



Daily Compliance Activity Report

Trade Date: 04/20/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ST OF MICHIAN	047	AAPL	B	50,000	245.87	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		ABFS	S	20,000	32.24	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	AEO	SS	30,000	17.84	n/a	9-Apr	1,500.00	5.0
f JASON ERIC COHEN	FID	AMT	S	5	42.09	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	AMZN	S	700	143.65	n/a	n/a	28.00	4.0
MILLENIUM PARTNERS	028	AN	B	10,000	19.58	n/a	20-Apr	300.00	3.0
B BUCK CAPITAL MGMT		ARO	B	30,000	30.81	n/a	9-Apr	non-brg	4.0
DIAMONDBACK CAP MGMT	232	BAC	S	30,000	18.54	n/a	19-Apr	1,500.00	5.0
PZENA INV ADV	044	BAC	B	1,750	18.60	n/a	19-Apr	61.25	3.5
f KAREN F LEDDY	FID	BEE	B	2200	5.14	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	4000	12.58	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	70000	12.67	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BHP	SS	4,200	79.21	n/a	n/a	168.00	4.0
WINSLOW CAPITAL	030	BIDU	S	100	630.73	n/a	n/a	4.00	4.0
VISIUM/BALY BOBBY	044	BKC	S	15,000	21.34	n/a	7-Apr	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	BP	B	700	60.54	n/a	n/a	24.50	3.5
WINSLOW CAPITAL	030	BRCM	S	1,600	35.59	n/a	n/a	64.00	4.0
CIRCLE T/SES PART	035	BYD	S	15,000	11.10	n/a	n/a	600.00	4.0
WEISS PECK	040	CAKE	C	4,900	28.63	n/a	19-Apr	245.00	5.0
WINSLOW CAPITAL	030	CELG	S	1,400	60.94	n/a	n/a	56.00	4.0
f MANNY I KORMAN	FID	CMCSA	B	4000	18.67	n/a	n/a	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	CMCSA	B	500	18.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COH	S	20,000	42.04	n/a	14-Apr	non-brg	4.0
MILLENIUM PARTNERS	028	COH	B	35,637	41.98	n/a	14-Apr	1,069.11	3.0
WINSLOW CAPITAL	030	COST	S	1,300	59.74	n/a	n/a	52.00	4.0
B BUCK CAPITAL MGMT		CRI	B	80,000	31.85	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	CSCO	S	6,100	27.38	n/a	n/a	244.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	50,000	34.80	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	CS	C	25,000	51.71	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	CTRP	S	800	37.88	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	CTSH	S	3,700	52.89	n/a	n/a	185.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	CTXS	S	800	48.64	n/a	n/a	40.00	5.0
f MANNY I KORMAN	FID	CVGI	B	3000	9.16	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	C	B	20000	5.00	n/a	19-Apr	0.00	0.0
SCHOTTENFELD ASSOC	041	C	B	50,000	4.99	n/a	19-Apr	1,500.00	3.0
f DAVID GEORGE BUCK	FID	DB	B	1000	74.21	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	DELL	S	3,600	16.90	n/a	n/a	144.00	4.0
B BUCK CAPITAL MGMT		DIA	C	169,329	111.25	n/a	n/a	non-brg	2.0
GREEN ARROW DOUG	040	EAT	B	10,000	19.70	n/a	n/a	500.00	5.0
APEX CAPITAL MGMT.	261	EBAY	S	200,000	26.37	n/a	n/a	8,000.00	4.0
