



# Daily Compliance Activity Report

Trade Date: 04/05/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>ACUZ</b>	<b>B</b>	<b>1415</b>	<b>1.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>40,000</b>	<b>19.01</b>	<b>n/a</b>	<b>31-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>AMG</b>	<b>S</b>	<b>15</b>	<b>5.50</b>	<b>n/a</b>	<b>2-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>30,000</b>	<b>47.86</b>	<b>n/a</b>	<b>31-Mar</b>	<b>non-brg</b>	<b>4.0</b>
BNP PARIBAS SEC	040	AN	S	40,000	18.30	n/a	1-Apr	1,600.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>APC</b>	<b>B</b>	<b>20,000</b>	<b>74.71</b>	<b>n/a</b>	<b>1-Apr</b>	<b>non-brg</b>	<b>4.0</b>
GALT INVESTMENT	041	BBY	S	25,000	43.00	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>B</b>	<b>40,000</b>	<b>37.04</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	BJ	S	10,000	37.00	n/a	n/a	400.00	4.0
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>BKRS</b>	<b>B</b>	<b>2500</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>BKRS</b>	<b>B</b>	<b>4000</b>	<b>2.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	BONT	B	10,000	13.88	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	BZ	S	90,000	6.62	n/a	n/a	2,700.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>COLM</b>	<b>C</b>	<b>10,000</b>	<b>54.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>COP</b>	<b>B</b>	<b>1500</b>	<b>53.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	COP	B	500	53.12	n/a	n/a	0.00	0.0
	SUN AMERICA ASSET MGMT	030	CVS	B	2,000	35.98	n/a	n/a	80.00	4.0
f	KAREN F LEDDY	FID	DPTR	B	7500	1.50	n/a	n/a	0.00	0.0
	THE JAY GOLDMAN	028	FDO	S	15,000	37.34	n/a	4-Mar	600.00	4.0
B	BUCK CAPITAL MGMT		FINL	S	10,000	17.34	n/a	n/a	non-brg	4.0
	TIBURION CAP MGMT	025	FOR	B	8,900	19.09	n/a	26-Mar	445.00	5.0
B	BUCK CAPITAL MGMT		GENZ	C	29,912	52.55	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		HAL	B	60,000	31.42	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT B	FID	HAL	B	500	31.92	n/a	n/a	0.00	0.0
f	LBP ENTERPRISES INC	FID	HAL	B	1000	31.93	n/a	n/a	0.00	0.0
f	LEE F BACKUS	FID	HAL	B	1000	31.92	n/a	n/a	0.00	0.0
f	SNEJANA P GARFUNKEL	FID	HAL	B	500	31.93	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		HTZ	B	20,000	10.78	n/a	n/a	non-brg	4.0
	CASTLE ARK	031	ICE	S	98,560	110.57	n/a	n/a	5,913.60	6.0
	ARMATURE CAPITAL	041	IP	SS	10,000	25.49	n/a	26-Mar	400.00	4.0
f	ABRAM M CHAPPELL	FID	IR	B	60	36.32	n/a	16-Feb	0.00	0.0
f	MICHAEL THOMAS NOLAN	FID	IR	B	300	36.31	n/a	16-Feb	0.00	0.0
f	MICHAEL THOMAS NOLAN	FID	IR	S	350	35.75	n/a	16-Feb	0.00	0.0
	RBC CAPITAL MARKETS	040	JBHT	B	10,000	35.63	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>B</b>	<b>100,000</b>	<b>33.63</b>	<b>n/a</b>	<b>31-Mar</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	JCP	B	10,000	33.44	n/a	31-Mar	500.00	5.0
GREEN ARROW DOUG	040	JCP	B	25,000	33.65	n/a	31-Mar	1,250.00	5.0
SUN AMERICA ASSET MGMT	030	KO	S	1,400	54.80	n/a	18-Mar	56.00	4.0
EXIS CAPITAL	044	KSS	B	10,000	57.17	n/a	31-Mar	500.00	5.0
OZ MGMT	040	LEA	S	39,311	79.97	n/a	25-Mar	1,179.33	3.0
RBC CAPITAL MARKETS	040	LEA	B	10,000	80.30	n/a	25-Mar	400.00	4.0
THE JAY GOLDMAN	028	MAR	S	10,000	32.35	n/a	n/a	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MA</b>	<b>S</b>	<b>300</b>	<b>255.87</b>	<b>n/a</b>	<b>19-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>MA</b>	<b>S</b>	<b>100</b>	<b>255.82</b>	<b>n/a</b>	<b>19-Feb</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	MDP	S	10,000	35.14	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	MW	S	51,073	24.07	n/a	n/a	2,042.92	4.0
US BANCORP	030	MYL	B	275,625	23.55	n/a	5-Apr	13,781.25	5.0
EXIS CAPITAL	044	M	B	20,000	22.40	n/a	31-Mar	1,000.00	5.0
THE JAY GOLDMAN	028	M	B	25,000	22.37	n/a	31-Mar	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NBD CN</b>	<b>B</b>	<b>25,000</b>	<b>15.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NBD CN</b>	<b>B</b>	<b>50,000</b>	<b>16.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MISSION POINT	048	NOC	B	3,325	66.41	n/a	1-Mar	166.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>NP</b>	<b>S</b>	<b>300</b>	<b>17.05</b>	<b>n/a</b>	<b>26-Mar</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	ODP	B	100,000	8.22	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	PAG	S	10,149	15.66	n/a	23-Mar	405.96	4.0
WESLEY CAPITAL	029	PCL	B	15,000	39.68	n/a	26-Mar	600.00	4.0
GALT INVESTMENT	041	PLCE	S	5,059	45.75	n/a	22-Mar	252.95	5.0
SCOPUS FUND	041	PVH	B	2,500	59.75	n/a	23-Mar	125.00	5.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>RUTH</b>	<b>B</b>	<b>5000</b>	<b>5.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WESLEY CAPITAL	029	RYN	B	20,000	46.54	n/a	26-Mar	800.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SFI</b>	<b>B</b>	<b>1000</b>	<b>4.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	SKX	SS	10,000	37.10	n/a	n/a	500.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>SOKE</b>	<b>S</b>	<b>425</b>	<b>4.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SPG</b>	<b>S</b>	<b>15</b>	<b>2.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	SPLS	SS	50,000	23.69	n/a	n/a	2,000.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>500</b>	<b>118.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>S</b>	<b>782</b>	<b>6.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>

