



Daily Compliance Activity Report

Trade Date: 04/09/2010

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		ABG	B	35,000	13.60	n/a	26-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		ABG	B	5,000	13.68	n/a	26-Feb	non-brg	1.0
B BUCK CAPITAL MGMT		AEO	B	40,000	17.71	n/a	9-Apr	non-brg	4.0
MACKLOWE ASSET MGMT	041	AEO	B	35,000	17.68	n/a	9-Apr	1,400.00	4.0
METROPOLITAN CAPITAL	044	AEO	B	7,700	17.38	n/a	9-Apr	385.00	5.0
ROSEDALE CAPITAL	046	AEO	B	20,000	17.29	n/a	9-Apr	1,000.00	5.0
B BUCK CAPITAL MGMT		AN	B	20,000	18.32	n/a	1-Apr	non-brg	2.0
f JAMES H HLAVACEK II	FID	ATLS	S	58	37.64	n/a	n/a	0.00	0.0
TPG-AXON	040	BBT	C	446,000	33.79	n/a	n/a	22,300.00	5.0
BALYASNY ASSET MGMT	044	BBY	SS	35,000	44.38	n/a	n/a	1,750.00	5.0
KACELA CAPITAL	034	BKE	SS	15,000	37.62	n/a	n/a	600.00	4.0
WHALE ROCK CAP	030	BONT	B	92,480	15.29	n/a	n/a	3,699.20	4.0
NEW JERSEY DIV OF INV.	030	BRE	B	100,000	37.87	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		BYI	B	20,000	42.04	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BYI	B	40,000	42.00	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BZ	S	1000	6.97	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CAH	S	100	36.39	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	CCC	B	70	0.79	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	C	S	86,000	4.55	n/a	30-Mar	2,580.00	3.0
f DAVID GEORGE BUCK	FID	DB	B	500	77.24	n/a	n/a	0.00	0.0
MARINER/TRICADIA	041	DTG	B	33,900	36.14	n/a	n/a	1,695.00	5.0
f DAVID GEORGE BUCK	FID	EFA	B	1000	56.75	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.69	n/a	n/a	600.00	6.0
MERRILL ASSET/BLACKROCK	263	FL	B	9,400	15.09	n/a	26-Mar	376.00	4.0
BMO NESBITT BURNS	041	FRX	B	7,000	28.23	n/a	8-Apr	490.00	7.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	5000	1.00	n/a	n/a	0.00	0.0
TROUBH PART	067	F	B	50,000	12.70	n/a	5-Apr	2,500.00	5.0
B BUCK CAPITAL MGMT		GCO	S	30,000	31.65	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	GES	B	4,000	47.07	n/a	18-Mar	160.00	4.0
LEVIN CAPITAL STRATEGIES	012	GES	B	25,000	46.87	n/a	18-Mar	750.00	3.0
FIRST INV MGMT CO	029	GE	S	8,000	18.45	n/a	n/a	400.00	5.0
BMO NESBITT BURNS	041	GIL	B	7,000	27.76	n/a	22-Mar	280.00	4.0
GREEN ARROW DOUG	040	GME	B	21,777	23.20	n/a	n/a	653.31	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	GPS	B	20,000	24.79	n/a	n/a	1,000.00	5.0
f DAVID GEORGE BUCK	FID	GRT	S	7000	6.19	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	032	GYMB	B	5,950	52.99	n/a	9-Apr	297.50	5.0
SUN AMERICA ASSET MGMT	030	HI	B	12,952	23.67	n/a	n/a	518.08	4.0
f MARK DEVEREAUX KAICH	FID	HK	B	600	22.66	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	HSC	S	300	33.15	n/a	1-Feb	0.00	0.0
RAINIER INV MGMT	035	IRM	S	65,000	26.51	n/a	n/a	2,600.00	4.0
B BUCK CAPITAL MGMT		JNY	B	70,000	20.74	n/a	10-Feb	non-brg	4.0
BMO NESBITT BURNS	041	JWN	SS	4,000	42.40	9-Apr	9-Apr	160.00	4.0
FIRST INV MGMT CO	029	KG	S	70,000	12.16	n/a	5-Apr	3,500.00	5.0
NEW JERSEY DIV OF INV.	030	KRC	B	75,000	33.79	n/a	n/a	3,000.00	4.0
JP MORGAN VENTURES	046	KR	S	60,000	22.49	n/a	n/a	3,000.00	5.0
APEX CAPITAL MGMT.	261	KSS	B	100,000	56.74	9-Apr	9-Apr	4,000.00	4.0
BMO NESBITT BURNS	041	KSS	SS	3,000	56.77	9-Apr	9-Apr	120.00	4.0
GREEN ARROW DOUG	040	K	B	19,135	52.74	n/a	n/a	574.05	3.0
SIGMA CAPITAL ASSOCIATES	041	MAR	S	50,000	32.73	n/a	n/a	1,750.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T/SES PART	035	MGM	B	25,000	14.35	n/a	8-Apr	1,000.00	4.0
Õ Michael DiMattia		MON	B	100	68.75	n/a	7-Apr	0.00	0.0
SCHOTTENFELD ASSOC	041	MPEL	SS	25,000	5.51	n/a	1-Apr	750.00	3.0
f CHRISTOPHER ROBERT C	FID	MTG	S	350	11.99	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	032	MXB	B	8,325	36.16	n/a	n/a	416.25	5.0
BMO NESBITT BURNS	041	MYL	SS	4,000	22.55	n/a	5-Apr	280.00	7.0
BMO NESBITT BURNS	041	M	B	8,000	23.08	9-Apr	9-Apr	320.00	4.0
EXIS CAPITAL	044	M	B	10,000	22.65	9-Apr	9-Apr	500.00	5.0
EXIS CAPITAL	044	NDAQ	B	15,000	21.82	n/a	n/a	750.00	5.0
f ABRAM M CHAPPELL	FID	NX	B	115	17.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PAG	B	40,000	15.04	n/a	23-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		PIR	S	100,000	8.46	n/a	n/a	non-brg	3.0