WINSLOW CAPITAL	030	EQIX	S	900	99.00	n/a	n/a	36.00	4.0
MERRILL ASSET/BLACKROCK	263	ESL	B	9,800	52.94	n/a	n/a	392.00	4.0
WINSLOW CAPITAL	030	ESRX	S	800	104.31	n/a	n/a	32.00	4.0
FIRST NY SEC/CHRIS	041	FBR	SS	10,000	22.92	n/a	n/a	500.00	5.0
SCHOTTENFELD ASSOC	041	FBR	B	30,000	22.81	n/a	n/a	900.00	3.0
HARBORWATCH/DIAMBACK	232	FCX	B	35,000	81.01	n/a	n/a	1,750.00	5.0
ST OF MICHIAN	047	FE	B	240,000	37.75	n/a	n/a	7,200.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	048	FMR	B	7,000	13.34	n/a	n/a	280.00	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	2350	1.00	n/a	n/a	0.00	0.0
MASTERS CAPITAL MANAGE	091	F	B	100,000	13.72	n/a	20-Apr	4,000.00	4.0
OZ MGMT	040	F	B	300,000	13.78	n/a	20-Apr	9,000.00	3.0
OZ MGMT	040	F	C	244,000	13.76	n/a	20-Apr	7,320.00	3.0
TROUBH PART	067	F	B	50,000	13.90	n/a	20-Apr	2,500.00	5.0
f JOSEPH CIRO AMATURO	FID	GAZ	B	10000	9.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO	S	30,000	33.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	S	5,000	33.31	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		GES	B	10,000	46.86	n/a	18-Mar	non-brg	4.0
DIAMONDBACK CAP MGMT	232	GE	S	250,000	19.12	n/a	n/a	12,500.00	5.0
MILLENIU PARTNERS	028	GE	S	25,000	19.10	n/a	n/a	1,000.00	4.0
EXIS CAPITAL	044	GIII	B	1,620	28.58	n/a	n/a	81.00	5.0
WINSLOW CAPITAL	030	GILD	S	1,300	45.12	n/a	n/a	52.00	4.0
B BUCK CAPITAL MGMT		GIL	B	10,000	28.13	n/a	22-Mar	non-brg	4.0
f MANNY I KORMAN	FID	GLW	B	5000	19.87	n/a	19-Mar	0.00	0.0
WINSLOW CAPITAL	030	GOOG	S	200	557.69	n/a	n/a	8.00	4.0
MILLENIU PARTNERS	028	GPI	SS	20,000	33.82	n/a	20-Apr	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GPS	B	10,000	25.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GS	B	10,000	161.34	n/a	20-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	10,000	51.49	n/a	9-Apr	non-brg	4.0
EXIS CAPITAL	044	GYMB	S	10,000	52.08	n/a	9-Apr	500.00	5.0
BALYASNY ASSET MGMT	044	HBI	B	50,000	29.17	n/a	n/a	2,500.00	5.0
f MANNY I KORMAN	FID	HCBK	B	3000	14.53	n/a	30-Mar	0.00	0.0
SENATOR INVESTMENT GROUP	036	HD	SS	100,000	35.27	n/a	23-Feb	3,000.00	3.0
NEUBERGER BERMAN	036	HEI	S	17,600	52.55	n/a	n/a	704.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	S	20,000	27.47	n/a	19-Apr	1,000.00	5.0
HILLTOP PARK ASSOC	041	IP	SS	25,000	27.48	n/a	19-Apr	1,000.00	4.0
RBC CAPITAL MARKETS	040	IP	SS	20,000	27.24	n/a	19-Apr	800.00	4.0
CLOVIS CAPITAL	012	IVZ	B	200,000	22.44	n/a	2-Mar	10,000.00	5.0
PZENA INV ADV	044	JCP	B	7,050	31.05	n/a	9-Apr	246.75	3.5
RBC CAPITAL MARKETS	040	JCP	S	10,000	31.37	n/a	9-Apr	400.00	4.0
PZENA INV ADV	044	JNJ	B	2,000	65.86	n/a	n/a	70.00	3.5
WINSLOW CAPITAL	030	JNPR	S	2,000	31.55	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		JNS	S	40,000	15.31	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	JNS	SS	4,200	15.50	n/a	n/a	210.00	5.0
