



Daily Compliance Activity Report

Trade Date: 03/30/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHALE ROCK CAP	030	AAPL	S	8,500	103.14	n/a	n/a	340.00	4.0
f BARBARA S LEDDY	FID	ABG	S	500	4.50	n/a	17-Mar	0.00	0.0
WHALE ROCK CAP	030	ADI	S	45,471	19.23	n/a	n/a	1,818.84	4.0
MTB INV ADV	034	AEO	S	15,918	12.41	n/a	12-Mar	795.90	5.0
BALYASNY ASSET MGMT	044	ALV	SS	10,000	17.83	12-Mar	12-Mar	500.00	5.0
BMO NESBITT BURNS	041	ALV	SS	25,000	17.68	12-Mar	12-Mar	1,250.00	5.0
TRELLUS PARTNERS LP	028	ALV	SS	15,000	17.53	12-Mar	12-Mar	750.00	5.0
f MANNY I KORMAN	FID	AMTD	S	7000	13.49	n/a	n/a	0.00	0.0
MTB INV ADV	034	AM	S	18,900	4.86	n/a	n/a	567.00	3.0
MTB INV ADV	034	ANF	S	6,000	23.90	n/a	6-Feb	300.00	5.0
BALYASNY ASSET MGMT	044	AN	SS	15,000	13.68	30-Jan	30-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	AN	SS	100,000	13.59	30-Jan	30-Jan	4,000.00	4.0
B BUCK CAPITAL MGMT		ARO	C	120,000	26.20	n/a	13-Mar	non-brg	4.0
MTB INV ADV	034	ARO	S	6,000	25.81	n/a	13-Mar	300.00	5.0
BUCK CAPITAL MGMT	001	AVP	B	40,000	18.79	25-Feb	30-Mar	1,600.00	4.0
f KEVIN MICHAEL O'GORM	FID	BACPRU	S	1000	9.20	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	BAC	S	5000	6.50	2-Mar	23-Mar	0.00	0.0
UBS OCONNOR	031	BAC	C	200,000	6.07	2-Mar	23-Mar	6,000.00	3.0
B BUCK CAPITAL MGMT		BEBE	B	85,600	6.58	n/a	n/a	non-brg	3.0
WAGONHOUND/NIC	048	BGU	S	14,334	22.83	n/a	n/a	430.02	3.0
BUCK CAPITAL MGMT	001	BJ	SS	40,000	31.99	n/a	27-Jul	1,600.00	4.0
B BUCK CAPITAL MGMT		BKS+SW[???	SS	1,000	1.15	n/a	n/a	non-brg	300.0
MTB INV ADV	034	BKS	S	9,700	21.68	n/a	n/a	485.00	5.0
MTB INV ADV	034	BLC	S	18,700	0.82	n/a	n/a	374.00	2.0
BALYASNY ASSET MGMT	044	BWA	SS	15,000	20.36	12-Mar	19-Mar	750.00	5.0
BUCK CAPITAL MGMT	001	BWA	SS	30,000	20.21	12-Mar	19-Mar	1,200.00	4.0
COOPER CREEK PART	028	BWA	SS	5,000	20.42	12-Mar	19-Mar	200.00	4.0
MTB INV ADV	034	BWA	S	3,000	20.09	12-Mar	19-Mar	150.00	5.0
RESURGENCE ASSET MGMT	070	BWA	SS	25,000	20.22	12-Mar	19-Mar	1,250.00	5.0
SCOPUS FUND	041	BWA	SS	25,000	20.19	12-Mar	19-Mar	1,250.00	5.0
B BUCK CAPITAL MGMT		CACH	B	31,800	2.46	n/a	n/a	non-brg	1.5
B BUCK CAPITAL MGMT		CACH	B	7,700	2.45	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		CACH	B	700	2.51	n/a	n/a	non-brg	1.0
PRINCIPLE CAPITAL	040	COH	SS	131,200	16.33	9-Jan	22-Jan	3,936.00	3.0
B BUCK CAPITAL MGMT		COST	SS	20,000	46.14	n/a	27-Jul	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		COST	SS	30,000	46.32	n/a	27-Jul	non-brg	4.0
f MANNY I KORMAN	FID	COST	S	1000	46.68	n/a	27-Jul	0.00	0.0
f MANNY I KORMAN	FID	CPRE	S	8000	7.25	n/a	n/a	0.00	0.0
MTB INV ADV	034	CSS	S	8,400	15.65	n/a	n/a	420.00	5.0
B BUCK CAPITAL MGMT		CTAS	SS	70,000	24.36	n/a	n/a	non-brg	4.0
