



Daily Compliance Activity Report

Trade Date: 05/04/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| EPOCH INV MGMT | 030 | AAPL | B | 450 | 129.79 | n/a | n/a | 18.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | AAP | B | 1,400 | 43.42 | n/a | n/a | 56.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | ADI | B | 2,700 | 21.76 | n/a | n/a | 108.00 | 4.0 |
| CUMBERLAND | 038 | ADS | B | 7,000 | 41.31 | n/a | n/a | 280.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | AEO | B | 50,000 | 14.91 | 20-Apr | 4-May | 2,000.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | AEP | B | 1,700 | 26.62 | n/a | n/a | 68.00 | 4.0 |
| EPOCH INV MGMT | 030 | AET | B | 1,700 | 22.58 | n/a | n/a | 68.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AGCO | B | 25,000 | 26.22 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | ALV | C | 15,000 | 25.92 | 12-Mar | 22-Apr | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | ALV | C | 35,000 | 25.96 | 12-Mar | 22-Apr | non-brg | 2.5 |
| EPOCH INV MGMT | 030 | AMP | B | 1,700 | 25.49 | n/a | n/a | 68.00 | 4.0 |
| f JASON ERIC COHEN | FID | AMZN | S | 15 | 79.79 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | AOC | B | 1,300 | 36.50 | n/a | n/a | 52.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | APD | B | 800 | 67.42 | n/a | 22-Apr | 32.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | APH | B | 1,000 | 34.94 | n/a | n/a | 40.00 | 4.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|----------|-----------------------------|------------|-------------|----------|---------------|--------------|--------------|--------------|---------------------|
| B | BUCK CAPITAL MGMT | | APP | B | 50,000 | 5.89 | n/a | n/a | non-brg 3.0 |
| | BUCK CAPITAL MGMT | 001 | ARO | B | 30,000 | 34.88 | n/a | 4-May | 1,200.00 4.0 |
| | EPOCH INV MGMT | 030 | ATK | B | 700 | 81.68 | n/a | n/a | 28.00 4.0 |
| | CRAMER ROSENTHAL/SCOTT | 012 | AVT | B | 2,100 | 22.94 | n/a | n/a | 84.00 4.0 |
| | EPOCH INV MGMT | 030 | BA | B | 1,050 | 41.72 | n/a | n/a | 42.00 4.0 |
| | CRAMER ROSENTHAL/SCOTT | 012 | BCR | B | 1,100 | 72.39 | n/a | 22-Apr | 44.00 4.0 |
| | EPOCH INV MGMT | 030 | BEN | B | 750 | 61.46 | 7-Apr | 4-May | 30.00 4.0 |
| | CRAMER ROSENTHAL/SCOTT | 012 | BHI | B | 800 | 38.07 | n/a | n/a | 32.00 4.0 |
| | WAGONHOUND/NIC | 048 | BIDU | S | 162 | 246.23 | n/a | n/a | 6.48 4.0 |
| | M&I FUNDS | 256 | BJ | S | 63,905 | 33.34 | n/a | 27-Jul | 2,556.20 4.0 |
| | MERRILL ASSET | 032 | BKC | B | 87,500 | 17.97 | 16-Apr | 29-Apr | 3,937.50 4.5 |
| | CRAMER ROSENTHAL/SCOTT | 012 | BK | B | 2,300 | 26.87 | 22-Apr | 24-Apr | 92.00 4.0 |
| | EPOCH INV MGMT | 030 | BK | B | 2,050 | 26.70 | 22-Apr | 24-Apr | 82.00 4.0 |
| | CRAMER ROSENTHAL/SCOTT | 012 | BMC | B | 2,200 | 34.67 | n/a | n/a | 88.00 4.0 |
| f | JONATHAN RICHARD HAR | FID | BONT | B | 910 | 3.30 | 6-Feb | 6-Feb | 0.00 0.0 |
| | WAGONHOUND/NIC | 048 | BRCD | S | 3,941 | 5.89 | n/a | n/a | 118.23 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| EPOCH INV MGMT | 030 | BSX | B | 4,300 | 8.52 | n/a | 22-Apr | 172.00 | 4.0 |
