



Daily Compliance Activity Report

Trade Date: 03/23/2010

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	40,000	14.17	n/a	26-Feb	non-brg	4.0
SENATOR INVESTMENT GROUP	036	AMR	S	75,000	8.82	n/a	n/a	2,250.00	3.0
CATAPULT	040	AN	B	50,000	19.56	n/a	12-Feb	2,000.00	4.0
f JOHN MICHAEL DEMARTI	FID	AN	S	1000	19.04	n/a	12-Feb	0.00	0.0
f CHRISTOPHER ROBERT C	FID	AONE	B	300	15.39	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	APC	B	1000	70.63	n/a	3-Mar	0.00	0.0
GLOBAL 56 LLC	060	ARM	S	3,000	13.26	n/a	n/a	150.00	5.0
f JONATHAN RICHARD HAR	FID	AVY	S	200	35.39	n/a	5-Mar	0.00	0.0
SCOPUS FUND	041	AXL	S	75,000	11.14	n/a	8-Feb	3,750.00	5.0
AVESTA CAP	229	BAC	S	300,000	17.00	n/a	15-Mar	9,000.00	3.0
CASTLEROCK	040	BEC	SS	42,615	64.49	n/a	n/a	1,704.60	4.0
B BUCK CAPITAL MGMT		BEN	S	30,000	112.74	n/a	2-Mar	non-brg	4.0
GREEN ARROW DOUG	040	BKC	B	25,000	20.53	n/a	9-Mar	1,250.00	5.0
B BUCK CAPITAL MGMT		BLK	B	15,600	226.78	n/a	n/a	non-brg	4.0
SOLARIS INV MGMT	029	BTI	S	30,000	67.83	n/a	n/a	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	BWLD	B	1,862	49.31	n/a	n/a	74.48	4.0
f EDWARD W WHEELER	FID	CBI	S	35	1.97	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CGI	S	500	13.64	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CMFO	S	800	6.63	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	CVGI	S	440	7.07	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	B	480	4.14	n/a	16-Mar	0.00	0.0
f NICOLAS EVAN PAKLER	FID	C	B	2200	4.09	n/a	16-Mar	0.00	0.0
TROUBH PART	067	DAI	B	10,000	46.80	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	DELL	S	31,200	15.08	n/a	n/a	1,560.00	5.0
f KEVIN MICHAEL O'GORM	FID	DE	B	1000	61.39	n/a	18-Feb	0.00	0.0
SUN AMERICA ASSET MGMT	030	DF	B	2,720	15.68	n/a	n/a	108.80	4.0
B BUCK CAPITAL MGMT		DIA	SS	9,200	108.82	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	DNDN	S	1000	38.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DVN	B	15,400	65.00	n/a	11-Mar	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	EOG	B	500	93.47	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.59	n/a	n/a	600.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARROW HANLEY MEWHINNEY	031	ETR	S	17,200	80.07	n/a	n/a	602.00	3.5
f KAREN F LEDDY	FID	FOR	B	500	19.01	n/a	5-Feb	0.00	0.0
f NICOLAS EVAN PAKLER	FID	F	B	560	14.05	n/a	3-Mar	0.00	0.0
ß BUCK CAPITAL MGMT		GCO	S	20,000	30.15	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	GD	S	1,600	76.54	n/a	2-Feb	64.00	4.0
ß BUCK CAPITAL MGMT		GES	S	20,000	48.24	n/a	18-Mar	non-brg	4.0
M&I FUNDS	047	GES	B	7,346	47.95	n/a	18-Mar	293.84	4.0
YORK CAPITAL	036	GE	S	329,099	18.35	n/a	n/a	11,518.47	3.5
CAERUS GLOBAL	041	GIL	B	25,000	26.46	n/a	22-Mar	1,000.00	4.0
SAC COHEN	044	GME	B	25,000	22.17	n/a	n/a	875.00	3.5
f STEFFANIE CARMELA CA	FID	GOL	B	100	12.49	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	S	20,000	53.27	n/a	17-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		HK	B	49,900	20.05	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	HWD	B	10,000	9.90	n/a	n/a	500.00	5.0
SOLARIS INV MGMT	029	IGT	B	50,000	17.91	n/a	9-Feb	2,500.00	5.0
ß BUCK CAPITAL MGMT		IJS	SS	15,300	65.75	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	INTC	B	399,300	22.69	n/a	n/a	13,975.50	3.5
B BUCK CAPITAL MGMT		IWM	SS	14,500	69.15	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		IWO	SS	13,400	74.78	n/a	n/a	non-brg	2.0
T. ROWE PRICE	033	JCG	S	63,800	45.71	n/a	n/a	2,552.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	234,102	33.02	n/a	5-Mar	7,023.06	3.0
SAC COHEN	044	JCP	S	150,000	33.60	n/a	5-Mar	5,250.00	3.5
RAIL-SPLITTER	031	JNS	B	50,400	14.11	n/a	n/a	2,520.00	5.0
EXIS CAPITAL	044	JNY	B	5,000	18.35	n/a	10-Feb	250.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	10,000	50.84	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	KFT	B	10,000	30.59	n/a	n/a	400.00	4.0
M&I FUNDS	047	LAZ	S	47,903	36.16	n/a	9-Mar	1,916.12	4.0
SCOPUS FUND	041	LIZ	S	14,000	7.15	n/a	7-Oct	700.00	5.0
