



Daily Compliance Activity Report

Trade Date: 05/27/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	B	5,000	132.23	n/a	n/a	non-brg	4.0
f ROBERT M DANIELS	FID	ABB	B	300	16.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ABG	S	10,000	9.29	n/a	30-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		ABG	S	40,000	9.67	n/a	30-Apr	non-brg	3.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	25,000	14.74	20-Apr	8-May	1,000.00	4.0
BALYASNY ASSET MGMT	044	ALK	S	10,000	15.76	n/a	n/a	500.00	5.0
MORGAN BANK /JPM	070	ANN	S	245,500	7.65	n/a	30-Jan	7,365.00	3.0
MTB INV ADV	034	ARO	B	7,425	34.54	n/a	22-May	371.25	5.0
MTB INV ADV	034	ASCA	B	12,775	20.89	n/a	30-Apr	638.75	5.0
NEUBERGER BERMAN	036	AVB	S	4,200	58.85	n/a	n/a	189.00	4.5
BALYASNY ASSET MGMT	044	AWI	S	7,000	18.92	n/a	n/a	350.00	5.0
f NICOLAS EVAN PAKLER	FID	AXL	S	1000	2.26	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BDN	S	25,000	6.22	n/a	n/a	1,000.00	4.0
f ROBERT M DANIELS	FID	BKC	B	500	17.07	16-Apr	29-Apr	0.00	0.0
BALYASNY ASSET MGMT	044	BUCY	C	5,000	27.39	n/a	26-May	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		BYI	B	40,000	27.53	n/a	n/a	non-brg	1.5
⚡ BUCK CAPITAL MGMT		BYI	B	60,000	27.55	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CAB	SS	20,000	13.18	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	CAL	S	10,000	9.20	n/a	n/a	400.00	4.0
STADIA CAPITAL	035	CAT	SS	22,500	34.99	n/a	22-Apr	900.00	4.0
f ROBERT M DANIELS	FID	CBI	B	200	12.24	n/a	n/a	0.00	0.0
MTB INV ADV	034	CBRL	B	3,700	30.72	n/a	n/a	185.00	5.0
STADIA CAPITAL	035	CHRW	SS	4,400	50.68	n/a	n/a	176.00	4.0
f ANTHONY SUTERA	FID	CIT	B	5000	3.57	23-Apr	27-May	0.00	0.0
⚡ BUCK CAPITAL MGMT		CMG	C	5,000	83.16	14-May	14-May	non-brg	1.0
BUCK CAPITAL MGMT	001	COH	S	10,000	25.55	9-Jan	22-Apr	400.00	4.0
OVERLAND PARK CAP	041	COLM	B	12,000	31.91	n/a	n/a	480.00	4.0
⚡ BUCK CAPITAL MGMT		DBD	B	20,000	25.77	n/a	5-May	non-brg	4.0
GLENHILL CAPITAL	212	DDUP	B	300,000	24.91	n/a	n/a	15,000.00	5.0
AVESTA CAP	229	DD	S	50,000	27.94	n/a	21-Apr	2,000.00	4.0
CUMBERLAND	038	DE	SS	5,000	44.03	26-Jan	20-May	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	DIS	B	150,000	24.49	n/a	n/a	6,000.00	4.0
f NICOLAS EVAN PAKLER	FID	DXO	B	650	3.89	n/a	n/a	0.00	0.0
MORGAN BANK /JPM	070	EMC	B	440,000	12.29	n/a	n/a	13,200.00	3.0
NEUBERGER BERMAN	036	EQR	S	10,500	23.34	n/a	n/a	472.50	4.5
NEWCASTLE FUNDS	255	ETN	C	9,000	45.28	27-May	27-May	360.00	4.0
BALYASNY ASSET MGMT	044	FCX	C	5,000	51.08	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	FDO	SS	10,700	31.71	5-Mar	18-May	535.00	5.0
MTB INV ADV	034	FOSL	B	24,475	22.69	n/a	30-Jan	1,223.75	5.0
HEALTHCOR MGMT	038	FRX	B	75,000	23.06	22-Apr	26-May	3,750.00	5.0
BUCK CAPITAL MGMT	001	GES	B	50,000	25.70	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		HD	SS	20,000	23.42	12-May	20-May	non-brg	4.0
BALYASNY ASSET MGMT	044	HGG	SS	14,079	17.25	n/a	n/a	703.95	5.0
