAPITAL MGMT		HAL	B	20,000	31.80	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	IP	S	25,000	27.94	n/a	26-Mar	1,000.00	4.0
NICOLAS EVAN PAKLER	FID	IR	S	85	37.26	n/a	16-Feb	0.00	0.0
CUMBERLAND	239	IWM	B	10,000	71.04	n/a	n/a	300.00	3.0
NICOLAS EVAN PAKLER	FID	JNK	S	100	39.87	n/a	n/a	0.00	0.0
CASEY CAPITAL	067	JNY	B	10,000	21.65	14-Apr	14-Apr	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>KFRC</b>	<b>S</b>	<b>1000</b>	<b>15.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACKLOWE ASSET MGMT	041	K	B	40,000	53.23	n/a	n/a	1,600.00	4.0
SONTERRA CAP	041	LCC	B	20,000	7.44	n/a	n/a	600.00	3.0
DELTEC ASSET MGMT.	040	LEN	B	8,500	17.83	n/a	n/a	425.00	5.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	100,000	11.03	n/a	26-Mar	5,000.00	5.0
SCOPUS FUND	041	LPX	B	50,000	10.96	n/a	26-Mar	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>B</b>	<b>30,000</b>	<b>26.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CIRCLE T/SES PART	035	LVS	SS	25,000	24.46	n/a	14-Apr	1,000.00	4.0
GREEN ARROW DOUG	040	LVS	SS	10,000	24.80	n/a	14-Apr	500.00	5.0
TROUBH PART	067	LVS	SS	35,000	24.13	n/a	14-Apr	1,750.00	5.0
NWQ INVESTMENT MGMT CO	048	L	S	15,150	38.86	n/a	n/a	606.00	4.0
<b>f RAGHAV NAYAR</b>	<b>FID</b>	<b>MGAM</b>	<b>B</b>	<b>463</b>	<b>4.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GREEN ARROW DOUG	040	MGM	S	11,000	15.72	n/a	8-Apr	550.00	5.0
WHITE PINE CAPITAL	030	MIR	S	43,966	12.08	n/a	n/a	2,198.30	5.0
EXIS CAPITAL	044	MMM	B	20,000	84.39	n/a	18-Feb	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MON</b>	<b>B</b>	<b>30,000</b>	<b>66.21</b>	<b>n/a</b>	<b>12-Apr</b>	<b>non-brg</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	MON	S	80,778	65.73	n/a	12-Apr	4,038.90	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	MS	B	200	31.29	n/a	30-Mar	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	MTW	S	1000	15.21	n/a	5-Feb	0.00	0.0
f ANTHONY SUTERA	FID	MU	S	2000	11.14	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	NBRXF	B	800	17.65	n/a	n/a	0.00	0.0
f JOHN PATRICK DAVEY	FID	NBRXF	B	1500	18.09	n/a	n/a	0.00	0.0
f MARGARET M DAVEY	FID	NBRXF	B	2000	18.06	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	NX	B	110	17.96	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	OWW	B	2000	7.50	n/a	n/a	0.00	0.0
BRIGADE CAPITAL MGMT	029	PLCE	S	50,000	48.09	n/a	22-Mar	1,500.00	3.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	47.88	n/a	22-Mar	non-brg	4.0
MESIROW	031	PLCE	B	31,836	48.30	n/a	22-Mar	1,114.26	3.5
THIRD COAST CAPITAL	035	PLCE	B	6,000	47.19	n/a	22-Mar	300.00	5.0
B BUCK CAPITAL MGMT		QKLS	S	24,200	6.12	n/a	n/a	non-brg	3.0
FIRST NEW YORK NICK	029	Q	B	10,000	5.39	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	RL	S	859	90.91	14-Apr	14-Apr	34.36	4.0
f CHRISTOPHER ROBERT C	FID	RRR	S	500	8.30	n/a	17-Feb	0.00	0.0
TROUBH PART	067	RRR	B	10,000	8.31	n/a	17-Feb	500.00	5.0
VISIUM/BALY BOBBY	044	SBUX	B	15,000	24.60	n/a	7-Apr	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>SDS</b>	<b>S</b>	<b>500</b>	<b>29.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SFI</b>	<b>B</b>	<b>750</b>	<b>6.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>10,000</b>	<b>54.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEW JERSEY DIV OF INV.	030	SJM	S	20,000	62.20	n/a	n/a	800.00	4.0
PILOT ADV	242	STLD	B	75,000	18.25	n/a	n/a	2,250.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>S</b>	<b>1,228</b>	<b>6.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
MILLRACE FUND LP	028	SUP	S	10,000	16.50	n/a	1-Mar	400.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>10</b>	<b>0.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	030	TGT	S	50,000	56.54	n/a	9-Apr	2,000.00	4.0
EPOCH INV MGMT	030	TJX	B	50,000	46.25	n/a	9-Apr	1,500.00	3.0
COUGAR TRADING	044	TM	B	10,000	79.82	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	TRW	SS	10,000	32.23	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>10,000</b>	<b>22.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	VFC	SS	5,000	83.70	14-Apr	14-Apr	250.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	VFC	S	14,500	83.21	14-Apr	14-Apr	435.00	3.0
HUNTER GLOBAL INVESTOR	067	VLO	B	201,200	19.99	n/a	n/a	8,048.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>VRS</b>	<b>B</b>	<b>1000</b>	<b>4.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	WDR	S	12,000	38.09	n/a	2-Mar	600.00	5.0
CASEY CAPITAL	067	WRC	B	5,000	49.57	n/a	2-Mar	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	WSM	B	25,000	29.91	n/a	n/a	875.00	3.5
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>WWR</b>	<b>B</b>	<b>5</b>	<b>11.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASCOM HILL PARTNERS LLC	033	WYNN	SS	3,500	86.86	n/a	14-Apr	105.00	3.0
COHE & STEERS	041	WY	S	105,205	46.98	n/a	26-Mar	4,208.20	4.0
DIAMONDBACK CAP MGMT	232	XLF	C	30,150	16.85	n/a	n/a	904.50	3.0
JP MORGAN VENTURES	046	XRT	SS	11,600	43.28	n/a	n/a	348.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>ZINC</b>	<b>B</b>	<b>200</b>	<b>12.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>ZLC</b>	<b>S</b>	<b>1500</b>	<b>3.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>90,493.51</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/13	SAC CAPITAL/M GRONET	030	GPS	B	20,000	24.98	n/a	n/a	700.00 3.5
AO,	04/13	SAC CAPITAL/M GRONET	030	M	B	10,000	23.24	n/a	9-Apr	350.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,050.00</b>

TOTAL (Trade Date):	90,493.51
TOTAL (AO, CXL, CRT):	1,050.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>91,543.51</b>
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MRI Securities with Trade Activity on 14-Apr.  
**JNY, RL, VFC**

MRI Securities without Trade Activity on 14-Apr.  
**PVH**

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)**