



Daily Compliance Activity Report

Trade Date: 04/28/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAN	S	50,000	33.29	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		AG	B	25,000	23.89	15-Dec	10-Feb	non-brg	4.0
BUCK CAPITAL MGMT		AG	B	25,000	23.93	15-Dec	10-Feb	non-brg	1.0
FRANCIS MICHAEL MCCA	FID	AIQ	B	1000	8.21	n/a	n/a	0.00	0.0
HARALAMBOS EFSTATHI	FID	AIQ	B	1000	8.21	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	AIQ	B	3000	8.16	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	ALL	SS	15,000	22.36	n/a	n/a	750.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	10,000	45.80	n/a	21-Apr	500.00	5.0
CARDINAL CAPITAL	044	AMG	B	29,200	45.70	n/a	21-Apr	1,460.00	5.0
BUCK CAPITAL MGMT		ARG	B	36,000	41.19	23-Mar	23-Mar	non-brg	4.0
BUCK CAPITAL MGMT	001	ARO	SS	20,000	33.33	n/a	13-Apr	800.00	4.0
NEUBERGER BERMAN	036	AVB	S	8,300	57.10	n/a	n/a	373.50	4.5
BUCK CAPITAL MGMT	001	AVY	B	15,000	27.78	28-Apr	28-Apr	600.00	4.0
BUCK CAPITAL MGMT		AVY	B	38,000	27.98	28-Apr	28-Apr	non-brg	1.0
BASIX	033	AXE	S	9,500	35.56	30-Mar	30-Mar	285.00	3.0
BALYASNY ASSET MGMT	044	AXS	SS	20,000	26.02	n/a	n/a	1,000.00	5.0
JOHN CAREY MAGUIRE	FID	BAC	S	800	8.13	2-Mar	24-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BEAV	B	5,000	9.04	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	26.86	4-Mar	24-Apr	800.00	4.0
RBC CAPITAL MARKETS	034	BJ	B	10,000	32.20	n/a	27-Jul	400.00	4.0
B BUCK CAPITAL MGMT		BKC	B	20,000	17.49	16-Apr	28-Apr	non-brg	1.0
RBC CAPITAL MARKETS	034	BKC	SS	25,000	17.51	16-Apr	28-Apr	1,000.00	4.0
NEWCASTLE FUNDS	033	BMS	B	50,000	23.64	n/a	n/a	2,000.00	4.0
SUN AMERICA ASSET MGMT	030	BMS	S	48,800	23.64	n/a	n/a	1,952.00	4.0
BUCK CAPITAL MGMT	001	BWA	B	50,000	26.75	12-Mar	20-Apr	2,000.00	4.0
B BUCK CAPITAL MGMT		BWA	C	15,000	26.76	12-Mar	20-Apr	non-brg	1.0
BALYASNY ASSET MGMT	044	BXP	B	10,000	45.03	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	CAB	B	95,000	12.28	n/a	n/a	3,800.00	4.0
B BUCK CAPITAL MGMT		CAB	C	5,000	12.14	n/a	n/a	non-brg	1.0
CATAPULT	040	CBT	S	15,000	14.11	n/a	11-Mar	750.00	5.0
B BUCK CAPITAL MGMT		CHS	B	20,000	7.01	5-Dec	30-Jan	non-brg	3.0
B BUCK CAPITAL MGMT		CMG	C	10,000	85.25	23-Apr	23-Apr	non-brg	1.0
BNP PARIBAS SEC	040	CMI	B	7,500	30.91	14-Nov	4-Feb	300.00	4.0
B BUCK CAPITAL MGMT		COLM	SS	20,000	30.91	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWCASTLE FUNDS	033	CVS	B	30,000	30.34	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		CWTR	B	70,000	3.03	n/a	n/a	non-brg	2.0
BALYASNY ASSET MGMT	044	DE	B	15,000	38.97	26-Jan	19-Feb	750.00	5.0
BALYASNY ASSET MGMT	044	DE	S	10,000	38.49	26-Jan	19-Feb	500.00	5.0
NEUBERGER BERMAN	036	DRE	S	20,200	9.15	n/a	n/a	606.00	3.0
B BUCK CAPITAL MGMT	001	ECL	B	20,000	38.23	28-Apr	28-Apr	800.00	4.0
B BUCK CAPITAL MGMT		ECL	B	20,000	38.18	28-Apr	28-Apr	non-brg	1.0
NEWCASTLE FUNDS	033	ETH	S	10,700	12.83	n/a	n/a	428.00	4.0
PHILADELPHIA FINANCIAL	033	EVR	S	25,000	17.00	n/a	n/a	1,000.00	4.0
PHILADELPHIA FINANCIAL	033	EV	SS	44,384	25.62	7-Apr	28-Apr	1,775.36	4.0
NOMURA CAPITAL	045	FDML	S	50,000	11.37	n/a	n/a	2,500.00	5.0
PHILADELPHIA FINANCIAL	033	FII	S	20,000	22.77	24-Apr	27-Apr	800.00	4.0
f MARC PAUL LUCHANSKY	FID	FOR	B	1000	11.46	12-Feb	20-Apr	0.00	0.0
FINANCIAL STOCK LP	028	GE	B	100,000	12.01	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		GIL	B	50,000	11.81	11-Dec	14-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		GSIC	B	20,000	14.48	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	HRB	S	50,000	14.76	n/a	n/a	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	129,000	13.70	7-Apr	23-Apr	5,160.00	4.0
B BUCK CAPITAL MGMT		JBLU	B	100,000	5.21	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		JBLU	B	50,000	5.04	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		JBLU	B	50,000	5.07	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	JNY	B	50,000	8.03	n/a	11-Feb	1,500.00	3.0
NEUBERGER BERMAN	036	KIM	S	29,500	10.81	n/a	n/a	1,327.50	4.5
BUCK CAPITAL MGMT	001	KSS	S	150,000	44.84	30-Mar	13-Apr	6,000.00	4.0
BALYASNY ASSET MGMT	044	LAZ	SS	15,000	29.83	n/a	28-Apr	750.00	5.0
LISTED ERR	099	LAZ	B	1,600	29.75	n/a	28-Apr	0.00	0.0
LISTED ERR	099	LAZ	SS	1,600	29.84	n/a	28-Apr	0.00	0.0
BNP PARIBAS SEC	040	LOW	B	50,000	20.89	31-Mar	31-Mar	2,000.00	4.0
BALYASNY ASSET MGMT	044	LRY	B	10,000	22.22	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	100,000	11.04	8-Jan	30-Jan	4,000.00	4.0
f ALEXANDER PRYLUCKI	FID	LVS	S	900	7.23	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MO	S	500	16.90	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MRO	B	10,000	29.22	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	MWO	S	700	14.85	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MXGL	B	10,000	16.12	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	MZRJG	B	15	0.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	S	150,000	12.77	n/a	13-Apr	6,000.00	4.0
f JOSEPH CIRO AMATURO	FID	PCAR	S	500	33.96	25-Mar	25-Mar	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	PCAR	S	250	34.18	25-Mar	25-Mar	0.00	0.0
HARVEST MGMT	039	PEET	S	3,800	23.76	n/a	n/a	190.00	5.0
f DAVID GEORGE BUCK	FID	PFE	S	985	13.35	n/a	31-Mar	0.00	0.0
BMO NESBITT BURNS	041	PKG	B	25,000	15.92	8-Apr	21-Apr	1,250.00	5.0
B BUCK CAPITAL MGMT		PKG	C	10,000	15.89	8-Apr	21-Apr	non-brg	4.0
BALYASNY ASSET MGMT	044	ROK	C	2,600	29.85	n/a	n/a	130.00	5.0
BALYASNY ASSET MGMT	044	RTI	B	20,000	13.27	n/a	n/a	1,000.00	5.0
f MARC PAUL LUCHANSKY	FID	SDS	S	600	66.12	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SGMS	SS	10,000	16.39	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SGMS	SS	20,000	16.39	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SIAL	B	36,000	41.74	11-Feb	23-Apr	non-brg	4.0
f MATTHEW FRANCIS BUCK	FID	SLB	B	150	48.24	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	SLE	B	400	8.15	n/a	n/a	14.02	3.5
B BUCK CAPITAL MGMT		SMG	S	50,000	34.05	5-Feb	15-Apr	non-brg	2.5
B BUCK CAPITAL MGMT		SMG	S	50,000	34.16	5-Feb	15-Apr	non-brg	4.0
SONTERRA CAP	041	SPR	B	15,000	11.99	n/a	n/a	600.00	4.0
BALYASNY ASSET MGMT	044	STI	SS	20,000	14.03	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		SWN	C	5,000	35.82	27-Feb	28-Apr	non-brg	5.0
B BUCK CAPITAL MGMT		SWN	SS	5,000	34.90	27-Feb	28-Apr	non-brg	5.0
f MICHAEL THOMAS NOLAN	FID	SWN	S	100	36.62	27-Feb	28-Apr	0.00	0.0
ROARING BLUE LION MGMT	012	SWN	S	8,800	36.91	27-Feb	28-Apr	352.00	4.0
GRANITE CAPITAL	045	TCO	B	20,000	22.72	n/a	n/a	1,000.00	5.0
CASTLE ARK	031	TJX	S	164,620	27.79	n/a	13-Apr	9,877.20	6.0
PZENA INV ADV	044	TJX	S	121,175	27.99	n/a	13-Apr	4,241.37	3.5
BALYASNY ASSET MGMT	044	TNB	S	10,000	26.58	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		TQQ+SE [COLM]	SS	1,000	0.90	n/a	n/a	non-brg	100.0
f JOHN CAREY MAGUIRE	FID	WBC	S	200	15.52	5-Feb	27-Apr	0.00	0.0
f DAVID GEORGE BUCK	FID	WYE	B	1000	42.27	n/a	31-Mar	0.00	0.0
ENTRUST CAPITAL	040	YUM	B	68,800	33.97	n/a	22-Apr	3,440.00	5.0