DIAMONDBACK CAP MGMT	232	JPM	S	15,000	45.69	n/a	15-Apr	750.00	5.0
PZENA INV ADV	044	JPM	B	7,575	45.82	n/a	15-Apr	265.13	3.5
RBC CAPITAL MARKETS	040	KSS	B	10,000	56.38	n/a	9-Apr	400.00	4.0
EXIS CAPITAL	044	LIZ	B	30,000	8.65	n/a	7-Oct	1,500.00	5.0
WINSLOW CAPITAL	030	LLTC	S	1,600	31.18	n/a	n/a	64.00	4.0
AVESTA CAP	229	LOW	S	100,000	26.76	n/a	22-Feb	3,000.00	3.0
THE JAY GOLDMAN	028	LPX	S	20,000	11.40	n/a	19-Apr	800.00	4.0
WINSLOW CAPITAL	030	LRCX	S	1,500	40.38	n/a	n/a	60.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	S	1,650	27.37	n/a	n/a	82.50	5.0
RBC CAPITAL MARKETS	040	LVS	B	20,000	23.79	n/a	14-Apr	800.00	4.0
THE JAY GOLDMAN	028	LVS	S	22,500	23.65	n/a	14-Apr	900.00	4.0
f DAVID GEORGE BUCK	FID	MAR	B	1500	34.29	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	MCD	S	30,000	70.39	n/a	19-Apr	900.00	3.0
LAGRANGE CAP ADV	048	MCO	B	5,000	26.69	n/a	n/a	250.00	5.0
f RAGHAV NAYAR	FID	MGAM	S	463	4.31	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	MHK	SS	3,208	60.02	n/a	n/a	128.32	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	MMM	B	10,000	84.60	n/a	18-Feb	300.00	3.0
WINSLOW CAPITAL	030	MRVL	S	3,800	22.04	n/a	n/a	152.00	4.0
WINSLOW CAPITAL	030	MSFT	S	3,100	31.33	n/a	n/a	124.00	4.0
f MANNY I KORMAN	FID	MS	B	3000	30.07	n/a	15-Apr	0.00	0.0
TRELLUS PARTNERS LP	028	MS	B	20,000	30.05	n/a	15-Apr	600.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	90,000	205.73	n/a	n/a	non-brg	20.6
FIRST NY SEC/CHRIS	041	M	B	2,300	22.87	n/a	9-Apr	115.00	5.0
LAGRANGE CAP ADV	048	NFLX	SS	2,000	87.07	n/a	n/a	100.00	5.0
f DAVID GEORGE BUCK	FID	NVN	B	5000	14.00	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	ORCL	S	4,300	26.10	n/a	n/a	172.00	4.0
WINSLOW CAPITAL	030	ORLY	S	1,300	44.25	n/a	n/a	52.00	4.0
MILLENIUM PARTNERS	028	PAG	B	35,000	15.39	n/a	20-Apr	1,050.00	3.0
CASTLE ARK	031	PCAR	B	82,712	46.26	n/a	7-Apr	4,962.72	6.0
WINSLOW CAPITAL	030	PCLN	S	500	256.26	n/a	n/a	20.00	4.0
APEX CAPITAL MGMT.	261	PFE	S	200,000	16.77	n/a	n/a	8,000.00	4.0
f JOSEPH CIRO AMATURO	FID	PFE	B	2000	16.80	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	PKG	S	14,600	25.38	n/a	20-Apr	584.00	4.0
B BUCK CAPITAL MGMT		PSS	B	120,000	23.39	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	62,475	62.59	n/a	14-Apr	1,874.25	3.0
BENCHMARK	025	QCOM	B	5,000	43.34	n/a	n/a	200.00	4.0
WINSLOW CAPITAL	030	QCOM	S	3,300	42.88	n/a	n/a	132.00	4.0
f JOSEPH CIRO AMATURO	FID	QQQQ	B	1000	49.71	n/a	n/a	0.00	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	2,700	34.12	n/a	n/a	135.00	5.0
HARVEST MGMT	029	ROST	B	15,000	56.82	n/a	n/a	750.00	5.0
WINSLOW CAPITAL	030	SCHW	S	2,800	19.28	n/a	n/a	112.00	4.0
B BUCK CAPITAL MGMT		SHOO	S	12,934	52.52	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	SHPGY	S	800	68.01	n/a	19-Apr	32.00	4.0
