



Daily Compliance Activity Report

Trade Date: 04/19/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		AEO	S	50,000	17.55	n/a	9-Apr	non-brg	4.0
BMO NESBITT BURNS	041	APA	B	1,000	105.16	n/a	1-Apr	100.00	10.0
⚡ BUCK CAPITAL MGMT		ATVI	B	43,100	11.63	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	BAC	B	600,000	18.15	n/a	19-Apr	21,000.00	3.5
⚡ JASON ERIC COHEN	FID	BBI	S	1000	0.56	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	BONT	B	5,000	15.98	n/a	n/a	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	BP	C	15,000	58.88	n/a	n/a	450.00	3.0
⚡ BUCK CAPITAL MGMT		BYI	B	12,200	41.31	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BYI	B	20,000	41.36	n/a	n/a	non-brg	4.0
FORD FDN.	032	CAT	S	11,000	66.91	n/a	15-Apr	440.00	4.0
⚡ BUCK CAPITAL MGMT		COH	S	400,000	41.51	n/a	14-Apr	non-brg	4.0
NEW JERSEY DIV OF INV.	030	COP	S	2,700	55.75	n/a	n/a	108.00	4.0
⚡ Doug Rogers		CPN	S	1210	11.73	n/a	n/a	0.00	0.0
⚡ MARK ANTHONY GRONET	FID	CPN	S	842	11.70	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CRI	B	14,942	32.12	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		CRI	B	14,942	32.12	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CRI	B	29,600	32.11	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		CRI	B	5,458	32.19	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CRI	B	5,458	32.19	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	50,000	9.94	n/a	n/a	non-brg	3.0
NICOLAS APPEGATE	048	CSCO	B	250,000	26.98	n/a	n/a	5,000.00	2.0
⚡ BUCK CAPITAL MGMT		CSTR	S	40,000	36.17	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	CTB	B	13,540	19.57	n/a	n/a	541.60	4.0
f HARALAMBOS EFSTATHI	FID	C	B	2500	4.71	n/a	19-Apr	0.00	0.0
SANDLER O'NEILL ASSET	031	C	S	100,000	4.80	n/a	19-Apr	2,000.00	2.0
f EDWARD W WHEELER	FID	DAN	B	200	1.45	n/a	25-Feb	0.00	0.0
METROPOLITAN CAPITAL	044	DAN	B	35,200	12.80	n/a	25-Feb	1,760.00	5.0
⚡ BUCK CAPITAL MGMT		DBRN	S	20,000	28.60	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	DBRN	SS	25,000	28.12	n/a	n/a	875.00	3.5
MARINER/TRICADIA	041	DTG	B	15,000	34.04	n/a	n/a	750.00	5.0
ROTHSCHILD ASSET	040	DWA	S	36,936	41.37	n/a	n/a	1,477.44	4.0
GREEN ARROW DOUG	040	EFA	SS	15,000	56.29	n/a	n/a	750.00	5.0
CHILTON CAPITAL MGMT.	036	EK	SS	100,000	7.38	n/a	n/a	3,000.00	3.0
CATAPULT	040	EMN	B	10,000	64.95	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.70	n/a	n/a	600.00	6.0
f SCOTT L BRUNNER	FID	FAS	B	200	102.96	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FOR	S	350	20.48	n/a	19-Apr	0.00	0.0
SCOPUS FUND	041	F	B	100,000	13.67	n/a	5-Apr	5,000.00	5.0
B BUCK CAPITAL MGMT		GCO	S	60,000	33.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GES	B	40,000	45.88	n/a	18-Mar	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	GES	S	25,000	45.48	n/a	18-Mar	750.00	3.0
PROSPECTOR PARTNERS LLC	036	GFI	B	20,000	12.56	n/a	n/a	800.00	4.0
THOMAS WEISEL ASSET MGMT	035	GFRE	B	23,788	11.47	n/a	n/a	713.64	3.0
SIGMA CAPITAL ASSOCIATES	041	GPS	S	25,000	24.76	n/a	n/a	875.00	3.5
f MARK ANTHONY GRONET	FID	GXP	S	428	18.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GYMB	B	10,000	51.96	n/a	9-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		HAL	B	10,000	31.77	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HAL	B	30,000	31.61	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	HEI	S	18,600	51.35	n/a	n/a	744.00	4.0
f CHRISTOPHER ROBERT C	FID	HTLD	S	350	16.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ICON	S	10,000	16.64	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	IWM	SS	40,000	71.11	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT		JACK	S	20,000	24.78	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JCG	B	10,000	45.55	n/a	n/a	non-brg	4.0
MARK ANTHONY GRONET	FID	JCI	S	300	32.69	n/a	26-Mar	0.00	0.0
BUCK CAPITAL MGMT		JCP	S	190,000	30.71	n/a	9-Apr	non-brg	4.0
DIAMONDBACK CAP MGMT	232	JEF	C	15,000	27.26	n/a	n/a	750.00	5.0
EXIS CAPITAL	044	JNY	B	5,000	21.13	n/a	14-Apr	250.00	5.0
HUNTER GLOBAL INVESTOR	067	JPM	B	100,000	44.83	n/a	15-Apr	5,000.00	5.0
BUCK CAPITAL MGMT		JWN	S	70,000	41.75	n/a	9-Apr	non-brg	4.0
BUCK CAPITAL MGMT		KSS	S	70,000	56.39	n/a	9-Apr	non-brg	4.0
EXIS CAPITAL	044	KSS	SS	1,527	57.25	n/a	9-Apr	76.35	5.0