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<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SWN</b>	<b>B</b>	<b>100</b>	<b>42.51</b>	<b>n/a</b>	<b>1-Apr</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	TGT	S	7,582	53.82	n/a	31-Mar	303.28	4.0
SCHOTTENFELD ASSOC	041	TIN	S	24,900	21.45	n/a	26-Mar	747.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TLB</b>	<b>B</b>	<b>200,000</b>	<b>13.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TLB</b>	<b>B</b>	<b>200,000</b>	<b>13.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TLB</b>	<b>B</b>	<b>50,000</b>	<b>14.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TLB</b>	<b>B</b>	<b>50,000</b>	<b>14.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	TM	SS	10,000	80.27	n/a	n/a	500.00	5.0
COUGAR TRADING	044	TM	S	5,000	80.54	n/a	n/a	250.00	5.0
KAILIX INV ADV	048	TRW	S	30,000	30.42	n/a	n/a	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>C</b>	<b>10,000</b>	<b>60.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>C</b>	<b>26,100</b>	<b>60.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>10,000</b>	<b>19.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PIONEER MICHAEL NOLAN	067	VRGY	S	82,100	11.55	n/a	n/a	2,463.00	3.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>VSTNQ</b>	<b>S</b>	<b>2400</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
UBS OCONNOR	031	WFC	B	240,000	31.55	n/a	30-Mar	7,200.00	3.0
BNP PARIBAS SEC	040	WMT	B	11,535	55.44	n/a	18-Feb	461.40	4.0
SCOPUS FUND	041	WMT	SS	25,000	55.56	n/a	18-Feb	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	WPP	S	42,910	8.90	n/a	n/a	1,716.40	4.0
RBC CAPITAL MARKETS	040	WYNN	B	5,000	79.61	n/a	1-Apr	200.00	4.0
PROSPECTOR PARTNERS LLC	036	XRX	B	10,000	10.11	n/a	n/a	400.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ZLC</b>	<b>B</b>	<b>3500</b>	<b>2.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>64,239.34</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/31	SENATOR INVESTMENT GROUP	036	CA	B	200,000	23.55	n/a	n/a	6000.00 3.0
AO,CXL	03/31	SENATOR INVESTMENT GROUP	036	CA	B	200,000	23.55	n/a	n/a	6000.00 3.0
AO,	04/01	SEVEN LOCKS CAPITAL	067	CCK	B	5,000	27.26	n/a	n/a	150.00 3.0
AO,CXL	04/01	ROSEDALE CAPITAL	046	EK	S	50,000	5.96	n/a	n/a	2500.00 5.0
AO,CRT	04/01	ROSEDALE CAPITAL	046	EK	S	50,000	5.96	n/a	n/a	1500.00 3.0
AO,	04/01	SEVEN LOCKS CAPITAL	067	LEA	B	5,000	80.28	n/a	25-Mar	150.00 3.0
AO,	04/01	BRIGADE CAPITAL MGMT	029	SVU	B	50,000	16.71	n/a	n/a	1500.00 3.0

**TOTAL (AO, CXL, CRT) :****800.00**

TOTAL (Trade Date) :

64,239.34

TOTAL (AO, CXL, CRT) :

800.00

**TOTAL (RUN DATE) / NFS:****65,039.34****MRI Securities with Trade Activity on 5-Apr.**  
**NONE**

MRI Securities without Trade Activity on 5-Apr.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 4%  
YTD = 14%



**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)**