



# Daily Compliance Activity Report

Trade Date: 04/05/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	ABD	S	25,000	10.13	n/a	n/a	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	ADP	S	1,887	51.82	n/a	n/a	75.48	4.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>AGQ</b>	<b>B</b>	<b>50</b>	<b>234.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	ANF	B	21,000	63.12	n/a	14-Mar	630.00	3.0
BUCK CAPITAL MGMT	001	ANF	S	80,000	66.12	n/a	14-Mar	2,400.00	3.0
<b>B</b> BUCK CAPITAL MGMT		ANF	S	20,000	64.03	n/a	14-Mar	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		ANF	S	20,000	65.71	n/a	14-Mar	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		ANF	S	20,000	65.71	n/a	14-Mar	non-brg	4.0
SUN AMERICA ASSET MGMT	030	APD	B	23,410	90.95	n/a	8-Mar	936.40	4.0
<b>B</b> BUCK CAPITAL MGMT		ASNA	S	10,000	33.12	n/a	n/a	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		ASNA	S	40,000	32.80	n/a	n/a	non-brg	4.0
STRONG/MARK GRONET	030	ASTI	S	58,665	1.77	n/a	n/a	586.65	1.0
NEWLAND CAPITAL MGT	025	AUY	B	25,000	12.50	n/a	n/a	1,000.00	4.0
COBALT	041	AVY	SS	50,000	42.09	n/a	10-Mar	2,000.00	4.0
MERRILL ASSET/BLACKROCK	266	BACWSA	S	1,493	7.62	n/a	n/a	59.72	4.0
SUN AMERICA ASSET MGMT	030	BAX	S	39,581	54.14	n/a	n/a	1,583.24	4.0
US BANCORP	030	BC	B	16,043	25.62	n/a	n/a	721.94	4.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		BID	S	20,000	54.48	n/a	n/a	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		BONT	S	9,100	15.32	n/a	n/a	non-brg	4.0
CATAPULT	040	CAT	SS	5,000	112.77	n/a	28-Jan	200.00	4.0
CYRUS CAPITAL	025	CBRL	SS	5,481	49.86	n/a	n/a	219.24	4.0
BASSWOOD PARTNERS	267	CCL	B	10,800	38.58	n/a	n/a	432.00	4.0
FARALLON CAP MGMT	040	CEPH	B	40,000	77.48	n/a	4-Apr	1,200.00	3.0
<b>B</b> BUCK CAPITAL MGMT		CHS	S	20,000	15.02	n/a	5-Feb	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		CHS	S	30,000	14.99	n/a	5-Feb	non-brg	1.0
SUN AMERICA ASSET MGMT	030	CLX	S	2,669	69.98	n/a	18-Feb	106.76	4.0
US BANCORP	030	CMS	S	35,350	19.41	n/a	n/a	1,590.75	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>30,000</b>	<b>53.24</b>	<b>n/a</b>	<b>26-Jan</b>	<b>900.00</b>	<b>3.0</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>COH</b>	<b>S</b>	<b>100</b>	<b>52.78</b>	<b>n/a</b>	<b>26-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>COP</b>	<b>S</b>	<b>20</b>	<b>0.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CIRCLE T/SES PART	033	CPKI	S	20,000	16.47	n/a	15-Mar	800.00	4.0
SUN AMERICA ASSET MGMT	030	CVX	S	2,197	108.49	n/a	n/a	87.88	4.0
MERRILL ASSET/BLACKROCK	266	CWSB	S	804	0.18	n/a	n/a	8.04	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>C</b>	<b>B</b>	<b>10000</b>	<b>4.46</b>	<b>n/a</b>	<b>28-Mar</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>DDS</b>	<b>S</b>	<b>20,000</b>	<b>41.32</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
SUN AMERICA ASSET MGMT	030	DD	S	1,842	55.36	n/a	28-Mar	73.68	4.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>DECK</b>	<b>S</b>	<b>50</b>	<b>90.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LBP ENTERPRISES INC	<b>FID</b>	<b>EFT</b>	<b>S</b>	<b>2000</b>	<b>16.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>EFT</b>	<b>S</b>	<b>1000</b>	<b>16.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	EMC	B	103,800	26.05	n/a	n/a	3,114.00	3.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>EWJ</b>	<b>B</b>	<b>10</b>	<b>0.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	012	FINL	B	2,500	19.87	n/a	25-Mar	125.00	5.0
<b>f</b> MITCHELL JAMES SPEIS	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>12000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CYRUS CAPITAL	025	F	B	100,000	15.61	n/a	4-Apr	4,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>GES</b>	<b>S</b>	<b>30,000</b>	<b>39.92</b>	<b>n/a</b>	<b>17-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>GES</b>	<b>S</b>	<b>50,000</b>	<b>39.98</b>	<b>n/a</b>	<b>17-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> SNEJANA P GARFUNKEL	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>1000</b>	<b>20.57</b>	<b>n/a</b>	<b>23-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> SNEJANA P GARFUNKEL	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>1000</b>	<b>20.57</b>	<b>n/a</b>	<b>23-Mar</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	GM	C	15,000	32.25	n/a	4-Apr	450.00	3.0
OSKIE CAPITAL MGMT	224	GPS	S	5,000	23.10	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	HD	S	242	37.44	n/a	22-Feb	9.68	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>HII</b>	<b>B</b>	<b>41</b>	<b>40.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
US BANCORP	030	IGT	S	11,267	16.41	n/a	21-Mar	507.02	4.5
FARALLON CAP MGMT	040	INTC	SS	150,000	19.65	n/a	n/a	4,500.00	3.0
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>IVZ</b>	<b>S</b>	<b>1000</b>	<b>25.83</b>	<b>n/a</b>	<b>2-Mar</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	JNJ	B	3,342	59.60	n/a	n/a	133.68	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>JNPR</b>	<b>B</b>	<b>200</b>	<b>40.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>JNY</b>	<b>S</b>	<b>1000</b>	<b>14.27</b>	<b>n/a</b>	<b>3-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>S</b>	<b>20,000</b>	<b>45.83</b>	<b>n/a</b>	<b>31-Mar</b>	<b>non-brg</b>	<b>4.0</b>
CHART WELL ADV	028	JWN	B	43,275	45.53	n/a	31-Mar	1,731.00	4.0
SUN AMERICA ASSET MGMT	030	KFT	B	3,549	31.40	n/a	n/a	141.96	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>40,000</b>	<b>54.52</b>	<b>n/a</b>	<b>31-Mar</b>	<b>1,200.00</b>	<b>3.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>KWS</b>	<b>S</b>	<b>500</b>	<b>11.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>KWS</b>	<b>S</b>	<b>500</b>	<b>11.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	K	S	441	54.19	n/a	n/a	17.64	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>B</b>	<b>20,000</b>	<b>17.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>1000</b>	<b>9.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	LPX	SS	25,000	10.48	n/a	10-Feb	1,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	S	50,000	10.38	n/a	10-Feb	2,500.00	5.0
TRELLUS PARTNERS LP	028	LPX	SS	100,000	10.36	n/a	10-Feb	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>20,000</b>	<b>34.47</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
CATAPULT	040	LYB	SS	10,000	40.42	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	MCD	B	1,644	76.21	n/a	8-Mar	65.76	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>MNRO</b>	<b>S</b>	<b>20,000</b>	<b>33.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SUN AMERICA ASSET MGMT	030	MO	S	460	25.95	n/a	n/a	18.40	4.0
SUN AMERICA ASSET MGMT	030	MRK	B	8,677	33.13	n/a	n/a	347.08	4.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>MSHL</b>	<b>B</b>	<b>3010</b>	<b>1.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>S</b>	<b>200</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>S</b>	<b>300</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>S</b>	<b>500</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>S</b>	<b>6,800</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>S</b>	<b>600</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>S</b>	<b>700</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>MSSR</b>	<b>S</b>	<b>900</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f ANGELOS EFSTATHIOU</b>	<b>FID</b>	<b>MWV</b>	<b>B</b>	<b>200</b>	<b>31.24</b>	<b>n/a</b>	<b>1-Apr</b>	<b>0.00</b>	<b>0.0</b>