TOTAL (Trade Date):

87,961.95

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/27	BUCK CAPITAL MGMT	001	GCO	B	10,000	21.35	n/a	10-Jan	400.00 4.0
AO,CRT	04/27	BUCK CAPITAL MGMT	001	GCO	B	10,000	21.35	n/a	10-Jan	400.00 4.0
AO,	04/27	LISTED ERR	099	VZ	B	6,500	30.84	n/a	4-Jan	0.00 0.0
AO,	04/27	LISTED ERR	099	VZ	S	6,500	30.83	n/a	4-Jan	0.00 0.0
AO,	04/27	BARROW HANLEY MEWHINNEY	031	VZ	S	1,127,600	30.48	n/a	4-Jan	45104.00 4.0
AO,CXL	04/27	CATAPULT	040	XLP	SS	92,000	21.63	n/a	n/a	3680.00 4.0
AO,CRT	04/27	CATAPULT	040	XLP	SS	92,000	21.63	n/a	n/a	2760.00 3.0
TOTAL (AO, CXL, CRT) :										44,184.00

TOTAL (Trade Date) :	87,961.95
TOTAL (AO, CXL, CRT) :	44,184.00

TOTAL (RUN DATE) / NFS :	132,145.95
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MRI Securities with Trade Activity on 28-Apr.
AVY, ECL

MRI Securities without Trade Activity on 28-Apr.
UHS

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

T-Date = 56%

YTD = 22%

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)