



Daily Compliance Activity Report

Trade Date: 04/21/2010

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		AAI	B	50,000	5.38	n/a	n/a	non-brg	3.0
f ROBERT M DANIELS	FID	ALU	B	1000	3.40	n/a	n/a	0.00	0.0
CATAPULT	040	AMTD	B	15,000	20.29	n/a	n/a	750.00	5.0
MILLENIUM PARTNERS	028	AN	S	15,000	20.47	n/a	20-Apr	600.00	4.0
B BUCK CAPITAL MGMT		ARO	B	20,000	30.75	n/a	9-Apr	non-brg	4.0
RBC CAPITAL MARKETS	040	AXL	B	50,000	11.11	n/a	20-Apr	2,000.00	4.0
CATAPULT	040	BAC	S	10,000	18.85	n/a	19-Apr	500.00	5.0
NEUBERGER BERMAN	036	BAX	S	50,300	58.70	n/a	n/a	2,012.00	4.0
f KAREN F LEDDY	FID	BEE	B	2000	5.25	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	BGC	SS	10,000	29.74	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	BONT	B	5,000	16.75	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		BYI	B	20,000	40.81	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	BZ	B	25,000	6.93	n/a	n/a	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	CAT	SS	20,000	67.25	n/a	15-Apr	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	CCL	SS	5,000	39.76	n/a	n/a	200.00	4.0
CATAPULT	040	CFR	B	1,244	58.38	n/a	n/a	62.20	5.0
LISTED ERR	099	CHRW	S	25,000	59.00	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	CLW	B	10,457	55.74	n/a	n/a	522.85	5.0
B BUCK CAPITAL MGMT		COH	S	20,000	42.89	n/a	21-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		CRI	B	30,000	31.93	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	CTB	SS	40,000	21.09	n/a	n/a	2,000.00	5.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	10000	8.99	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	CVX	S	700	82.56	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	CWTR	B	20,000	8.32	n/a	n/a	1,000.00	5.0
EMERSON CAPITAL MGMT	048	DBRN	B	9,000	28.94	n/a	n/a	360.00	4.0
IRIDIAN ASSET MGMT.	036	DCP	S	19,510	17.17	n/a	n/a	975.50	5.0
RBC CAPITAL MARKETS	040	DDS	SS	15,000	28.09	n/a	n/a	600.00	4.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	15.79	n/a	21-Apr	1,250.00	5.0
B BUCK CAPITAL MGMT		DIA	C	120,000	111.45	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	DLM	SS	10,000	16.05	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	DW	B	7,500	25.86	n/a	n/a	375.00	5.0
GREEN ARROW DOUG	040	EFA	SS	5,000	56.76	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	EXPD	B	25,000	40.18	n/a	n/a	1,000.00	4.0
f SCOTT L BRUNNER	FID	FAS	S	800	113.46	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	B	5000	11.29	n/a	n/a	0.00	0.0
ST OF MICHIAN	047	FE	B	360,000	37.85	n/a	n/a	10,800.00	3.0
CATAPULT	040	FITB	B	10,000	14.85	n/a	n/a	500.00	5.0
VISIUM/BALY BOBBY	044	FL	B	2,100	15.65	n/a	14-Apr	105.00	5.0
NWQ INVESTMENT MGMT CO	048	FMR	B	17,000	13.60	n/a	n/a	680.00	4.0
f CHRISTOPHER ROBERT C	FID	FSRFX	S	56	50.33	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	FXI	SS	5,000	42.13	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	F	B	50,000	14.09	n/a	20-Apr	2,000.00	4.0
OZ MGMT	040	F	B	100,000	14.13	n/a	20-Apr	3,000.00	3.0
RBC CAPITAL MARKETS	040	F	B	150,000	14.06	n/a	20-Apr	3,000.00	2.0
B BUCK CAPITAL MGMT		GCO	S	25,102	33.70	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	GE	S	300,000	18.90	n/a	n/a	15,000.00	5.0
BALYASNY ASSET MGMT	044	GLW	SS	50,000	20.33	n/a	19-Mar	2,500.00	5.0
CASTLEROCK	040	GLW	B	77,289	20.44	n/a	19-Mar	3,091.56	4.0
f CHRISTOPHER ROBERT C	FID	GNTX	B	300	22.26	n/a	20-Apr	0.00	0.0
f DAVID GEORGE BUCK	FID	GPY	B	10	14.08	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	GS	S	700	158.55	n/a	20-Apr	0.00	0.0
B BUCK CAPITAL MGMT		GYMB	B	10,000	51.74	n/a	9-Apr	non-brg	4.0
