



Daily Compliance Activity Report

Trade Date: 02/12/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	ADI	S	7,000	21.11	n/a	n/a	280.00	4.0
BALYASNY ASSET MGMT	044	AEO	C	50,000	8.96	n/a	6-Feb	2,000.00	4.0
HIGHBRIDGE/MS OLDS	041	ALV	B	45,800	19.78	30-Jan	4-Feb	2,290.00	5.0
BALYASNY ASSET MGMT	044	ANF	C	25,000	20.15	n/a	6-Feb	1,250.00	5.0
f DAVID GEORGE BUCK	FID	BFRM	S	7500	1.37	n/a	n/a	0.00	0.0
G WEISS /SASHA	070	BLK	SS	5,000	111.55	11-Feb	11-Feb	200.00	4.0
PROSPECTOR PARTNERS LLC	036	BR	B	10,000	16.33	n/a	30-Jan	400.00	4.0
MATLIN PATTERSON	046	BTU	B	25,000	27.01	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	BWA	SS	90,000	20.51	27-Jan	27-Jan	3,600.00	4.0
CATAPULT	040	BWA	SS	77,000	21.38	27-Jan	27-Jan	3,850.00	5.0
COUGAR TRADING	044	BWA	B	15,000	21.06	27-Jan	27-Jan	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	BWA	SS	25,000	19.02	27-Jan	27-Jan	1,000.00	4.0
MORTAR ROCK	033	BWA	SS	10,000	21.80	27-Jan	27-Jan	400.00	4.0
PRINCIPLE CAPITAL	040	BWA	SS	50,000	20.05	27-Jan	27-Jan	1,500.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	29,500	21.22	27-Jan	27-Jan	1,475.00	5.0
JET CAPITAL/CHRIS	041	CAT	SS	20,000	30.39	22-Oct	27-Jan	600.00	3.0
FRIESS MGMT	033	CENTA	B	50,000	6.72	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	CHK	SS	122,900	17.44	n/a	n/a	6,145.00	5.0
JETSTREAM GLOBAL FUND LP	065	COH	SS	255,700	14.04	9-Jan	22-Jan	12,785.00	5.0
ROSEDALE CAPITAL	046	CSCO	B	25,000	15.91	n/a	22-Mar	1,250.00	5.0
ROTHSCHILD ASSET	040	EMC	B	36,450	11.82	n/a	n/a	1,640.25	4.5
NEUBERGER BERMAN	036	EQR	B	11,800	21.48	n/a	n/a	531.00	4.5
NEUBERGER BERMAN	036	ESS	B	4,550	57.12	n/a	n/a	204.75	4.5
CAMBIAR CAP	046	FIC	S	48,770	12.15	n/a	n/a	1,950.80	4.0
G WEISS /SASHA	070	FII	C	50,000	20.76	13-Nov	10-Feb	2,000.00	4.0
NEUBERGER BERMAN	036	GEO	B	43,500	14.23	n/a	n/a	1,957.50	4.5
BUCK CAPITAL MGMT	001	GES	S	100,000	16.31	n/a	n/a	4,000.00	4.0
f EDWARD W WHEELER	FID	GEWIA	S	120	1.75	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	GIL	B	79,500	7.48	11-Dec	12-Feb	2,385.00	3.0
f MANNY I KORMAN	FID	GMOH	B	100	1.85	n/a	n/a	0.00	0.0
CATAPULT	040	HON	SS	47,000	31.21	n/a	30-Jan	2,350.00	5.0
RAINIER INV MGMT	035	IMA	B	101,225	25.82	n/a	n/a	4,049.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	IP	B	202,500	7.02	22-Sep	29-Jan	6,075.00	3.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	11.12	n/a	30-Jan	800.00	4.0
FRIESS MGMT	033	JOSB	B	74,300	26.42	n/a	n/a	2,972.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	30,000	35.64	n/a	6-Feb	1,200.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	5.12	16-Dec	20-Jan	400.00	4.0
REICH AND TANG	067	OI	B	10,000	17.11	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	PSA	B	4,000	58.88	n/a	n/a	180.00	4.5
T. ROWE PRICE	033	SCHW	B	107,700	12.80	n/a	n/a	4,308.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	7.05	n/a	13-Mar	3,000.00	3.0
THE BOSTON COMPANY	401	SKX	S	41,880	7.01	n/a	13-Mar	1,675.20	4.0
f DAVID GEORGE BUCK	FID	SPG	B	1500	40.23	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SPG	B	5,800	40.12	n/a	n/a	261.00	4.5
f ANDREW SINCLAIR	FID	SZCRF	S	15	8.86	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	20,000	30.16	5-Feb	10-Feb	800.00	4.0
MACKLOWE ASSET MGMT	041	TGT	S	20,000	30.63	5-Feb	10-Feb	800.00	4.0
f EDWARD W WHEELER	FID	UYG	S	25000	3.00	n/a	n/a	0.00	0.0
REICH AND TANG	067	WFT	B	25,000	10.68	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACKLOWE ASSET MGMT	041	WMT	SS	10,000	48.13	10-Oct	10-Feb	400.00	4.0
PROSPECTOR PARTNERS LLC	036	XEC	B	10,000	24.64	n/a	n/a	400.00	4.0
f CHRISTOPHER ARTHUR K	FID	XLF	B	3000	9.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	1.61	19-Dec	27-Jan	1,000.00	2.0
TOTAL (Trade Date):								89,114.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/05	CSFB GLOBAL PROPRIETARY	041	LPX	S	20,000	1.91	5-Nov	23-Jan	300.00 1.5
AO,CXL	02/05	CSFB GLOBAL PROPRIETARY	041	LPX	S	20,000	1.91	5-Nov	23-Jan	400.00 2.0

TOTAL (AO, CXL, CRT) :	-100.00
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TOTAL (Trade Date) :	89,114.50
TOTAL (AO, CXL, CRT) :	-100.00

TOTAL (RUN DATE) / NFS:	89,014.50
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MRI Securities with Trade Activity on 12-Feb. NONE

MRI Securities without Trade Activity on 12-Feb. AOS, FOR, RDEN

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