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RIDGECREST INV MGMT LLC	028	MWV	B	10,000	31.69	n/a	1-Apr	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>30,000</b>	<b>24.32</b>	<b>n/a</b>	<b>31-Mar</b>	<b>900.00</b>	<b>3.0</b>
THE JAY GOLDMAN	028	M	B	50,000	24.29	n/a	31-Mar	2,000.00	4.0
SMITH MGMT LLC	029	NDN	B	25,000	19.73	n/a	31-Mar	1,250.00	5.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>NFLX</b>	<b>S</b>	<b>15</b>	<b>244.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>50,000</b>	<b>6.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>OXM</b>	<b>S</b>	<b>50,000</b>	<b>35.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
ROTHSCHILD ASSET	040	OXM	S	9,677	35.35	n/a	n/a	387.08	4.0
CAXTON PART	040	OXY	S	12,878	102.30	n/a	n/a	450.76	3.5
SUN AMERICA ASSET MGMT	030	PAYX	B	1,945	31.95	n/a	n/a	77.80	4.0
SUN AMERICA ASSET MGMT	030	PEP	B	1,939	65.27	n/a	n/a	77.56	4.0
SUN AMERICA ASSET MGMT	030	PG	B	2,960	62.21	n/a	21-Mar	118.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>30,000</b>	<b>51.13</b>	<b>n/a</b>	<b>9-Mar</b>	<b>non-brg</b>	<b>4.0</b>
MILLRACE FUND LP	028	PLCE	B	1,500	51.60	n/a	9-Mar	60.00	4.0
SAC TRADING TOM LEDDY	035	PLCE	B	20,000	51.52	n/a	9-Mar	700.00	3.5
SYSTEMATIC FINANCIAL MGT	035	PVH	S	105,800	66.23	n/a	30-Mar	3,174.00	3.0
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>RAD</b>	<b>B</b>	<b>4000</b>	<b>1.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALLAST CAP	040	RGC	B	12,200	14.17	n/a	n/a	0.71	0.0