MTB INV ADV	034	CTR	S	11,600	17.20	n/a	n/a	580.00	5.0
B BUCK CAPITAL MGMT		CVS	S	50,000	26.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DAI	C	40,000	25.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	50.92	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	DKS	B	128,373	14.21	24-Mar	24-Mar	5,134.92	4.0
B BUCK CAPITAL MGMT		DLTR	SS	30,000	44.28	10-Feb	6-Mar	non-brg	4.0
f JONATHAN RICHARD HAR	FID	DXO	S	1560	2.86	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	DXO	S	10000	2.89	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	DXO	S	3000	2.87	n/a	n/a	0.00	0.0
MTB INV ADV	034	ELY	S	16,600	7.23	n/a	n/a	830.00	5.0
NEWCASTLE FUNDS	033	ETH	B	40,000	10.91	n/a	n/a	1,600.00	4.0
MTB INV ADV	034	FDO	S	2,000	33.02	5-Mar	6-Mar	100.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	FII	B	20,000	21.37	30-Mar	30-Mar	800.00	4.0
MTB INV ADV	034	FL	S	19,200	10.02	24-Mar	24-Mar	960.00	5.0
B BUCK CAPITAL MGMT		FMQ+TU[???	SS	3,000	1.55	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	15.58	23-Jan	30-Jan	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	FOSL	S	800	15.72	23-Jan	30-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	40,000	18.59	n/a	10-Jan	1,600.00	4.0
BUCK CAPITAL MGMT	001	GES	S	20,000	19.78	n/a	n/a	800.00	4.0
MTB INV ADV	034	GES	S	10,238	19.75	n/a	n/a	511.90	5.0
MTB INV ADV	034	GME	S	5,000	26.44	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	GNTX	SS	20,000	9.75	30-Jan	12-Mar	800.00	4.0
B BUCK CAPITAL MGMT		GNTX	SS	100,000	9.62	30-Jan	12-Mar	non-brg	3.0
MTB INV ADV	034	GRB	S	25,000	2.48	n/a	n/a	750.00	3.0
RESURGENCE ASSET MGMT	070	HAR	SS	20,000	13.18	12-Mar	12-Mar	1,000.00	5.0
B BUCK CAPITAL MGMT		HD+TJ[???	SS	1,000	1.47	n/a	n/a	non-brg	300.0
MTB INV ADV	034	HHS	S	15,600	5.29	n/a	n/a	468.00	3.0
CENTURION PARTNERS	041	HNZ	S	50,000	33.04	n/a	n/a	2,000.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	HOTT	B	1000	10.93	n/a	30-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	HPQ	B	2,900	31.76	n/a	n/a	116.00	4.0
WHALE ROCK CAP	030	HPQ	S	27,810	31.61	n/a	n/a	1,112.40	4.0
DECADE CAPITAL PARTNERS	040	IBKR	B	25,000	16.48	n/a	n/a	1,250.00	5.0
f MANNY I KORMAN	FID	ICON	S	5000	8.61	n/a	n/a	0.00	0.0
MTB INV ADV	034	IMN	S	7,800	7.42	n/a	n/a	390.00	5.0
FORD FDN.	032	ITW	B	30,000	30.07	30-Jan	17-Feb	1,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	3,000	13.95	24-Mar	27-Mar	120.00	4.0
WHALE ROCK CAP	030	JCG	B	109,951	13.23	n/a	30-Jan	4,398.04	4.0
DECADE CAPITAL PARTNERS	040	JEF	SS	50,000	13.12	n/a	n/a	2,500.00	5.0
f MANNY I KORMAN	FID	JEF	S	6000	13.60	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	JNS	SS	70,000	6.26	2-Mar	27-Mar	2,800.00	4.0
