



# Daily Compliance Activity Report

Trade Date: 04/23/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> JASON ERIC COHEN	FID	AAPL	S	2	270.57	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	AAPL	S	40,000	271.28	n/a	n/a	2,000.00	5.0
<b>f</b> KAREN F LEDDY	FID	ACUZW	B	10000	0.21	n/a	n/a	0.00	0.0
<b>f</b> HARALAMBOS EFSTATHI	FID	ACUZ	B	5000	1.40	n/a	n/a	0.00	0.0
<b>f</b> JONATHAN RICHARD HAR	FID	ACUZ	B	2500	1.40	n/a	n/a	0.00	0.0
<b>f</b> KAREN F LEDDY	FID	ACUZ	B	20000	1.40	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	AOL	S	20,000	28.26	n/a	n/a	1,000.00	5.0
LOMBARDIA CAP MGMT	048	ARCC	B	21,192	16.19	n/a	n/a	1,059.60	5.0
<b>B</b> BUCK CAPITAL MGMT		ARO	B	30,000	31.72	n/a	9-Apr	non-brg	4.0
EXIS CAPITAL	044	ARO	B	5,000	31.74	n/a	9-Apr	250.00	5.0
<b>f</b> HARALAMBOS EFSTATHI	FID	ATLS	S	400	37.67	n/a	n/a	0.00	0.0
<b>f</b> ALEX JOSEPH DEFILIPP	FID	AVY	B	200	38.82	n/a	5-Mar	0.00	0.0
<b>f</b> JILL ROSENBERG	FID	AVY	B	200	38.81	n/a	5-Mar	0.00	0.0
<b>f</b> VICTORIA JEAN DEFILI	FID	AVY	B	200	38.83	n/a	5-Mar	0.00	0.0
METROPOLITAN CAPITAL	044	AXL	S	38,500	11.67	n/a	20-Apr	1,925.00	5.0
STATE TEACHERS RET SYS	047	BAX	S	100,000	49.52	n/a	n/a	5,000.00	5.0
SAC TRADING TOM LEDDY	035	BBY	B	115,000	48.31	n/a	n/a	4,025.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STATE TEACHERS RET SYS	047	BGC	S	70,000	29.61	n/a	n/a	3,500.00	5.0
TRUSTCO/SUNTRUST	040	BHI	S	19,450	53.82	n/a	n/a	758.55	3.9
KACELA CAPITAL	034	BWA	B	35,000	41.11	23-Apr	23-Apr	1,400.00	4.0
STATE TEACHERS RET SYS	047	BX	B	25,000	14.94	n/a	n/a	1,250.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	BZ	B	33,800	7.00	n/a	n/a	1,352.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>S</b>	<b>10,000</b>	<b>6.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
EXIS CAPITAL	044	CAKE	B	30,000	29.40	23-Apr	23-Apr	1,500.00	5.0
WEISS PECK	040	CAKE	SS	10,500	28.99	23-Apr	23-Apr	525.00	5.0
JP MORGAN VENTURES	046	CEPH	B	10,000	65.19	n/a	22-Apr	500.00	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>CMCSA</b>	<b>B</b>	<b>500</b>	<b>18.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CNK</b>	<b>S</b>	<b>20,000</b>	<b>18.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>S</b>	<b>40,000</b>	<b>43.25</b>	<b>n/a</b>	<b>21-Apr</b>	<b>non-brg</b>	<b>4.0</b>
LEVEL GLOBAL SHARED ACCT	257	COH	C	100,000	43.49	n/a	21-Apr	3,000.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>COP</b>	<b>B</b>	<b>1200</b>	<b>57.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>10,000</b>	<b>33.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>10,000</b>	<b>33.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>30,000</b>	<b>33.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B	BUCK CAPITAL MGMT		CRI	B	30,000	33.17	n/a	n/a	non-brg 0.8
B	BUCK CAPITAL MGMT		CRI	B	30,000	33.28	n/a	n/a	non-brg 4.0
	KADE CAPITAL LLC	036	CRI	S	12,500	33.50	n/a	n/a	625.00 5.0
	LEVEL GLOBAL SHARED ACCT	257	CRI	B	200,000	33.42	n/a	n/a	6,000.00 3.0
	WEINTRAUB CAPITAL MGT.	040	CRI	S	20,000	33.35	n/a	n/a	800.00 4.0
B	BUCK CAPITAL MGMT		CSTR	S	30,000	36.80	n/a	n/a	non-brg 4.0
	RAINIER INV MGMT	035	CTB	S	13,100	21.61	n/a	n/a	524.00 4.0
f	JASON ERIC COHEN	FID	CVGI	S	200	9.74	n/a	n/a	0.00 0.0
f	JOSEPH CIRO AMATURO	FID	CVGI	B	2000	9.71	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		CWTR	S	50,000	8.62	n/a	n/a	non-brg 3.0
	CR INTRINIC INVESTMENT	044	CYH	B	25,000	41.00	n/a	n/a	875.00 3.5
f	HARALAMBOS EFSTATHI	FID	CYPB	S	1200	5.08	n/a	n/a	0.00 0.0
	SANDLER O'NEILL ASSET	031	C	S	50,000	4.90	n/a	19-Apr	1,000.00 2.0
	NEWLAND CAPITAL MGT	067	DAN	S	10,000	13.44	n/a	20-Apr	400.00 4.0
	LEVEL GLOBAL SHARED ACCT	257	DKS	B	200,000	30.25	n/a	9-Mar	6,000.00 3.0