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EPOCH INV MGMT	030	RKT	B	60,000	69.92	n/a	n/a	1,800.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>RL</b>	<b>S</b>	<b>75</b>	<b>127.85</b>	<b>n/a</b>	<b>10-Feb</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	RT	C	44,000	13.47	n/a	n/a	1,760.00	4.0
AVESTA CAP	229	SBUX	B	25,000	36.52	n/a	10-Mar	750.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>30</b>	<b>0.51</b>	<b>n/a</b>	<b>10-Mar</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	SCVL	S	13,212	27.69	n/a	n/a	660.60	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>30,000</b>	<b>49.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>30,000</b>	<b>46.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>SI</b>	<b>S</b>	<b>30</b>	<b>9.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>SLB</b>	<b>S</b>	<b>500</b>	<b>93.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SNEJANA P GARFUNKEL</b>	<b>FID</b>	<b>SLB</b>	<b>S</b>	<b>200</b>	<b>93.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
US BANCORP	030	SLM	B	31,777	15.45	n/a	21-Mar	1,429.97	4.5
KACELA CAPITAL	034	SMH	B	89,000	34.52	n/a	n/a	2,670.00	3.0
CATAPULT	040	SOA	SS	10,000	25.92	n/a	n/a	400.00	4.0
CATAPULT	040	SOA	S	15,000	25.81	n/a	n/a	600.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>10</b>	<b>1.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	SYX	B	7,253	28.00	n/a	n/a	290.12	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK NICK	029	S	B	30,000	4.55	n/a	n/a	1,500.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	S	5,600	22.03	n/a	n/a	224.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TFM</b>	<b>B</b>	<b>50</b>	<b>37.43</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>TGT</b>	<b>S</b>	<b>125</b>	<b>50.90</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>TGT</b>	<b>S</b>	<b>15</b>	<b>0.38</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	240	TYC	S	7,900	47.26	5-Apr	5-Apr	316.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>USG</b>	<b>B</b>	<b>400</b>	<b>15.85</b>	<b>n/a</b>	<b>27-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>UTSI</b>	<b>B</b>	<b>2500</b>	<b>2.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASSWOOD PARTNERS	267	VCBI	B	2,600	5.91	n/a	n/a	104.00	4.0
SUN AMERICA ASSET MGMT	030	VFC	S	1,789	98.59	n/a	14-Mar	71.56	4.0
BNP PARIBAS SEC	040	VLCM	SS	20,000	18.51	n/a	n/a	1,000.00	5.0
SUN AMERICA ASSET MGMT	030	VZ	S	337	38.44	n/a	n/a	13.48	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>S</b>	<b>10,000</b>	<b>26.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>S</b>	<b>40,000</b>	<b>26.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SUN AMERICA ASSET MGMT	030	WMT	B	40,346	52.81	n/a	5-Apr	1,613.84	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>59.83</b>	<b>n/a</b>	<b>1-Mar</b>	<b>non-brg</b>	<b>4.0</b>



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAP BOBBY	044	WY	B	70,000	24.69	n/a	4-Feb	2,450.00	3.5
BASIX	033	XLF	SS	66,000	16.48	n/a	n/a	1,980.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>250,000</b>	<b>51.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
KLEINHEINZ CAP PART	031	YUM	S	100,000	49.96	n/a	3-Feb	5,000.00	5.0
SIGMA CAP BOBBY	044	YUM	SS	25,000	50.01	n/a	3-Feb	875.00	3.5
<b>TOTAL (Trade Date):</b>								<b>78,527.88</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/01	LISTED ERR	099	HII	S	41	41.00	n/a	n/a	0.00 0.0
AO,CXL	04/01	ROTHSCHILD ASSET	040	HII	S	292	41.00	n/a	n/a	11.68 4.0
AO,CRT	04/01	ROTHSCHILD ASSET	040	HII	S	251	41.00	n/a	n/a	10.04 4.0
AO,CRT	03/23	WAGONHOUND/NIC	048	HII	SS	14,776	37.11	n/a	n/a	591.04 4.0
AO,CXL	03/23	WAGONHOUND/NIC	048	HII	SS	14,776	0.00	n/a	n/a	0.00 0.0
AO,CXL	04/04	CR INTRINIC INVESTMENT	044	M	B	10,000	24.03	n/a	31-Mar	350.00 3.5
AO,CRT	04/04	SAC COHEN	044	M	B	10,000	24.03	n/a	31-Mar	350.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>589.40</b>
TOTAL (Trade Date) :										78,527.88
TOTAL (AO, CXL, CRT) :										589.40
<b>TOTAL (RUN DATE) / NFS:</b>										<b>79,117.28</b>

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 5-Apr.

TYC

MRI Securities without Trade Activity on 5-Apr.

IFF

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

T-Date = 22%

YTD = 4%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)