B BUCK CAPITAL MGMT		SIG	S	20,000	33.95	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	SLM	B	5000	12.63	n/a	14-Apr	0.00	0.0
WINSLOW CAPITAL	030	SPLS	S	2,300	24.09	n/a	n/a	92.00	4.0
B BUCK CAPITAL MGMT		STT	B	20,000	44.87	n/a	15-Apr	non-brg	4.0
MATRIX ASSET ADV.	036	STT	B	7,000	45.74	n/a	15-Apr	280.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SUMR	S	3,800	6.81	n/a	n/a	non-brg	0.8
DISCIPLINED GROWTH INV.	030	SY	S	27,775	46.13	n/a	n/a	1,388.75	5.0
WINSLOW CAPITAL	030	TEVA	S	1,900	62.46	n/a	19-Apr	76.00	4.0
ARMATURE CAPITAL	041	TIN	B	3,300	23.33	n/a	19-Apr	132.00	4.0
BASIX	033	TIN	S	16,000	23.22	n/a	19-Apr	480.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	95,000	23.27	n/a	19-Apr	4,750.00	5.0
HARBORWATCH/DIAMBACK	232	TIN	B	20,000	23.46	n/a	19-Apr	1,000.00	5.0
SCOPUS FUND	041	TIN	B	33,100	23.33	n/a	19-Apr	1,655.00	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	19,950	45.83	n/a	9-Apr	997.50	5.0
HARVEST MGMT	029	TJX	SS	18,500	45.94	n/a	9-Apr	925.00	5.0
f JOHN BARTMAN COLE	FID	TMBCF	S	3500	3.00	n/a	n/a	0.00	0.0
HILLTOP PARK ASSOC	041	UFS	SS	10,000	73.38	n/a	n/a	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	URBN	SS	25,000	37.96	n/a	n/a	750.00	3.0
WINSLOW CAPITAL	030	URBN	S	2,000	38.34	n/a	n/a	80.00	4.0
STANDARD PACIFIC CAPITAL	040	VALE	SS	110,000	33.03	n/a	n/a	5,500.00	5.0
PROSPECTOR PARTNERS LLC	036	WAG	B	10,000	36.20	n/a	n/a	400.00	4.0
f KAREN F LEDDY	FID	WBC	B	400	31.72	n/a	13-Apr	0.00	0.0
SAC TRADING TOM LEDDY	035	WEN	B	50,000	5.44	n/a	7-Apr	1,750.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WERN	B	20,000	22.97	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WERN	B	30,000	22.99	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	WNC	B	20000	8.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	SS	225,000	43.19	n/a	n/a	non-brg	2.0
f MANNY I KORMAN	FID	XRX	B	6000	10.74	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	X	S	15,000	59.15	n/a	n/a	750.00	5.0
f KAREN F LEDDY	FID	ZLC	B	2500	3.19	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							139,251.78		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/16	CASTLEROCK	040	ANN	SS	22,527	22.13	n/a	n/a	901.08 4.0
AO,CXL	04/16	CASTLEROCK	040	ANN	SS	22,527	22.13	n/a	n/a	901.08 4.0
AO,CRT	04/19	CATAPULT	040	EMN	B	10,000	64.95	n/a	n/a	500.00 5.0
AO,CXL	04/19	CATAPULT	040	EMN	B	10,000	64.95	n/a	n/a	500.00 5.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	139,251.78
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	139,251.78
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MRI Securities with Trade Activity on 20-Apr. NONE

MRI Securities without Trade Activity on 20-Apr. PNRA, ETN

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