BUCK CAPITAL MGMT		LL	S	10,000	28.82	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		LL	S	23,303	28.68	n/a	n/a	non-brg	4.0
MARK ANTHONY GRONET	FID	LMI	S	500	34.38	n/a	n/a	0.00	0.0
AVESTA CAP	229	LOW	B	100,000	26.08	n/a	22-Feb	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	LXK	B	4,816	38.51	n/a	n/a	192.64	4.0
f CHRISTOPHER ROBERT C	FID	MERC	B	1000	5.41	n/a	n/a	0.00	0.0
CIRCLE T/SES PART	035	MGM	B	15,000	14.30	n/a	15-Apr	600.00	4.0
CASTLE ARK	031	MHS	B	190,702	63.10	n/a	n/a	11,442.12	6.0
B BUCK CAPITAL MGMT		MNRO	B	10,000	36.17	n/a	n/a	non-brg	4.0
BASIX	033	MTW	S	30,500	14.87	n/a	5-Feb	915.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	140,800	203.49	n/a	n/a	non-brg	20.3
BUCK CAPITAL MGMT	001	M	S	50,000	22.33	n/a	9-Apr	2,000.00	4.0
EXIS CAPITAL	044	M	B	5,000	22.39	n/a	9-Apr	250.00	5.0
f CHRISTOPHER ROBERT C	FID	NBRXF	S	500	17.33	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	OZM	S	350	17.26	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PIR	S	50,000	8.76	n/a	n/a	non-brg	3.0
BASIX	033	PKG	S	13,000	24.68	19-Apr	19-Apr	390.00	3.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	47.39	n/a	22-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PSS	B	21,000	23.33	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PSS	B	80,000	23.48	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	PST	S	100	50.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RL	S	20,000	90.35	n/a	14-Apr	non-brg	4.0
BMO NESBITT BURNS	041	RRC	SS	3,000	49.03	n/a	1-Apr	300.00	10.0
B BUCK CAPITAL MGMT		SHOO	S	18,215	52.24	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SHOO	S	5,000	52.18	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SIG	S	20,000	33.37	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		STI	S	13	28.88	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		STI	S	44	28.88	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SUMR	S	15,000	6.75	n/a	n/a	non-brg	2.5
f JASON ERIC COHEN	FID	TBT	B	10	0.36	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TGT	S	70,000	55.32	n/a	9-Apr	non-brg	4.0
GREEN ARROW DOUG	040	THO	B	30,000	33.22	n/a	n/a	1,500.00	5.0
ROTHSCHILD ASSET	040	THS	S	15,700	43.36	n/a	n/a	628.00	4.0
ARMATURE CAPITAL	041	TIN	B	40,000	23.17	19-Apr	19-Apr	1,600.00	4.0
B BUCK CAPITAL MGMT		TJX	S	30,000	45.31	n/a	9-Apr	non-brg	4.0
COUGAR TRADING	044	TM	B	5,000	79.23	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	TM	SS	10,000	78.44	n/a	n/a	500.00	5.0
NICOLAS APPLGATE	048	TWTC	S	40,000	17.67	n/a	n/a	1,600.00	4.0
ß BUCK CAPITAL MGMT		UA	SS	20,000	32.93	n/a	14-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	30,000	37.78	n/a	n/a	non-brg	4.0
f ANDREW SINCLAIR	FID	VSD	B	6	16.50	n/a	n/a	0.00	0.0
CATAPULT	040	WAG	B	100,000	36.01	n/a	n/a	4,000.00	4.0
ISLE RIDGE PARTNERS	041	WMT	B	45,000	54.31	n/a	16-Apr	1,800.00	4.0
ß BUCK CAPITAL MGMT		WRC	B	10,000	49.17	n/a	2-Mar	non-brg	4.0
f DOUGLAS ROGERS	FID	WY	B	892	47.93	19-Apr	19-Apr	0.00	0.0
Õ Doug Rogers		WY	B	295	48.00	19-Apr	19-Apr	0.00	0.0
f MARK ANTHONY GRONET	FID	WY	B	1000	48.18	19-Apr	19-Apr	0.00	0.0
ROSEDALE CAPITAL	046	XOM	B	15,000	67.72	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		XRT	SS	22,200	42.80	n/a	n/a	non-brg	0.8
f EDWARD W WHEELER	FID	ZINC	B	2580	11.69	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	ZINC	B	1000	11.63	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								88,278.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/16	CASTLEROCK	040	ANN	SS	7,175	22.13	n/a	n/a	287.00 4.0
AO,CRT	04/16	CASTLEROCK	040	ANN	SS	7,175	22.13	n/a	n/a	287.00 4.0
AO,CXL	04/16	COOPER CREEK PART	028	JCP	B	45,000	31.32	n/a	9-Apr	2250.00 5.0
AO,CRT	04/16	COOPER CREEK PART	028	JCP	B	45,000	31.32	n/a	9-Apr	1800.00 4.0
TOTAL (AO, CXL, CRT) :										-450.00

TOTAL (Trade Date) :	88,278.79
TOTAL (AO, CXL, CRT) :	-450.00

TOTAL (RUN DATE) / NFS:	87,828.79
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MRI Securities with Trade Activity on 19-Apr.
PKG, TIN, WY

MRI Securities without Trade Activity on 19-Apr.
IP, EL

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 2%
YTD = 12%

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)