f ROBERT M DANIELS	FID	HD	S	55	35.16	n/a	23-Feb	0.00	0.0
MERRILL ASSET/BLACKROCK	263	HSC	B	7,500	32.99	n/a	1-Feb	300.00	4.0
DSG CAPITAL	225	IR	B	10,000	38.03	n/a	16-Feb	300.00	3.0
B BUCK CAPITAL MGMT		IWM	C	525,000	72.48	n/a	n/a	non-brg	2.0
WAGONHOUND/NIC	048	JCI	B	6,198	34.48	n/a	26-Mar	247.92	4.0
CAERUS GLOBAL	041	JCP	B	5,000	30.01	n/a	21-Apr	200.00	4.0
EXIS CAPITAL	044	JCP	SS	15,000	30.46	n/a	21-Apr	750.00	5.0
CATAPULT	040	JNS	S	10,000	15.41	n/a	n/a	500.00	5.0
EGS ASSOCIATES LP	091	JNY	B	3,000	21.63	n/a	14-Apr	180.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	JOE	SS	83,400	35.82	n/a	n/a	3,336.00	4.0
f DAVID GEORGE BUCK	FID	JPM	B	1000	45.20	n/a	15-Apr	0.00	0.0
f ROBERT M DANIELS	FID	JST	B	100	22.14	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	KEY	S	200,000	9.05	n/a	n/a	6,000.00	3.0
RBC CAPITAL MARKETS	040	KSS	B	7,500	56.33	n/a	9-Apr	300.00	4.0
B BUCK CAPITAL MGMT		LEA	B	10,000	83.69	n/a	20-Apr	non-brg	4.0
OZ MGMT	040	LEA	B	20,000	84.48	n/a	20-Apr	600.00	3.0
IRIDIAN ASSET MGMT.	036	LMT	S	6,090	86.39	n/a	14-Apr	304.50	5.0
THE JAY GOLDMAN	028	MAR	S	15,000	34.27	n/a	n/a	600.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	B	172,400	70.96	21-Apr	21-Apr	6,896.00	4.0
CAVU CAP ADV	028	MOS	B	10,000	53.64	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		MSMSRAWW	SS	746,500	100.83	n/a	n/a	non-brg	10.1
f ANTHONY SUTERA	FID	MS	S	1000	31.51	n/a	21-Apr	0.00	0.0
f CHRISTOPHER ROBERT C	FID	MS	S	200	31.74	n/a	21-Apr	0.00	0.0
f KAREN F LEDDY	FID	MS	S	400	32.07	n/a	21-Apr	0.00	0.0
TRELLUS PARTNERS LP	028	MS	B	10,000	31.20	n/a	21-Apr	500.00	5.0
BIXBY LLC	070	M	B	10,000	23.06	n/a	9-Apr	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	NWL	B	30,000	17.19	n/a	n/a	1,500.00	5.0
RBC CAPITAL MARKETS	040	ORLY	S	7,500	44.12	n/a	n/a	300.00	4.0
f DAVID GEORGE BUCK	FID	PEP	B	500	65.95	n/a	n/a	0.00	0.0
SAC TRADING TOM LEDDY	035	PII	SS	50,000	64.00	n/a	n/a	1,750.00	3.5
B BUCK CAPITAL MGMT		PIR	S	100,000	9.47	n/a	n/a	non-brg	3.0
EMERSON CAPITAL MGMT	048	PRGO	SS	4,500	59.59	n/a	19-Apr	180.00	4.0
B BUCK CAPITAL MGMT		PSS	B	30,000	23.82	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	PTTDX	S	747	11.10	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	65,000	63.66	n/a	21-Apr	1,950.00	3.0
RBC CAPITAL MARKETS	040	RCL	SS	5,000	34.27	n/a	n/a	200.00	4.0
f MICHAEL THOMAS NOLAN	FID	ROHI	S	1000	2.55	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	RRR	B	3000	7.99	n/a	17-Feb	0.00	0.0
IRIDIAN ASSET MGMT.	036	RTN	S	5,970	59.94	n/a	13-Apr	298.50	5.0
EMERSON CAPITAL MGMT	048	R	S	3,000	46.02	n/a	n/a	120.00	4.0
f JOSEPH CIRO AMATURO	FID	SFI	B	5000	5.99	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAVU CAP ADV	028	SNDK	S	35,390	37.64	n/a	n/a	1,769.50	5.0
CHART WELL ADV	028	SOA	S	21,475	16.80	n/a	n/a	859.00	4.0
GREEN ARROW DOUG	040	SOA	S	30,000	16.85	n/a	n/a	1,500.00	5.0
GREEN ARROW DOUG	040	SON	B	20,000	32.92	n/a	n/a	1,000.00	5.0
f JOHN BARTMAN COLE	FID	SPP	B	3500	4.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPY	C	100,000	120.75	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SPY	C	310,000	120.32	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		STT	B	20,000	43.46	n/a	21-Apr	non-brg	4.0
f JONATHAN RICHARD HAR	FID	TBT	B	50	46.92	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	TEX	S	500	25.99	n/a	22-Feb	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	99,400	23.58	n/a	21-Apr	4,970.00	5.0
HUNTER GLOBAL INVESTOR	067	TIN	B	491,500	23.61	n/a	21-Apr	24,575.00	5.0
CASTLEROCK	040	TJX	B	68,526	46.46	n/a	9-Apr	2,741.04	4.0
