



Daily Compliance Activity Report

Trade Date: 04/12/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	SS	5,000	17.93	n/a	9-Apr	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	SS	25,000	17.67	n/a	9-Apr	875.00	3.5
f JONATHAN RICHARD HAR	FID	ALN	S	1200	3.58	n/a	n/a	0.00	0.0
CATAPULT	040	ARM	S	25,000	14.93	n/a	n/a	1,000.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ARO	S	8,508	30.36	n/a	9-Apr	170.16	2.0
f JASON ERIC COHEN	FID	AVY	B	4	0.75	n/a	5-Mar	0.00	0.0
f JASON ERIC COHEN	FID	AVY	S	1	3.70	n/a	5-Mar	0.00	0.0
f CICILY S BACKUS	FID	AXL	S	1000	10.77	n/a	8-Feb	0.00	0.0
f LBP ENTERPRISES INC	FID	AXL	S	1000	10.77	n/a	8-Feb	0.00	0.0
f LEE F BACKUS	FID	AXL	S	1000	10.77	n/a	8-Feb	0.00	0.0
f SNEJANA P GARFUNKEL	FID	AXL	S	1000	10.76	n/a	8-Feb	0.00	0.0
f SNEJANA P GARFUNKEL	FID	AXL	S	1000	10.76	n/a	8-Feb	0.00	0.0
RWC PARTNERS LTD	067	BBBY	B	173,000	45.75	n/a	n/a	5,190.00	3.0
RWC PARTNERS LTD	067	BBY	S	36,300	45.43	n/a	n/a	1,089.00	3.0
ST OF MICHIAN	047	BBY	B	200,000	45.28	n/a	n/a	6,000.00	3.0
KAILIX INV ADV	048	BHI	B	25,000	49.28	n/a	n/a	1,250.00	5.0
WHALE ROCK CAP	030	BONT	B	93,748	15.68	n/a	n/a	3,749.92	4.0
ARMATURE CAPITAL	041	BWA	S	12,000	38.63	n/a	12-Feb	480.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	CBE	B	131,000	47.85	n/a	26-Mar	3,930.00	3.0
CRAMER ROSENTHAL/SCOTT	012	CBE	S	103,365	47.74	n/a	26-Mar	4,134.60	4.0
B BUCK CAPITAL MGMT		CRI	B	20,000	31.46	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	DB	S	1500	79.25	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	DCP	S	263,973	17.42	n/a	n/a	13,198.65	5.0
LEVIN CAPITAL STRATEGIES	012	DD	B	30,000	38.72	n/a	31-Mar	900.00	3.0
B BUCK CAPITAL MGMT		DECK	C	15,000	136.89	n/a	n/a	non-brg	4.0
COLUMBUS CIRCLE	036	DE	B	5,700	62.17	n/a	18-Feb	228.00	4.0
JP MORGAN VENTURES	046	DF	B	15,000	16.89	n/a	n/a	750.00	5.0
MARINER/TRICADIA	041	DTG	B	10,000	36.08	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.72	n/a	n/a	1,200.00	6.0
HARBORWATCH/DIAMBACK	232	ETN	SS	10,000	79.94	n/a	6-Apr	500.00	5.0
f JOHN BARTMAN COLE	FID	ETREFF	S	1000	0.89	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FNKXX	B	881650	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO	S	40,000	32.49	n/a	n/a	non-brg	4.0
M&I FUNDS	047	GES	B	5,035	47.12	n/a	18-Mar	201.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	GE	B	5,000	18.79	n/a	n/a	200.00	4.0
JETSTREAM GLOBAL FUND LP	065	GE	S	263,700	18.73	n/a	n/a	13,185.00	5.0
KLEINHEINZ CAP PART	031	GE	B	40,000	18.75	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		GIII	S	5,000	28.15	n/a	n/a	non-brg	0.8
f DAVID GEORGE BUCK	FID	GPY	S	10	3.20	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	GYMB	B	20,000	52.89	n/a	9-Apr	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	HES	B	6,600	65.36	n/a	n/a	264.00	4.0
JP MORGAN VENTURES	046	HRB	B	1,000	18.32	n/a	n/a	50.00	5.0
TRUST CO/COWEN/CALF.	040	HRB	S	416,630	18.45	n/a	n/a	16,665.20	4.0
BASCOM HILL PARTNERS LLC	033	HTLD	SS	10,000	16.00	n/a	n/a	300.00	3.0
RAINIER INV MGMT	035	IRM	S	111,000	26.50	n/a	n/a	4,440.00	4.0
ISLE RIDGE PARTNERS	041	KO	B	30,000	54.74	n/a	18-Mar	1,200.00	4.0
SAC CAPITAL/M GRONET	030	KSS	SS	10,000	56.20	n/a	9-Apr	350.00	3.5
f EDWARD W WHEELER	FID	LPX	B	150	3.20	n/a	26-Mar	0.00	0.0
SCOPUS FUND	041	LPX	B	25,000	10.70	n/a	26-Mar	1,250.00	5.0
BALYASNY ASSET MGMT	044	LTD	S	30,000	26.87	n/a	n/a	1,500.00	5.0
DIAMONDBACK CAP MGMT	232	LTD	S	100,000	26.75	n/a	n/a	5,000.00	5.0
SCOPUS FUND	041	LTD	B	150,000	26.68	n/a	n/a	7,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ST OF MICHIAN	047	LTD	B	300,000	26.86	n/a	n/a	9,000.00	3.0
BALYASNY ASSET MGMT	044	LUV	C	75,000	13.37	n/a	n/a	3,750.00	5.0
CIRCLE T/SES PART	035	LVS	S	25,000	24.69	12-Apr	12-Apr	1,000.00	4.0