MTB INV ADV	034	JRN	S	47,300	0.66	n/a	n/a	946.00	2.0
MTB INV ADV	034	KND	S	9,300	14.42	n/a	n/a	465.00	5.0
f MANNY I KORMAN	FID	KO	S	1000	44.63	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LIZ	B	100,000	2.40	n/a	5-Mar	non-brg	2.0
f MANNY I KORMAN	FID	LM	S	4000	15.63	29-Jan	27-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		LOW+SC[???	SS	1,000	0.97	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	LOW	SS	20,000	18.16	31-Mar	23-Feb	800.00	4.0
⚡ BUCK CAPITAL MGMT		LOW	SS	50,000	18.24	31-Mar	23-Feb	non-brg	2.0
MTB INV ADV	034	LRN	S	8,622	13.34	n/a	n/a	431.10	5.0
NEWCASTLE FUNDS	033	LTM	B	51,700	12.82	n/a	n/a	2,068.00	4.0
f MANNY I KORMAN	FID	METPRB	S	5000	14.27	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MET	S	2000	22.38	n/a	n/a	0.00	0.0
f BARBARA S LEDDY	FID	MGA	S	500	25.74	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MMM	S	1000	48.52	8-Dec	17-Mar	0.00	0.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	75,000	99.15	n/a	n/a	non-brg	9.9
⚡ BUCK CAPITAL MGMT		MW+QV[???	SS	1,000	0.70	n/a	n/a	non-brg	100.0
f KEVIN MICHAEL O'GORM	FID	MWO	S	1800	13.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	100,000	15.15	n/a	n/a	4,000.00	4.0
DE SHAW	040	M	SS	100,000	8.87	n/a	6-Mar	4,000.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	B	50,000	57.99	14-Jan	23-Mar	2,500.00	5.0
SCOPUS FUND	041	PAG	SS	25,000	8.99	n/a	18-Feb	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	PAG	SS	20,000	9.17	n/a	18-Feb	600.00	3.0
f MANNY I KORMAN	FID	PEP	S	1000	52.44	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	PG	S	1000	47.58	12-Mar	20-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	22.61	27-Mar	27-Mar	800.00	4.0
f KEVIN MICHAEL O'GORM	FID	R BSPRL	S	500	5.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	42.40	n/a	5-Feb	2,000.00	4.0
B BUCK CAPITAL MGMT		SKF	S	2,000	108.18	n/a	n/a	non-brg	1.0
f WILLIAM J GAULT	FID	SKF	B	3500	107.04	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	SKF	S	4500	108.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	6.57	n/a	13-Mar	300.00	3.0
B BUCK CAPITAL MGMT		SKX	B	10,000	6.63	n/a	13-Mar	non-brg	1.0
KARSCH CAPITAL	034	SPY	B	135,000	78.45	n/a	n/a	2,700.00	2.0
PROSPECTOR PARTNERS LLC	036	STFC	S	10,000	17.19	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	SYK	B	2,900	33.59	n/a	n/a	116.00	4.0
B BUCK CAPITAL MGMT		TGT	SS	100,000	32.91	25-Feb	20-Mar	non-brg	4.0
WHALE ROCK CAP	030	TGT	B	79,712	33.32	25-Feb	20-Mar	3,188.48	4.0
f JOHN MICHAEL ZOLIDIS	FID	TIF	B	1000	21.50	n/a	30-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	TLB	B	60,000	3.33	n/a	30-Jan	1,800.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	TNA	S	350,000	16.41	n/a	n/a	10,500.00	3.0
