



Daily Compliance Activity Report

Trade Date: 09/09/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AAP	C	25,000	60.46	n/a	n/a	1,250.00	5.0
NEWLAND CAPITAL MGT	025	AIMC	B	15,000	12.67	n/a	n/a	600.00	4.0
BRONSON POINT	036	AMCX	SS	30,000	32.54	n/a	n/a	900.00	3.0
f DAVID GEORGE BUCK	FID	APA	S	700	95.52	n/a	17-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	BBY	SS	20,300	24.30	n/a	n/a	1,015.00	5.0
B BUCK CAPITAL MGMT		BK	S	100,300	19.92	n/a	24-Aug	non-brg	4.0
JET CAPITAL/CHRIS	041	CCI	B	20,000	42.18	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		CGI	B	10,000	10.49	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CHEF	S	9,475	14.00	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	CHS	SS	15,000	13.06	n/a	5-Feb	750.00	5.0
BRIGADE CAPITAL MGMT	029	CLNE	S	50,000	13.41	n/a	n/a	1,500.00	3.0
f KAREN F LEDDY	FID	CPN	S	700	13.94	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CROX	B	25,000	25.35	n/a	n/a	1,250.00	5.0
f JASON ERIC COHEN	FID	CVGI	S	180	6.16	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOHN BARTMAN COLE	FID	CVGI	S	1000	6.15	n/a	n/a	0.00	0.0
	CASTLEROCK	040	C	S	290,874	27.48	n/a	24-Aug	11,634.96	4.0
B	BUCK CAPITAL MGMT		DECK	B	10,000	89.08	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		DECK	B	10,000	89.08	n/a	n/a	non-brg	4.0
f	HARALAMBOS EFSTATHI	FID	DRR	B	300	41.45	n/a	n/a	0.00	0.0
Õ	Doug Rogers		FOR	S	200	11.25	n/a	9-Aug	0.00	0.0
Õ	Doug Rogers		FOR	S	400	11.25	n/a	9-Aug	0.00	0.0
Õ	Doug Rogers		FOR	S	400	11.26	n/a	9-Aug	0.00	0.0
	HUNTER GLOBAL INVESTOR	028	F	SS	197,000	10.16	n/a	2-Sep	5,910.00	3.0
f	IAN L MILLER	FID	GDX	S	25	66.55	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	041	GES	SS	5,000	30.04	n/a	25-Aug	150.00	3.0
	HUNTER GLOBAL INVESTOR	028	GM	SS	90,000	22.25	n/a	2-Sep	4,500.00	5.0
	OZ MGMT	040	GM	B	50,000	21.68	n/a	2-Sep	1,500.00	3.0
	WEINTRAUB CAPITAL MGT.	040	GM	SS	25,000	21.84	n/a	2-Sep	1,000.00	4.0
	BALYASNY ASSET MGMT	044	GNC	B	20,000	23.76	n/a	n/a	1,000.00	5.0
f	DAVID GEORGE BUCK	FID	GS	S	10	3.50	n/a	24-Aug	0.00	0.0
	AVESTA CAP	229	HD	S	50,000	31.66	n/a	16-Aug	1,500.00	3.0
	CSFB GLOBAL PROPRIETARY	041	IP	B	70,000	26.27	n/a	6-Sep	3,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	IP	B	90,700	26.47	n/a	6-Sep	3,628.00	4.0
CAERUS GLOBAL	041	JNY	B	25,000	10.63	n/a	28-Jul	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		JPM	S	62,200	32.18	n/a	31-Aug	non-brg	4.0
ADAGE CAPITAL MGMT	030	JWN	SS	120,000	44.85	n/a	2-Sep	3,600.00	3.0
⚡ BUCK CAPITAL MGMT		KEY	B	325,300	6.17	n/a	n/a	non-brg	3.0
LATEFF MGMT	035	KMB	S	100	66.94	n/a	25-Jul	30.00	30.0
⚡ BUCK CAPITAL MGMT		KSS	C	70,000	43.11	n/a	2-Sep	non-brg	4.0
f AMY O'BANNON	FID	LGND	B	250	15.08	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	100	15.02	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	100	15.03	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	141	15.03	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	145	15.04	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	23	15.02	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	30	15.01	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	400	15.04	n/a	n/a	0.00	0.0
Õ Doug Rogers		LGND	B	61	15.03	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LNCR	S	1500	20.83	n/a	n/a	0.00	0.0
DC CAPITAL	044	LPX	B	50,000	5.98	n/a	5-Aug	2,000.00	4.0
BALYASNY ASSET MGMT	044	MGA	B	25,000	35.28	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	86.46	n/a	n/a	non-brg	6.9