	GREEN ARROW DOUG	040	DLM	SS	20,000	15.79	n/a	n/a	1,000.00 5.0
	RBC CAPITAL MARKETS	040	DLTR	B	10,000	62.58	n/a	24-Feb	400.00 4.0
B	BUCK CAPITAL MGMT		EL	B	30,000	69.33	n/a	19-Apr	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	EXP	B	200	33.48	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	EXP	S	200	33.10	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAS	S	500	111.61	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	B	5000	11.06	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	FII	B	4,400	25.50	n/a	2-Mar	220.00	5.0
B BUCK CAPITAL MGMT		FL	S	20,000	16.42	n/a	14-Apr	non-brg	4.0
LISTED ERR	099	FMR	S	2	13.64	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	S	250	14.00	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	FSLXX	B	3493	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO	S	25,000	34.37	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	S	50,000	34.36	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	GIII	B	100	29.05	n/a	n/a	5.00	5.0
B BUCK CAPITAL MGMT		GIL	B	30,000	29.75	n/a	22-Mar	non-brg	4.0
CASTLEROCK	040	GPS	S	392,815	25.97	n/a	n/a	15,712.60	4.0
f ALEXANDRA ELISE ZOLI	FID	GS	B	35	159.56	n/a	20-Apr	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GS	B	100	159.50	n/a	20-Apr	0.00	0.0
FIRST NY SEC/CHRIS	041	HD	SS	10,000	36.11	n/a	23-Feb	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	HD	S	2,768	36.10	n/a	23-Feb	110.72	4.0
CRAMER ROSENTHAL/SCOTT	012	HES	S	177,800	64.17	n/a	n/a	7,112.00	4.0
DAVIDSON INV ADV	035	HLF	B	32,760	48.08	n/a	n/a	1,310.40	4.0
EXIS CAPITAL	044	HWD	B	10,000	10.04	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	IMA	S	7,040	37.04	n/a	n/a	281.60	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	45,000	28.62	n/a	19-Apr	2,250.00	5.0
BALYASNY ASSET MGMT	044	IR	B	25,000	36.60	23-Apr	23-Apr	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JACK</b>	<b>S</b>	<b>20,000</b>	<b>24.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCHOTTENFELD ASSOC	041	JBHT	B	3,600	37.22	n/a	n/a	180.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JCG</b>	<b>S</b>	<b>20,000</b>	<b>48.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ADAGE CAPITAL MGMT	030	JCP	B	200,000	31.72	n/a	21-Apr	6,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>B</b>	<b>40,000</b>	<b>22.84</b>	<b>n/a</b>	<b>14-Apr</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	JNY	B	12,500	22.78	n/a	14-Apr	625.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>10,000</b>	<b>64.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>JPM</b>	<b>B</b>	<b>1500</b>	<b>44.83</b>	<b>n/a</b>	<b>15-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f LBP ENTERPRI SES INC</b>	<b>FID</b>	<b>JPM</b>	<b>B</b>	<b>1000</b>	<b>44.88</b>	<b>n/a</b>	<b>15-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f SNEJANA P GARFUNKEL</b>	<b>FID</b>	<b>JPM</b>	<b>B</b>	<b>500</b>	<b>44.84</b>	<b>n/a</b>	<b>15-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>S</b>	<b>50,000</b>	<b>45.38</b>	<b>n/a</b>	<b>9-Apr</b>	<b>non-brg</b>	<b>4.0</b>
BMO NESBITT BURNS	041	KG	S	10,000	10.45	n/a	23-Apr	1,000.00	10.0
DSG CAPITAL	225	KG	B	50,000	10.66	n/a	23-Apr	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>S</b>	<b>50,000</b>	<b>58.01</b>	<b>n/a</b>	<b>9-Apr</b>	<b>non-brg</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	LEA	B	5,500	83.41	n/a	20-Apr	275.00	5.0
OZ MGMT	040	LEA	B	7,500	83.36	n/a	20-Apr	225.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>S</b>	<b>24,700</b>	<b>21.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KENNEDY CAPITAL	046	LIZ	S	170,601	9.13	n/a	7-Oct	5,118.03	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LLY</b>	<b>B</b>	<b>1000</b>	<b>34.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LL</b>	<b>S</b>	<b>30,000</b>	<b>31.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>LMI</b>	<b>S</b>	<b>500</b>	<b>35.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	LOW	B	70,000	27.83	n/a	22-Feb	3,500.00	5.0
