



Daily Compliance Activity Report

Trade Date: 04/08/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	AAPL	B	6,000	240.18	n/a	n/a	300.00	5.0
RBC CAPITAL MARKETS	040	AAP	B	10,000	42.00	n/a	n/a	400.00	4.0
f JONATHAN RICHARD HAR	FID	ACUZ	S	1415	1.40	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	ADM	B	50,000	28.13	n/a	26-Mar	2,000.00	4.0
CAERUS GLOBAL	041	AEO	B	10,000	17.77	n/a	31-Mar	300.00	3.0
DAVIDSON KEMPNER ADVISOR	040	AEO	B	30,000	17.58	n/a	31-Mar	1,500.00	5.0
MACKLOWE ASSET MGMT	041	AEO	SS	85,000	17.55	n/a	31-Mar	3,400.00	4.0
f JONATHAN RICHARD HAR	FID	ALN	S	1200	3.55	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	263	AME	B	2,500	42.17	n/a	n/a	100.00	4.0
f KAREN F LEDDY	FID	AMRN	B	3000	1.82	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	ANF	B	2,103	45.61	n/a	31-Mar	84.12	4.0
GRUBER MACBAINE	033	BBBY	S	10,000	46.36	n/a	n/a	400.00	4.0
WAGONHOUND/NIC	048	BBBY	S	1,105	45.20	n/a	n/a	44.20	4.0
f JONATHAN RICHARD HAR	FID	BEE	B	1200	5.20	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BEE	B	388	5.03	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	BEXP	S	50,000	18.11	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	BGC	S	48,310	29.11	n/a	n/a	1,932.40	4.0
KLEINHEINZ CAP PART	031	BMJ	S	100,000	26.22	n/a	n/a	5,000.00	5.0
EXIS CAPITAL	044	BONT	B	5,000	14.48	n/a	n/a	250.00	5.0
WHALE ROCK CAP	030	BONT	B	102,503	14.77	n/a	n/a	4,100.12	4.0
LISTED ERR	099	BONT	B	10,000	14.74	n/a	n/a	0.00	0.0
LISTED ERR	099	BONT	SS	10,000	14.74	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	BTN	S	4125	7.03	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BWS	B	500	16.32	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	BYD	S	15,000	11.43	n/a	n/a	600.00	4.0
f CHRISTOPHER ARTHUR K	FID	CGI	B	1000	14.09	n/a	n/a	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	CMZ	S	3000	0.97	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	C	B	1500	4.48	n/a	30-Mar	0.00	0.0
f MANNY I KORMAN	FID	C	B	10000	4.39	n/a	30-Mar	0.00	0.0
TRELLUS PARTNERS LP	028	DAN	S	30,100	12.49	n/a	25-Feb	1,505.00	5.0
THE JAY GOLDMAN	028	DWA	B	10,000	38.40	n/a	n/a	400.00	4.0
f EDWARD W WHEELER	FID	DXPE	B	5000	14.07	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	EXP	S	20,000	27.13	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	FINL	S	4,200	17.21	n/a	n/a	168.00	4.0
VISIUM/BALY BOBBY	044	FL	B	15,000	15.09	n/a	26-Mar	750.00	5.0
f JOHN MICHAEL DEMARTI	FID	FOR	B	1000	19.13	n/a	26-Mar	0.00	0.0
AVESTA CAP	229	GE	B	500,000	18.63	n/a	n/a	15,000.00	3.0
FIRST NY SEC/CHRIS	041	GE	B	30,000	18.38	n/a	n/a	1,500.00	5.0
SCOPUS FUND	041	GIL	B	5,700	27.18	n/a	22-Mar	285.00	5.0
ROTHSCHILD ASSET	040	GPI	B	12,860	32.04	n/a	18-Mar	514.40	4.0
EXIS CAPITAL	044	GYMB	B	5,000	54.04	n/a	8-Apr	250.00	5.0
B BUCK CAPITAL MGMT		HAL	B	15,000	31.07	n/a	n/a	non-brg	4.0
ISLE RIDGE PARTNERS	041	HOG	B	10,000	31.34	n/a	n/a	400.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	200,000	31.39	n/a	31-Mar	6,000.00	3.0
EXIS CAPITAL	044	JCP	B	5,000	31.75	n/a	31-Mar	250.00	5.0
SAC TRADING TOM LEDDY	035	KR	S	7,600	22.29	n/a	n/a	266.00	3.5
SYSTEMATIC FINANCIAL MGT	035	KSS	B	52,575	56.91	n/a	31-Mar	1,577.25	3.0
f JOHN MICHAEL ZOLIDIS	FID	KWS	S	500	13.09	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	K	SS	20,000	52.44	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T/SES PART	035	LTD	S	30,000	26.24	n/a	n/a	1,200.00	4.0
CIRCLE T/SES PART	035	LVS	S	25,000	24.39	n/a	8-Apr	1,000.00	4.0
THE JAY GOLDMAN	028	LVS	S	25,000	24.37	n/a	8-Apr	1,000.00	4.0
THE JAY GOLDMAN	028	MAR	B	15,000	32.87	n/a	n/a	600.00	4.0
THE JAY GOLDMAN	028	MAR	S	10,000	32.85	n/a	n/a	400.00	4.0
CIRCLE T/SES PART	035	MGM	SS	25,000	14.58	n/a	8-Apr	1,000.00	4.0
THE JAY GOLDMAN	028	MGM	S	10,000	14.74	n/a	8-Apr	400.00	4.0
