



Daily Compliance Activity Report

Trade Date: 01/13/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSG CAPITAL	225	BBY	SS	5,000	27.56	n/a	27-Jul	250.00	5.0
f MARC PAUL LUCHANSKY	FID	BIIB	B	500	49.71	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	CASY	B	24,350	22.07	n/a	n/a	730.50	3.0
S.A.C. CAP/ORENSTEIN	044	CBE	B	33,100	28.63	n/a	24-Nov	1,655.00	5.0
HOLDEN CAPITAL MGMT	035	CMG	SS	10,000	52.91	23-Oct	8-Jan	500.00	5.0
PRINCIPLE CAPITAL	040	CVS	B	52,700	25.81	n/a	n/a	1,581.00	3.0
f ANN M GAULT	FID	DXO	B	5000	2.91	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	DXO	B	10000	2.91	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	DXO	B	10000	2.94	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	ENR	S	146,920	50.28	4-Nov	4-Nov	5,876.80	4.0
SCOPUS FUND	041	ETN	SS	20,000	49.29	7-Jan	7-Jan	1,000.00	5.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	13.93	10-Nov	12-Dec	non-brg	4.0
f ANTHONY SUTERA	FID	GE	B	1000	15.01	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	GE	B	20,000	14.91	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		GIL	B	100,000	11.05	11-Dec	12-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	B	175,000	11.18	11-Dec	12-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	B	25,000	11.05	11-Dec	12-Dec	non-brg	1.0
BALYASNY ASSET MGMT	044	GNTX	SS	20,000	8.70	23-Dec	12-Jan	800.00	4.0
⌘ BUCK CAPITAL MGMT		GSIC	B	10,000	9.25	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GSIC	B	40,000	9.13	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		HOTT	SS	20,000	8.82	n/a	9-Jan	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	237	ICON	SS	25,000	9.02	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		JCG	B	100,000	9.46	n/a	9-Jan	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JCG	B	150,000	9.45	n/a	9-Jan	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JCG	B	50,000	9.68	n/a	9-Jan	non-brg	3.0
f DAVID GEORGE BUCK	FID	JCP	S	1000	19.93	9-Jan	9-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	S	30,000	4.68	n/a	13-Jan	900.00	3.0
⌘ BUCK CAPITAL MGMT		JOSB	B	10,000	30.28	n/a	n/a	non-brg	1.5
⌘ BUCK CAPITAL MGMT		JOSB	B	18,502	29.94	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		JOSB	B	41,498	30.22	n/a	n/a	non-brg	1.0
DIAMONDBACK CAP MGMT	232	JPM	B	75,000	25.45	23-Dec	23-Dec	3,750.00	5.0
DIAMONDBACK CAP MGMT	232	JPM	S	25,000	25.65	23-Dec	23-Dec	1,250.00	5.0
FINANCIAL STOCK LP	028	JPM	B	75,000	25.86	23-Dec	23-Dec	3,000.00	4.0
GRUBER MACBAINE	033	JPM	B	15,000	25.92	23-Dec	23-Dec	600.00	4.0
SANDLER O'NEILL ASSET	031	JPM	B	25,000	24.68	23-Dec	23-Dec	1,250.00	5.0
SCOPUS FUND	041	KMT	B	33,800	19.15	18-Sep	13-Jan	1,690.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	60,000	1.87	5-Nov	5-Nov	1,200.00	2.0
CRAMER ROSENTHAL/SCOTT	098	MAT	B	239,100	15.20	n/a	n/a	9,564.00	4.0
B BUCK CAPITAL MGMT		PERY	S	15,000	4.92	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PERY	S	6,000	5.05	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PFCB	SS	10,000	18.97	8-Jan	8-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		PFCB	SS	40,000	18.93	8-Jan	8-Jan	non-brg	4.0
COUGAR TRADING	044	PFCB	SS	5,000	19.32	8-Jan	8-Jan	250.00	5.0
JETSTREAM GLOBAL FUND LP	065	PFCB	SS	27,100	18.64	8-Jan	8-Jan	1,355.00	5.0
SERENGETI MGMT	030	PFG	SS	100,000	19.19	n/a	n/a	5,000.00	5.0
MAGNETAR FINANCIAL	031	PGN	S	5,900	38.01	n/a	n/a	295.00	5.0
f NEIL M STRATTON	FID	PNWIF	B	7500	1.45	n/a	n/a	0.00	0.0
MACKLOWE ASSET MGMT	041	PSS	B	15,000	11.93	n/a	n/a	750.00	5.0
COUGAR TRADING	044	PVH	B	2,500	18.18	18-Dec	18-Dec	125.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	25,000	18.24	18-Dec	18-Dec	750.00	3.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	22,098	12.01	7-Nov	7-Nov	662.94	3.0
CASEY CAPITAL	067	RL	B	5,000	40.87	n/a	6-Nov	250.00	5.0
f MARC PAUL LUCHANSKY	FID	SDS	S	1700	74.64	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SDS	S	500	74.29	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOLDEN CAPITAL MGMT	035	SFSF	B	36,700	5.70	n/a	n/a	1,835.00	5.0
f WILLIAM J GAULT	FID	SSO	B	5000	24.56	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	STI	S	1500	23.44	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	STT	S	216,000	38.61	n/a	n/a	8,640.00	4.0
f CHRISTOPHER ARTHUR K	FID	SWN	B	1000	29.50	19-Dec	19-Dec	0.00	0.0
NOMURA CAPITAL	045	TOL	B	5,000	19.15	n/a	n/a	250.00	5.0
COUGAR TRADING	044	UA	SS	10,000	22.95	n/a	13-Jan	500.00	5.0
f JONATHAN RICHARD HAR	FID	UQM	B	550	1.67	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	50,000	14.65	5-Nov	9-Jan	non-brg	1.0
KLEINHEINZ CAP PART	031	WFMI	B	25,000	13.17	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT	001	WRC	B	119,000	17.28	7-Nov	7-Nov	4,760.00	4.0
B BUCK CAPITAL MGMT		WRC	B	25,000	17.53	7-Nov	7-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		WRC	B	36,000	17.68	7-Nov	7-Nov	non-brg	2.0
B BUCK CAPITAL MGMT		WYNN	SS	50,000	39.63	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	ZQK	S	20,000	1.67	19-Dec	19-Dec	400.00	2.0