HIGHBRIDGE CAP	041	LOW	S	3,764	27.99	n/a	22-Feb	150.56	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	12.48	n/a	19-Apr	2,500.00	5.0
KENNEDY CAPITAL	046	LPX	B	20,000	12.78	n/a	19-Apr	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>50,000</b>	<b>28.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MAR</b>	<b>S</b>	<b>1500</b>	<b>37.02</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.	
<b>B BUCK CAPITAL MGMT</b>		<b>MFB</b>	<b>S</b>	<b>20,000</b>	<b>23.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	MGM	S	10,000	16.09	n/a	15-Apr	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MHS</b>	<b>B</b>	<b>15</b>	<b>0.79</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>MPEL</b>	<b>B</b>	<b>1000</b>	<b>5.01</b>	<b>n/a</b>	<b>14-Apr</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	MSFT	B	20,080	31.10	n/a	n/a	1,004.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAWW</b>	<b>SS</b>	<b>127,442</b>	<b>103.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>10.3</b>
DIAMONDBACK CAP MGMT	232	MS	B	25,000	31.86	n/a	21-Apr	1,250.00	5.0
ELM RIDGE ADVISORS	044	M	S	155,000	24.61	n/a	9-Apr	6,200.00	4.0
EXIS CAPITAL	044	M	B	20,000	24.49	n/a	9-Apr	1,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	M	B	265,600	24.57	n/a	9-Apr	7,968.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>40,000</b>	<b>6.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f SNEJANA P GARFUNKEL</b>	<b>FID</b>	<b>OCR</b>	<b>S</b>	<b>1000</b>	<b>29.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>B</b>	<b>50,000</b>	<b>16.34</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>4.0</b>
GREEN ARROW DOUG	040	PAG	B	35,000	16.29	n/a	20-Apr	1,750.00	5.0
ELM RIDGE ADVISORS	044	PCL	S	70,320	42.96	n/a	19-Apr	2,812.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>S</b>	<b>25,000</b>	<b>9.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>S</b>	<b>25,000</b>	<b>9.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>

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<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>20,000</b>	<b>48.77</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>4.0</b>
EMERSON CAPITAL MGMT	048	POOL	S	5,200	25.45	n/a	n/a	208.00	4.0
MFP INVESTORS	032	PPC	S	32,300	12.70	n/a	n/a	1,615.00	5.0
JP MORGAN VENTURES	046	PRI	S	20,000	24.45	n/a	n/a	1,000.00	5.0
LAGRANGE CAP ADV	048	PSS	SS	10,000	25.90	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>40,000</b>	<b>67.86</b>	<b>n/a</b>	<b>21-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>QKLS</b>	<b>S</b>	<b>20,000</b>	<b>6.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>S</b>	<b>30,000</b>	<b>94.70</b>	<b>n/a</b>	<b>14-Apr</b>	<b>non-brg</b>	<b>4.0</b>
STATE TEACHERS RET SYS	047	ROP	B	12,600	63.12	n/a	n/a	630.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>20,000</b>	<b>33.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SPG</b>	<b>B</b>	<b>1000</b>	<b>88.72</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>SPY</b>	<b>S</b>	<b>1000</b>	<b>120.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GREEN ARROW DOUG	040	SWK	B	5,000	62.63	n/a	n/a	250.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SWN</b>	<b>S</b>	<b>100</b>	<b>42.88</b>	<b>n/a</b>	<b>1-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TBT</b>	<b>S</b>	<b>107</b>	<b>47.45</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.	