BMO NESBITT BURNS	041	PKG	B	25,000	24.79	n/a	26-Mar	1,250.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	25,000	24.37	n/a	26-Mar	750.00	3.0
NEW JERSEY DIV OF INV.	030	PSB	B	19,000	56.41	n/a	n/a	760.00	4.0
BMO NESBITT BURNS	041	PVH	B	3,000	61.98	n/a	23-Mar	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	PVH	B	10,000	62.38	n/a	23-Mar	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	50,000	62.04	n/a	23-Mar	1,500.00	3.0
SCOPUS FUND	041	PVH	B	10,000	62.26	n/a	23-Mar	500.00	5.0
BMO NESBITT BURNS	041	RL	SS	2,000	89.36	n/a	23-Mar	80.00	4.0
B BUCK CAPITAL MGMT		RRGB	C	31,000	26.45	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	RRR	B	500	8.26	n/a	17-Feb	0.00	0.0
BALYASNY ASSET MGMT	044	RSH	B	50,000	23.10	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		SAH	B	40,000	12.12	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	SHW	B	25,000	71.11	n/a	31-Mar	875.00	3.5
GLOBAL 56 LLC	060	SIMG	B	2,500	3.20	n/a	n/a	125.00	5.0
METROPOLITAN CAPITAL	044	SKS	B	4,000	9.19	n/a	n/a	200.00	5.0
DSM CAPITAL PARTNERS	032	SLAB	B	5,840	50.02	n/a	n/a	292.00	5.0
PAULSON & CO INC	041	SNV	SS	400,000	3.38	n/a	n/a	8,000.00	2.0
SACC-SCHWARTZ	044	SPY	SS	50,000	119.16	n/a	n/a	1,750.00	3.5
f KAREN F LEDDY	FID	SRI	B	800	10.82	n/a	n/a	0.00	0.0
TPG-AXON	040	STI	C	175,000	28.41	n/a	n/a	8,750.00	5.0
B BUCK CAPITAL MGMT		SUMR	S	245	6.86	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	032	SYNA	S	30,285	28.86	n/a	n/a	1,514.25	5.0
f EDWARD W WHEELER	FID	TBAC	S	1896	3.92	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	TBL	S	500	21.77	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	TIN	B	10,000	22.26	n/a	26-Mar	400.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	66,500	21.82	n/a	26-Mar	2,660.00	4.0
METROPOLITAN CAPITAL	044	TJX	B	5,600	44.48	9-Apr	9-Apr	280.00	5.0
B BUCK CAPITAL MGMT		TLB	B	140,000	14.19	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	TM	B	5,000	80.17	n/a	n/a	250.00	5.0
KAILIX INV ADV	048	TXT	S	35,000	21.98	n/a	n/a	1,750.00	5.0
STELLIAM INV ADV	034	UNH	B	25,000	31.72	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	URI	B	45,000	10.15	n/a	n/a	2,250.00	5.0
MILLENIUM PARTNERS	028	URI	S	20,000	10.33	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	VFC	SS	2,000	82.69	n/a	12-Feb	80.00	4.0
f DAVID GEORGE BUCK	FID	VNO	B	1000	77.45	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	WBC	B	400	30.22	n/a	4-Feb	0.00	0.0
B BUCK CAPITAL MGMT		WMS	B	20,000	44.69	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WRC	B	4,000	47.63	n/a	2-Mar	160.00	4.0
CATAPULT	040	WTW	S	5,000	27.00	n/a	n/a	200.00	4.0
SCHOTTENFELD ASSOC	041	WY	B	35,000	46.18	n/a	26-Mar	1,050.00	3.0
SCHOTTENFELD ASSOC	041	WY	S	35,000	46.42	n/a	26-Mar	1,050.00	3.0
SCOPUS FUND	041	WY	B	25,000	47.06	n/a	26-Mar	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	XLB	SS	15,000	34.85	n/a	n/a	450.00	3.0
f MANNY I KORMAN	FID	XRK	B	10000	10.44	n/a	n/a	0.00	0.0
Ö Bob Efstathiou		XYZ	B	2000	10.00	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ZLC	S	4000	3.51	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								113,500.64	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/08	ISLE RIDGE PARTNERS	041	HOG	B	10,000	31.34	n/a	n/a	400.00 4.0
AO,CRT	04/08	MILLENIUM PARTNERS	041	HOG	B	10,000	31.34	n/a	n/a	400.00 4.0
AO,CXL	04/08	CATAPULT	040	MOS	B	10,000	57.60	n/a	n/a	500.00 5.0
AO,CRT	04/08	MILLENIUM PARTNERS	040	MOS	B	10,000	57.60	n/a	n/a	500.00 5.0
AO,	04/08	BASIX	033	USG	B	50,000	17.99	n/a	26-Mar	1500.00 3.0

TOTAL (AO, CXL, CRT) :	1,500.00
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TOTAL (Trade Date) :	113,500.64
TOTAL (AO, CXL, CRT) :	1,500.00

TOTAL (RUN DATE) / NFS:	115,000.64
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MRI Securities with Trade Activity on 9-Apr. JWN, KSS, M, TJX
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MRI Securities without Trade Activity on 9-Apr. SMG, ANF

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

T-Date = 0%
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)