FIRST NY SEC/CHRIS	041	LVS	B	10,000	24.29	12-Apr	12-Apr	500.00	5.0
TROUBH PART	067	LVS	SS	25,000	24.28	12-Apr	12-Apr	1,250.00	5.0
ISLE RIDGE PARTNERS	041	MCD	B	25,000	68.54	n/a	7-Apr	1,000.00	4.0
B BUCK CAPITAL MGMT		MFB	S	10,000	21.68	n/a	n/a	non-brg	4.0
SAC CAPITAL/M GRONET	030	MHK	B	8,000	56.44	n/a	n/a	280.00	3.5
f CHRISTOPHER ROBERT C	FID	MPEL	S	1000	5.42	n/a	1-Apr	0.00	0.0
JP MORGAN VENTURES	046	MSFT	B	11,100	30.32	n/a	n/a	555.00	5.0
f DAVID S HOCHSTIM	FID	MS	B	2000	30.81	n/a	30-Mar	0.00	0.0
DELTEC ASSET MGMT.	040	MTW	S	10,500	15.15	n/a	5-Feb	525.00	5.0
EXIS CAPITAL	044	M	B	15,000	23.29	n/a	9-Apr	750.00	5.0
f JOHN BARTMAN COLE	FID	NBRXF	B	500	17.48	n/a	n/a	0.00	0.0
PRIMECAP MGMT	048	NVDA	B	60,000	17.33	n/a	n/a	3,000.00	5.0
JP MORGAN VENTURES	046	ONXX	S	7,200	29.95	n/a	n/a	360.00	5.0
EXIS CAPITAL	044	PALM	SS	25,000	6.08	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ISLE RIDGE PARTNERS	041	PEP	S	15,000	66.49	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		PFCB	C	30,000	47.60	n/a	7-Apr	non-brg	4.0
DECADE CAPITAL PARTNERS	040	PFCB	SS	12,600	47.60	n/a	7-Apr	504.00	4.0
JP MORGAN VENTURES	046	PFE	S	25,000	17.28	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	PLT	S	12,210	31.64	n/a	n/a	488.40	4.0
JP MORGAN VENTURES	046	PRI	S	35,000	24.28	n/a	n/a	1,750.00	5.0
NEW JERSEY DIV OF INV.	030	PSB	B	31,000	56.96	n/a	n/a	1,240.00	4.0
B BUCK CAPITAL MGMT		PSS	B	30,000	22.81	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	PVH	S	510	22.40	n/a	23-Mar	0.00	0.0
FIRST NEW YORK NICK	029	Q	S	30,000	5.39	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		RRGB	C	50,905	28.02	n/a	n/a	non-brg	4.0
DECADE CAPITAL PARTNERS	040	SBUX	B	24,500	24.36	n/a	7-Apr	980.00	4.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	53.65	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	SPY	S	50,000	26.66	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		SUMR	S	11,516	6.81	n/a	n/a	non-brg	3.0
COUGAR TRADING	044	TAST	B	20,000	7.28	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	TBT	B	89	48.38	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TJX	S	10,000	45.25	n/a	9-Apr	non-brg	4.0
EPOCH INV MGMT	030	TJX	B	28,100	45.24	n/a	9-Apr	843.00	3.0
B BUCK CAPITAL MGMT		TLB	B	50,000	14.37	n/a	n/a	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	T	B	185,000	26.59	n/a	n/a	7,400.00	4.0
B BUCK CAPITAL MGMT		UAUA	S	40,000	21.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VLCM	C	20,000	21.40	n/a	n/a	non-brg	4.0
PIONEER MICHAEL NOLAN	067	VRGY	S	47,452	11.64	n/a	n/a	1,423.56	3.0
f COLE THOMAS KAICHER	FID	WNC	S	437	8.50	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	WNC	S	500	8.08	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	10,000	48.29	n/a	2-Mar	non-brg	4.0
HIGHBRIDGE CAP	041	WY	B	4,800	46.07	n/a	26-Mar	192.00	4.0
KAILIX INV ADV	048	WY	B	10,000	46.00	n/a	26-Mar	500.00	5.0
WESLEY CAPITAL	029	WY	B	37,500	46.17	n/a	26-Mar	1,500.00	4.0
f STEFFANIE CARMELA CA	FID	XOHO	S	500	0.70	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							146,191.89		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/09	GLOBAL 56 LLC	060	SIMG	B	2,500	3.20	n/a	n/a	75.00 3.0
AO,CXL	04/09	GLOBAL 56 LLC	060	SIMG	B	2,500	3.20	n/a	n/a	125.00 5.0
AO,CRT	04/07	GRUBER MACBAINE	033	WEN	S	25,000	5.23	n/a	7-Apr	750.00 3.0
AO,CXL	04/07	GRUBER MACBAINE	033	WEN	S	25,000	5.23	n/a	7-Apr	1000.00 4.0
TOTAL (AO, CXL, CRT) :										-300.00

TOTAL (Trade Date) :	146,191.89
TOTAL (AO, CXL, CRT) :	-300.00

TOTAL (RUN DATE) / NFS :	145,891.89
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MRI Securities with Trade Activity on 12-Apr.

LVS

MRI Securities without Trade Activity on 12-Apr.

AXE

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)