CATAPULT	040	MOS	B	10,000	57.60	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	MSFT	B	25,000	29.62	n/a	n/a	1,000.00	4.0
f KAREN F LEDDY	FID	MS	B	400	30.87	n/a	30-Mar	0.00	0.0
ROTHSCHILD ASSET	040	MTD	S	8,187	112.31	n/a	n/a	327.48	4.0
f CHRISTOPHER ROBERT C	FID	MTG	B	350	11.74	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	M	B	45,000	22.44	n/a	31-Mar	1,800.00	4.0
f JONATHAN RICHARD HAR	FID	NBRXF	S	120	16.64	n/a	n/a	0.00	0.0
ROYCE TRADING	216	ONNN	B	9,500	8.30	n/a	n/a	285.00	3.0
LAGRANGE CAP ADV	048	PAG	B	10,000	15.30	n/a	23-Mar	500.00	5.0
f EDWARD W WHEELER	FID	PENX	S	13200	10.16	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MADISON ST PARTNERS LLC	046	PG	B	32,000	62.73	n/a	18-Mar	1,600.00	5.0
B BUCK CAPITAL MGMT		PIR	S	50,000	8.21	n/a	n/a	non-brg	3.0
CAERUS GLOBAL	041	PNK	S	18,800	11.00	n/a	n/a	564.00	3.0
THE JAY GOLDMAN	028	PNK	B	20,000	10.98	n/a	n/a	800.00	4.0
f CALEF CAMPBELL DAVIS	FID	PPCO	S	65	3.48	n/a	n/a	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	PTSI	B	500	13.57	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	75,000	61.03	n/a	23-Mar	2,250.00	3.0
f JONATHAN RICHARD HAR	FID	RF	S	121	8.25	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ROHI	B	3000	0.86	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	ROST	S	100,000	55.99	n/a	n/a	5,000.00	5.0
SAC TRADING TOM LEDDY	035	ROST	SS	5,000	56.28	n/a	n/a	175.00	3.5
B BUCK CAPITAL MGMT		RRGB	C	50,000	26.43	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	SPHIX	S	763	8.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SUMR	S	16,100	6.75	n/a	n/a	non-brg	3.0
HIGHBRIDGE CAP	041	SWY	SS	203,920	25.30	n/a	n/a	8,156.80	4.0
f EDWARD W WHEELER	FID	TBAC	S	3400	3.73	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f BARBARA S LEDDY	FID	TBT	B	200	48.70	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	TBT	B	250	48.71	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	TGT	S	7,500	56.21	n/a	8-Apr	300.00	4.0
THIRD COAST CAPITAL	035	TIF	S	12,500	48.96	n/a	n/a	625.00	5.0
EPOCH INV MGMT	030	TJX	B	10,900	44.79	n/a	31-Mar	327.00	3.0
SAC TRADING TOM LEDDY	035	TJX	SS	50,000	45.22	n/a	31-Mar	1,750.00	3.5
COUGAR TRADING	044	TM	SS	5,000	79.09	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		UAUA	S	30,000	20.50	n/a	n/a	non-brg	4.0
TRAFELET & COMP.	028	UFS	B	30,000	69.96	n/a	n/a	1,200.00	4.0
OHIO PERS	047	WFC	B	195,000	32.33	n/a	30-Mar	5,850.00	3.0
f CHRISTOPHER ROBERT C	FID	WNC	S	500	8.04	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	WRC	B	5,000	47.24	n/a	2-Mar	250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	XRT	SS	8,510	42.05	n/a	n/a	425.50	5.0
f MANNY I KORMAN	FID	XRX	B	15000	10.24	n/a	n/a	0.00	0.0
f CALEF CAMPBELL DAVIS	FID	YRCW	B	1081	0.62	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

92,612.27

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/07	TRELLUS PARTNERS LP	028	DAN	S	75,000	12.46	n/a	25-Feb	3750.00 5.0
AO,CXL	04/07	TRELLUS PARTNERS LP	028	DAN	S	75,000	12.46	n/a	25-Feb	2250.00 3.0
AO,	04/07	PARTNER REINSURANCE	033	TGT	B	4,600	53.91	n/a	8-Apr	184.00 4.0
AO,CRT	04/06	PIONEER MICHAEL NOLAN	067	VRGY	S	52,548	11.76	n/a	n/a	1576.44 3.0
AO,CXL	04/06	PIONEER MICHAEL NOLAN	067	VRGY	S	52,548	11.76	n/a	n/a	1576.44 3.0

TOTAL (AO, CXL, CRT) :	1,684.00
-------------------------------	-----------------

TOTAL (Trade Date) :	92,612.27
TOTAL (AO, CXL, CRT) :	1,684.00

TOTAL (RUN DATE) / NFS:	94,296.27
--------------------------------	------------------

MRI Securities with Trade Activity on 8-Apr. NONE
--

MRI Securities without Trade Activity on 8-Apr. PH

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

T-Date = 0%
YTD = 14%

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)