<b>B</b> BUCK CAPITAL MGMT		<b>TGT</b>	<b>S</b>	<b>20,000</b>	<b>57.30</b>	<b>n/a</b>	<b>21-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>TJX</b>	<b>S</b>	<b>20,000</b>	<b>47.73</b>	<b>n/a</b>	<b>9-Apr</b>	<b>non-brg</b>	<b>4.0</b>
CASTLE ARK	031	TJX	S	80,190	47.89	n/a	9-Apr	4,811.40	6.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>TLB</b>	<b>B</b>	<b>800</b>	<b>16.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	TM	B	5,000	77.76	n/a	n/a	250.00	5.0
SONTERRA CAP	041	TSO	B	80,000	13.00	n/a	n/a	3,200.00	4.0
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>UA</b>	<b>B</b>	<b>300</b>	<b>35.10</b>	<b>n/a</b>	<b>14-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>URBN</b>	<b>S</b>	<b>50,000</b>	<b>40.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	067	VMC	S	5,000	56.60	n/a	n/a	200.00	4.0
CATAPULT	040	VMED	B	50,000	18.64	n/a	n/a	0.00	0.0
CONIFER/ISF	025	VZ	S	6,000	28.93	n/a	n/a	300.00	5.0
HUNTER GLOBAL INVESTOR	067	WCC	B	119,300	41.96	n/a	n/a	5,965.00	5.0
LEVEL GLOBAL SHARED ACCT	257	WMT	SS	250,000	54.40	n/a	16-Apr	7,500.00	3.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>3000</b>	<b>8.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVEL GLOBAL SHARED ACCT	257	WRC	B	100,000	51.88	n/a	2-Mar	3,000.00	3.0
CAXTON PART	040	WY	S	70,406	52.96	n/a	19-Apr	2,464.22	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	XHB	SS	5,700	19.87	n/a	n/a	285.00	5.0
5 BUCK CAPITAL MGMT		XRT	SS	25,000	44.69	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):							152,358.48		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/22	ROSEDALE CAPITAL	046	AXL	S	20,000	11.36	n/a	20-Apr	800.00 4.0
AO,CXL	04/22	ROSEDALE CAPITAL	046	AXL	S	20,000	11.36	n/a	20-Apr	1000.00 5.0
AO,CXL	04/21	FARALLON CAP MGMT	040	JOE	SS	83,400	35.82	n/a	n/a	3336.00 4.0
AO,CRT	04/21	FARALLON CAP MGMT	040	JOE	SS	83,400	35.82	n/a	n/a	3336.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-200.00</b>

TOTAL (Trade Date) :	152,358.48
TOTAL (AO, CXL, CRT) :	-200.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>152,158.48</b>
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MRI Securities with Trade Activity on 23-Apr.  
**BWA, CAKE, IR**

MRI Securities without Trade Activity on 23-Apr.  
**RTN, RRR, NTRS, AXP**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 11%



**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)**