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	86.46	n/a	n/a	non-brg 6.9
f	JOHN BARTMAN COLE	FID	MTW	S	400	9.16	n/a	28-Jul	0.00 0.0
	KLEINHEINZ CAP PART	031	M	S	50,000	25.13	n/a	2-Sep	2,500.00 5.0
	BNP PARIBAS SEC	040	NDN	B	50,000	18.60	n/a	22-Aug	2,500.00 5.0
	NEWLAND CAPITAL MGT	025	NDSN	SS	15,000	40.98	n/a	n/a	600.00 4.0
	CYPRESS CAP MGMT LLC	040	NYT	S	38,700	7.16	n/a	n/a	1,548.00 4.0
	BALYASNY ASSET MGMT	044	ODP	B	10,000	2.37	n/a	n/a	300.00 3.0
	SONTERRA CAP	041	OSK	B	41,398	17.02	n/a	n/a	1,655.92 4.0
	BALYASNY ASSET MGMT	044	PLCE	B	20,000	41.70	n/a	18-Aug	1,000.00 5.0
	BUCK CAPITAL MGMT	001	RL	SS	20,000	135.87	n/a	11-Aug	600.00 3.0
	TUDOR INVESTORS	028	SBUX	B	25,000	37.50	n/a	29-Jul	750.00 3.0
	MELLON/BANK OF NEW YORK	046	SD	S	1,169,490	6.89	n/a	n/a	46,779.60 4.0
B	BUCK CAPITAL MGMT		SFLY	S	15,000	51.64	n/a	n/a	non-brg 2.5
B	BUCK CAPITAL MGMT		SHOO	B	20,000	32.55	n/a	n/a	non-brg 4.0
	TALPION LLC	040	SODA	S	4,300	39.37	n/a	n/a	172.00 4.0
f	ALANA J A MADIGAN-SI	FID	SOXL	S	825	27.36	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	SPY	S	250	117.04	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	031	SSI	B	7,800	13.97	n/a	n/a	312.00	4.0
B BUCK CAPITAL MGMT		STT	B	46,800	32.10	n/a	24-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		TEA	B	1,704	22.17	n/a	n/a	non-brg	2.5
BASIX	033	TEX	S	20,000	13.48	n/a	22-Jul	600.00	3.0
CYPRESS CAP MGMT LLC	040	TGT	S	16,300	49.84	n/a	1-Sep	652.00	4.0
f BARBARA S LEDDY	FID	TIN	S	600	31.03	n/a	6-Sep	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TIN	S	500	31.02	n/a	6-Sep	0.00	0.0
f RAVI SADARANGANI	FID	TIN	S	500	31.00	n/a	6-Sep	0.00	0.0
GALT INVESTMENT	041	TITN	B	15,000	21.66	n/a	n/a	750.00	5.0
NEWLAND CAPITAL MGT	025	TNB	S	300	42.08	n/a	n/a	12.00	4.0
NEWLAND CAPITAL MGT	025	TSO	SS	50,000	23.69	n/a	n/a	2,000.00	4.0
f JONATHAN RICHARD HAR	FID	TZA	B	100	47.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	SS	50,000	24.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URI	B	5,000	15.88	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	VFC	B	20,000	115.57	n/a	22-Jul	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	VSI	C	18,000	39.90	n/a	n/a	900.00	5.0
ADAGE CAPITAL MGMT	030	WMT	B	150,000	51.37	n/a	25-Aug	4,500.00	3.0
BALYASNY ASSET MGMT	044	WRC	SS	25,000	50.48	n/a	2-Aug	1,250.00	5.0
BNP PARIBAS SEC	040	WRC	B	10,000	48.94	n/a	2-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	49.24	n/a	2-Aug	300.00	3.0
f JOHN BARTMAN COLE	FID		B	35000	0.10	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							121,249.48		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	09/08	CLOVIS CAPITAL	033	EL	B	50,000	98.33	n/a 16-Aug	2500.00 5.0
AO,CXL	09/08	CLOVIS CAPITAL	033	EL	B	50,000	98.33	n/a 16-Aug	1500.00 3.0

TOTAL (AO, CXL, CRT) :	1,000.00
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TOTAL (Trade Date) :	121,249.48
TOTAL (AO, CXL, CRT) :	1,000.00

TOTAL (RUN DATE) / NFS:	122,249.48
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 9-Sep.
NONE

MRI Securities without Trade Activity on 9-Sep.
ARCO

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 3%
YTD = 2%

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)