B BUCK CAPITAL MGMT		IGT	B	125,000	16.42	n/a	27-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		IGT	B	150,000	16.47	n/a	27-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		IGT	B	25,000	16.44	n/a	27-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		IMAX	S	20,000	7.63	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RDK CAPITAL MGMT	034	INTC	B	50,000	15.64	n/a	n/a	2,000.00	4.0
SCOPUS FUND	041	ITW	B	40,000	33.41	30-Jan	22-May	2,000.00	5.0
f ROBERT M DANIELS	FID	IVZ	B	100	15.20	11-May	22-May	0.00	0.0
TYEE/TYGH	035	IVZ	B	50,000	14.98	11-May	22-May	2,000.00	4.0
JMP ASSET MGMT	210	JAS	B	5,000	21.60	n/a	n/a	250.00	5.0
f BRIAN W CRAGO	FID	JMBA	B	600	1.42	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	JOYG	C	5,000	33.40	26-Jan	5-Mar	250.00	5.0
B BUCK CAPITAL MGMT		JWN	C	30,000	22.05	20-Feb	15-May	non-brg	4.0
THE JAY GOLDMAN	034	JWN	SS	50,000	21.99	20-Feb	15-May	2,000.00	4.0
THE JAY GOLDMAN	034	KSS	B	25,000	44.20	8-May	15-May	1,000.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	41,150	26.75	n/a	19-May	2,057.50	5.0
STADIA CAPITAL	035	LECO	SS	2,700	41.95	n/a	n/a	108.00	4.0
CRAMER ROSENTHAL/SCOTT	012	LM	B	41,100	19.08	5-May	19-May	1,644.00	4.0
CATAPULT	040	MLM	B	30,000	82.18	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		MPEL	S	50,000	6.23	n/a	n/a	non-brg	2.5
HOLLIS CAPITAL	033	MRK	B	5,000	26.64	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	MT	C	5,000	31.65	n/a	n/a	250.00	5.0
f ROBERT M DANIELS	FID	MWA	B	750	3.76	n/a	14-May	0.00	0.0
CASEY CAPITAL	067	NCS	B	8,000	4.87	n/a	n/a	400.00	5.0
THIRD POINT MGMT	044	NCS	S	50,000	4.79	n/a	n/a	1,500.00	3.0
GLENHILL CAPITAL	212	NTAP	B	210,000	19.45	n/a	n/a	10,500.00	5.0
JP MORGAN VENTURES	046	NTY	B	20,000	24.98	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	OFC	S	8,500	27.85	n/a	n/a	382.50	4.5
BALYASNY ASSET MGMT	044	OSK	SS	30,000	11.60	n/a	n/a	1,500.00	5.0
f NICOLAS EVAN PAKLER	FID	PAG	S	135	11.42	n/a	6-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	PCAR	B	500	29.22	25-Mar	4-May	0.00	0.0
B BUCK CAPITAL MGMT		PERY	S	16,100	6.80	n/a	n/a	non-brg	1.0
KACELA CAPITAL	034	PFCB	B	25,000	30.57	23-Apr	23-Apr	1,000.00	4.0
BALYASNY ASSET MGMT	044	PLCE	C	50,000	37.14	19-Mar	21-May	2,500.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	36.79	19-Mar	21-May	non-brg	4.0
RAINIER INV MGMT	035	PNC	S	19,880	42.83	n/a	n/a	994.00	5.0
FINANCIAL STOCK LP	028	PRU	B	50,000	40.47	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	PRX	B	50,000	13.14	6-May	26-May	2,500.00	5.0
ASCEND PARTNERS	033	PVH	S	20,000	29.21	20-Apr	21-May	1,000.00	5.0
KACELA CAPITAL	034	RIG	B	8,000	76.09	n/a	n/a	320.00	4.0
B BUCK CAPITAL MGMT		RL	B	40,000	56.66	n/a	16-Apr	non-brg	4.0
OVERLAND PARK CAP	041	RL	SS	7,300	54.98	n/a	16-Apr	292.00	4.0
MORGAN BANK /JPM	070	RTN	S	6,000	44.66	n/a	n/a	180.00	3.0