CAERUS GLOBAL	041	LOW	S	25,000	24.56	n/a	22-Feb	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	LSTZA	B	1,701	51.35	n/a	n/a	68.04	4.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	25.07	n/a	n/a	800.00	4.0
BROADARCH CAP/OLD NEWC	070	LVS	B	2,200	21.58	n/a	23-Mar	88.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	LVS	S	10,000	20.96	n/a	23-Mar	400.00	4.0
B BUCK CAPITAL MGMT		MDY	SS	6,900	144.99	n/a	n/a	non-brg	2.0
BROADARCH CAP/OLD NEWC	070	MGM	S	1,500	12.74	n/a	12-Mar	60.00	4.0
T. ROWE PRICE	033	MON	B	456,100	72.51	n/a	26-Feb	13,683.00	3.0
EXIS CAPITAL	044	M	B	20,000	21.51	n/a	5-Mar	1,000.00	5.0
SAC COHEN	044	M	B	275,000	21.86	n/a	5-Mar	9,625.00	3.5
T. ROWE PRICE	033	NSM	S	27,500	14.97	n/a	n/a	1,100.00	4.0
COLUMBUS CIRCLE	036	NUS	B	5,400	29.00	n/a	n/a	216.00	4.0
f KEVIN MICHAEL O'GORM	FID	OXM	B	15	2.60	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	PAG	SS	30,000	15.42	n/a	23-Mar	1,200.00	4.0
SCOPUS FUND	041	PIR	S	20,000	6.81	n/a	n/a	1,000.00	5.0
f CHRISTOPHER ROBERT C	FID	PRUAX	S	551	9.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PSS	B	80,000	22.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	20,000	55.87	n/a	23-Mar	non-brg	4.0
SCOPUS FUND	041	PVH	B	10,000	55.99	n/a	23-Mar	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	140,500	56.06	n/a	23-Mar	4,215.00	3.0
FIRST NEW YORK NICK	029	Q	S	10,000	5.36	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	RHI	S	60,799	31.34	n/a	n/a	1,823.97	3.0
KLEINHEINZ CAP PART	031	RL	B	30,000	85.00	23-Mar	23-Mar	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		SAH	B	20,000	12.45	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SAH	B	20,000	12.46	n/a	n/a	non-brg	4.0
EGS ASSOCIATES LP	091	SAH	B	10,000	12.54	n/a	n/a	600.00	6.0
⚡ BUCK CAPITAL MGMT		SHOO	S	10,000	46.95	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		SIG	B	10,000	28.38	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	SJT	S	10,000	20.41	n/a	n/a	400.00	4.0
SCOPUS FUND	041	SKX	B	13,500	35.19	n/a	n/a	675.00	5.0
CATAPULT	040	SPLS	SS	25,000	23.93	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		SPY	SS	8,600	117.39	n/a	n/a	non-brg	2.0
⚡ MARC PAUL LUCHANSKY	FID	SPY	B	500	116.88	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SUMR	S	2,416	6.39	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		SWN	B	25,100	39.91	n/a	8-Mar	non-brg	4.0
MILLENIUUM PARTNERS	028	SWY	SS	40,000	24.12	n/a	n/a	1,600.00	4.0
⚡ EDWARD W WHEELER	FID	TBAC	S	5000	3.70	n/a	n/a	0.00	0.0
⚡ JONATHAN RICHARD HAR	FID	TBT	B	106	47.13	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	TGI	B	10,000	68.94	n/a	n/a	500.00	5.0
CAERUS GLOBAL	041	TIF	S	10,000	47.62	n/a	n/a	400.00	4.0
COBALT	041	TIN	B	47,000	21.60	n/a	9-Feb	2,350.00	5.0
PHILADELPHIA FINANCIAL	033	TRAD	S	30,000	6.96	n/a	n/a	1,200.00	4.0
SONTERRA CAP	041	TRN	SS	20,000	20.45	n/a	n/a	800.00	4.0
STELLIAM INV ADV	034	UNH	B	15,000	33.21	n/a	n/a	750.00	5.0
f DAVID GEORGE BUCK	FID	UQB	B	10	8.49	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	VECO	B	100	43.07	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WDR	S	67,500	36.26	n/a	2-Mar	non-brg	4.0
GRANAHAN INV	039	WDR	B	35,200	36.17	n/a	2-Mar	1,408.00	4.0
MAIRS AND POWER INV	030	WFC	S	20,000	30.45	n/a	9-Mar	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	XEC	S	10,000	59.07	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	24,000	41.74	n/a	n/a	non-brg	2.0
TOTAL (Trade Date) :								128,249.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	03/22	FINDLAY PARK PART	259	BK	B	20,172	30.50	n/a 9-Mar	1008.60 5.0
AO,CRT	03/22	FINDLAY PARK PART	259	BK	B	20,172	30.50	n/a 9-Mar	1008.60 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	128,249.88
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	128,249.88
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MRI Securities with Trade Activity on 23-Mar. RL
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MRI Securities without Trade Activity on 23-Mar. PRGO, LMT, AOS, ALV
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 4% YTD = 15%

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)