B BUCK CAPITAL MGMT		TRLG	S	30,000	11.51	n/a	n/a	non-brg	2.5
PROSPECTOR PARTNERS LLC	036	TR	S	10,000	21.35	n/a	n/a	400.00	4.0
DALTON GREINER	012	TTC	S	19,886	23.96	n/a	n/a	994.30	5.0
UBS OCONNOR	031	TTC	C	41,600	23.94	n/a	n/a	1,248.00	3.0
B BUCK CAPITAL MGMT		URBN	S	20,000	16.30	n/a	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		VNO	C	841	32.14	n/a	n/a	non-brg	4.0
DECADE CAPITAL PARTNERS	040	WFD	B	7,900	8.40	n/a	n/a	395.00	5.0
B BUCK CAPITAL MGMT		WFMI	SS	100,000	16.87	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	WHR	S	25,800	29.17	n/a	n/a	774.00	3.0
AVESTA CAP	229	WMT	B	25,000	51.84	10-Oct	6-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	WMT	S	30,000	51.35	10-Oct	6-Mar	1,200.00	4.0
B BUCK CAPITAL MGMT		WRC	S	50,000	23.43	27-Mar	27-Mar	non-brg	4.0
CHART WELL ADV	028	WRC	B	20,125	23.53	27-Mar	27-Mar	805.00	4.0
LISTED ERR	028	WRC	B	50	23.53	27-Mar	27-Mar	2.00	4.0
B BUCK CAPITAL MGMT		WSM+TS[???	SS	1,000	1.02	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		WSM	SS	50,000	10.00	n/a	n/a	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JOHN MICHAEL ZOLIDIS	FID	WSM	S	1000	10.00	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		XRT	SS	15,000	22.74	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):									109,320.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/25	STELLIAM INV ADV	040	CLW	B	15,000	7.21	n/a	n/a	450.00 3.0
AO,CXL	03/25	STELLIAM INV ADV	040	CLW	B	15,000	7.21	n/a	n/a	600.00 4.0
AO,CRT	03/26	STELLIAM INV ADV	040	CLW	B	6,200	7.89	n/a	n/a	186.00 3.0
AO,CXL	03/26	STELLIAM INV ADV	040	CLW	B	6,200	7.89	n/a	n/a	186.00 3.0
AO,CXL	03/27	COUGAR TRADING	044	NWY	S	10,000	3.35	n/a	30-Jan	500.00 5.0
AO,CRT	03/27	COUGAR TRADING	044	NWY	S	10,000	3.35	n/a	30-Jan	300.00 3.0
AO,CXL	03/26	MANNING & NAPIER	034	PCAR	S	549,589	27.19	25-Mar	25-Mar	16487.67 3.0
AO,CRT	03/26	MANNING & NAPIER	034	PCAR	S	549,589	27.19	25-Mar	25-Mar	16487.67 3.0
AO,	03/27	MANNING & NAPIER	034	PCAR	S	75,600	27.02	25-Mar	25-Mar	2268.00 3.0
AO,	03/27	DELTEC ASSET MGMT.	040	SMH	B	5,300	19.44	n/a	n/a	265.00 5.0
TOTAL (AO, CXL, CRT) :										2,183.00

TOTAL (Trade Date) :	109,320.90
TOTAL (AO, CXL, CRT) :	2,183.00

TOTAL (RUN DATE) / NFS:	111,503.90
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MRI Securities with Trade Activity on 30-Mar.

FII

MRI Securities without Trade Activity on 30-Mar.

AXE, ETN, GR, HRS, JCP, KSS, PX

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

T-Date = 27%

YTD = 24%

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)