PENNANT CAP MGMT	029	SFD	SS	28,600	13.43	n/a	n/a	858.00	3.0
NEUBERGER BERMAN	036	SLG	S	31,500	22.26	n/a	n/a	1,417.50	4.5
PZENA INV ADV	044	SRE	S	1,675	45.95	n/a	n/a	58.63	3.5
PENNANT CAP MGMT	029	SVNT	S	30,000	5.94	n/a	n/a	600.00	2.0
f MARC PAUL LUCHANSKY	FID	TBT	B	200	56.54	n/a	n/a	0.00	0.0
PZENA INV ADV	044	TEL	S	2,650	17.97	n/a	n/a	92.75	3.5
SIGMA CAPITAL ASSOCIATES	041	TJX	S	25,000	29.40	4-May	20-May	1,000.00	4.0
BALYASNY ASSET MGMT	044	URBN	B	25,000	20.77	n/a	30-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		URBN	B	20,000	20.31	n/a	30-Jan	non-brg	4.0
JP MORGAN VENTURES	046	URBN	SS	15,000	20.40	n/a	30-Jan	750.00	5.0
STADIA CAPITAL	035	VMC	SS	7,600	41.98	n/a	n/a	304.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	WAB	B	109,300	34.82	n/a	n/a	4,372.00	4.0
STADIA CAPITAL	035	WAG	B	9,700	30.17	n/a	n/a	388.00	4.0
MTB INV ADV	034	WEN	B	159,770	4.55	n/a	24-Apr	4,793.10	3.0
f KEVIN MICHAEL O'GORM	FID	WFC	B	1000	25.46	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	WFMI	SS	30,000	18.70	n/a	n/a	1,500.00	5.0
KLEINHEINZ CAP PART	031	WFMI	S	75,000	18.22	n/a	n/a	3,750.00	5.0
EPOCH INV MGMT	030	WRC	B	55,000	30.59	13-May	13-May	2,200.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	150,000	27.12	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	X	C	5,000	32.45	n/a	n/a	250.00	5.0
MORGAN BANK /JPM	070	YUM	B	5,400	34.58	n/a	22-Apr	162.00	3.0
B BUCK CAPITAL MGMT		ZLC	S	10,000	4.53	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		ZLC	S	35,000	4.16	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ZLC	S	55,000	4.20	n/a	n/a	non-brg	3.0
TOTAL (Trade Date) :								125,024.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/26	MISSION GLOBAL LLC	041	EP	B	48,700	8.74	n/a	n/a	1461.00 3.0
AO,CXL	05/26	MISSION GLOBAL LLC	041	EP	B	48,700	8.74	n/a	n/a	1461.00 3.0
AO,	05/26	PHILADELPHIA FINANCIAL	033	FII	S	50,000	22.54	24-Apr	19-May	2000.00 4.0
AO,CXL	05/26	PHILADELPHIA FINANCIAL	033	FII	S	50,000	22.53	24-Apr	19-May	2000.00 4.0
AO,CRT	05/26	EPOCH INV MGMT	030	IFF	S	7,465	31.02	21-Jan	30-Apr	298.60 4.0
AO,CXL	05/26	EPOCH INV MGMT	030	IFF	S	7,465	31.02	21-Jan	30-Apr	298.60 4.0
AO,CXL	05/26	MISSION GLOBAL LLC	041	IR	B	25,000	21.53	n/a	n/a	1250.00 5.0
AO,CRT	05/26	MISSION GLOBAL LLC	041	IR	B	25,000	21.53	n/a	n/a	1000.00 4.0
AO,CXL	05/26	MISSION GLOBAL LLC	041	ROK	SS	17,000	31.35	n/a	n/a	850.00 5.0
AO,CRT	05/26	MISSION GLOBAL LLC	041	ROK	SS	17,000	31.35	n/a	n/a	680.00 4.0
TOTAL (AO, CXL, CRT) :										-420.00

TOTAL (Trade Date):	125,024.18
TOTAL (AO, CXL, CRT):	-420.00

TOTAL (RUN DATE) / NFS:	124,604.18
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MRI Securities with Trade Activity on 27-May.

ETN

MRI Securities without Trade Activity on 27-May.

AXE, EXH

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

T-Date = 9%

YTD = 21%

<u>Legend:</u>
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)