TOTAL (Trade Date):

64,920.24

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/12	SCOPUS FUND	041	DLTR	B	16,400	41.12	n/a	6-Jan	820.00 5.0
AO,CXL	01/12	SCOPUS FUND	041	DLTR	B	16,400	41.12	n/a	6-Jan	820.00 5.0
AO,CRT	01/12	BUCK CAPITAL MGMT	001	EXR	S	10,000	9.15	n/a	n/a	300.00 3.0
AO,CXL	01/12	BUCK CAPITAL MGMT	001	EXR	S	10,000	9.15	n/a	n/a	400.00 4.0
AO,	01/12	TRELLUS PARTNERS LP	028	FDO	SS	10,000	27.92	7-Jan	7-Jan	500.00 5.0
AO,CRT	01/07	PROSPECTOR PARTNERS LLC	036	MWV	B	300	12.44	15-Dec	15-Dec	12.00 4.0
AO,CXL	01/07	PROSPECTOR PARTNERS LLC	036	MWV	B	300	12.44	15-Dec	15-Dec	12.00 4.0
AO,	01/12	TRELLUS PARTNERS LP	028	PCAR	B	20,000	29.27	20-Nov	30-Dec	1000.00 5.0
AO,CRT	01/12	MAGNETAR FINANCIAL	031	PGN	S	44,100	38.21	n/a	n/a	1323.00 3.0
AO,CXL	01/12	MAGNETAR FINANCIAL	031	PGN	S	44,100	38.21	n/a	n/a	1764.00 4.0
AO,CRT	01/12	HUNTER GLOBAL INVESTOR	067	RJF	B	21,900	17.27	n/a	n/a	876.00 4.0
AO,CXL	01/12	HUNTER GLOBAL INVESTOR	067	RJF	B	28,900	17.27	n/a	n/a	1156.00 4.0
AO,	01/12	HUNTER GLOBAL INVESTOR	067	RJF	B	7,000	17.27	n/a	n/a	280.00 4.0

TOTAL (AO, CXL, CRT) :**959.00**

TOTAL (Trade Date) :

64,920.24

TOTAL (AO, CXL, CRT) :

959.00

TOTAL (RUN DATE) / NFS:

65,879.24

MRI Securities with Trade Activity on 13-Jan.
NONE

MRI Securities without Trade Activity on 13-Jan.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 16%
YTD = 25%

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

BCM Watch List Trades

f: Employee Trades (Fidelity)