RBC CAPITAL MARKETS	040	TJX	B	10,000	46.70	n/a	9-Apr	400.00	4.0
B BUCK CAPITAL MGMT		TLB	B	20,000	15.60	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	TLB	B	5000	15.56	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	TMBCF	S	2000	2.95	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TM	SS	5,000	78.03	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAVU CAP ADV	028	TNB	B	11,400	41.61	n/a	n/a	570.00	5.0
AVENUE CAPITAL MGMT	070	TRW	B	85,900	32.85	n/a	n/a	2,577.00	3.0
MILLENIUUM PARTNERS	028	TYC	S	10,000	39.86	n/a	29-Jan	400.00	4.0
f STEFFANIE CARMELA CA	FID	UQM	B	600	4.02	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	URI	B	5000	10.62	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	URI	B	15,000	10.69	n/a	n/a	750.00	5.0
CAVU CAP ADV	028	UTX	SS	25,000	74.28	n/a	n/a	1,250.00	5.0
f CHRISTOPHER ROBERT C	FID	VRS	S	1000	5.20	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	WAG	B	9,000	35.80	n/a	n/a	360.00	4.0
&PRO	036	WAG	B	1,000	35.80	n/a	n/a	40.00	4.0
RBC CAPITAL MARKETS	040	WCN	B	10,000	34.79	n/a	n/a	400.00	4.0
CHILTON CAPITAL MGMT.	036	WFT	S	100,000	16.85	n/a	n/a	3,000.00	3.0
GREEN ARROW DOUG	040	WGO	B	25,000	15.92	n/a	n/a	1,250.00	5.0
NEWLAND CAPITAL MGT	067	WM	SS	25,000	35.15	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	WSM	B	7,500	30.63	n/a	n/a	300.00	4.0
HIGHBRIDGE CAP	041	WY	S	38,435	50.30	n/a	19-Apr	1,537.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
8 BUCK CAPITAL MGMT		XRT	SS	600,000	43.16	n/a	n/a	non-brg	2.0
RBC CAPITAL MARKETS	040	XRT	SS	20,000	43.11	n/a	n/a	800.00	4.0
TOTAL (Trade Date) :								139,295.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/20	MILLENIUUM PARTNERS	028	AN	B	10,000	19.58	n/a	20-Apr	300.00 3.0
AO,CRT	04/20	MILLENIUUM PARTNERS	028	AN	B	10,000	19.58	n/a	20-Apr	300.00 3.0
AO,CXL	04/20	MILLENIUUM PARTNERS	028	COH	B	35,637	41.98	n/a	21-Apr	1069.11 3.0
AO,CRT	04/20	MILLENIUUM PARTNERS	028	COH	B	35,637	41.98	n/a	21-Apr	1069.11 3.0
AO,CRT	04/20	WINSLOW CAPITAL	030	CTSH	S	3,700	52.89	n/a	n/a	148.00 4.0
AO,CXL	04/20	WINSLOW CAPITAL	030	CTSH	S	3,700	52.89	n/a	n/a	185.00 5.0
AO,CXL	04/20	WINSLOW CAPITAL	030	CTXS	S	800	48.64	n/a	n/a	40.00 5.0
AO,CRT	04/20	WINSLOW CAPITAL	030	CTXS	S	800	48.64	n/a	n/a	32.00 4.0
AO,CXL	04/20	MILLENIUUM PARTNERS	028	GPI	SS	20,000	33.82	n/a	20-Apr	600.00 3.0
AO,CRT	04/20	MILLENIUUM PARTNERS	028	GPI	SS	20,000	33.82	n/a	20-Apr	600.00 3.0
AO,CXL	04/20	FARALLON CAP MGMT	040	MHK	SS	3,208	60.02	n/a	n/a	128.32 4.0
AO,CRT	04/20	FARALLON CAP MGMT	040	MHK	SS	3,208	60.02	n/a	n/a	128.32 4.0
AO,CXL	04/20	TRELLUS PARTNERS LP	028	MS	B	20,000	30.05	n/a	21-Apr	600.00 3.0
AO,CRT	04/20	TRELLUS PARTNERS LP	028	MS	B	20,000	30.05	n/a	21-Apr	1000.00 5.0
AO,CXL	04/20	MILLENIUUM PARTNERS	028	PAG	B	35,000	15.39	n/a	20-Apr	1050.00 3.0
AO,CRT	04/20	MILLENIUUM PARTNERS	028	PAG	B	35,000	15.39	n/a	20-Apr	1050.00 3.0
AO,CXL	04/20	STANDARD PACIFIC CAPITAL	040	VALE	SS	110,000	33.03	n/a	n/a	5500.00 5.0
AO,CRT	04/20	STANDARD PACIFIC CAPITAL	040	VALE	SS	110,000	33.03	n/a	n/a	5500.00 5.0
TOTAL (AO, CXL, CRT) :										355.00

TOTAL (Trade Date):	139,295.97
TOTAL (AO, CXL, CRT):	355.00

TOTAL (RUN DATE) / NFS:	139,650.97
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MRI Securities with Trade Activity on 21-Apr.

MCD

MRI Securities without Trade Activity on 21-Apr.
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NONE

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

T-Date = 0%

YTD = 11%

<u>Legend:</u>
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)