| EPOCH INV MGMT | 030 | BTU | B | 600 | 31.80 | n/a | n/a | 24.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | BWA | B | 200,000 | 30.70 | 1-May | 1-May | 8,000.00 | 4.0 |
| PEQUOT CAPITAL MGMT | 070 | BWA | SS | 13,600 | 31.41 | 1-May | 1-May | 544.00 | 4.0 |
| f JOHN BARTMAN COLE | FID | BZ | S | 1000 | 1.62 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | CAH | B | 1,400 | 34.45 | n/a | n/a | 56.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | CAT | C | 50,000 | 38.03 | n/a | 22-Apr | non-brg | 4.0 |
| f JOSEPH CIRO AMATURO | FID | CAT | B | 2000 | 37.96 | n/a | 22-Apr | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | CBRL | C | 10,000 | 32.64 | n/a | n/a | non-brg | 4.0 |
| f JOEL GIFFORD TISS | FID | CCE | S | 10126 | 17.35 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | CHP | B | 15000 | 2.07 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | CHRS | B | 40,000 | 3.44 | n/a | 22-Mar | non-brg | 2.5 |
| EPOCH INV MGMT | 030 | CMCSK | B | 3,350 | 15.61 | n/a | n/a | 134.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | CMG | C | 10,000 | 82.22 | 23-Apr | 23-Apr | non-brg | 1.0 |
| WAGONHOUND/NIC | 048 | CMI | B | 1,549 | 34.12 | n/a | 4-Feb | 61.96 | 4.0 |
| ROTHSCHILD ASSET | 040 | CMP | S | 6,070 | 50.75 | n/a | n/a | 273.15 | 4.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|--------------|---------------|-----------------|------------|
| SANDLER O'NEILL ASSET | 031 | COF | SS | 50,000 | 20.03 | n/a | 29-Apr | 2,500.00 | 5.0 |
| TROUBH PART | 067 | COH | B | 25,000 | 25.35 | 9-Jan | 22-Apr | 1,250.00 | 5.0 |
| EPOCH INV MGMT | 030 | COP | B | 1,200 | 43.66 | n/a | n/a | 48.00 | 4.0 |
| f NICOLAS EVAN PAKLER | FID | CRR | S | 50 | 33.60 | 1-May | 1-May | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | DAI | B | 20,000 | 36.96 | n/a | n/a | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DECK | S | 10,000 | 58.36 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | DPZ | S | 100,000 | 9.34 | n/a | 24-Apr | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | DPZ | S | 50,000 | 9.34 | n/a | 24-Apr | non-brg | 1.5 |
| f MARC PAUL LUCHANSKY | FID | DVN | B | 200 | 57.07 | 5-Feb | 3-Apr | 0.00 | 0.0 |
| f ALANA J A MADIGAN-SI | FID | DXO | B | 400 | 3.07 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | EAT | C | 40,000 | 17.95 | n/a | 24-Apr | non-brg | 4.0 |
| PHILADELPHIA FINANCIAL | 033 | EVR | S | 5,548 | 18.78 | n/a | n/a | 221.92 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | FAZ | B | 8000 | 7.87 | n/a | n/a | 0.00 | 0.0 |
| COOKBIELER | 028 | FDO | S | 28,780 | 32.07 | 5-Mar | 8-Apr | 1,151.20 | 4.0 |
| BMO NESBITT BURNS | 041 | FOR | B | 5,000 | 12.33 | 12-Feb | 20-Apr | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | FO | B | 130,000 | 42.73 | n/a | n/a | 5,200.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| f JOHN CAREY MAGUIRE | FID | FXALB | B | 10 | 1.75 | n/a | n/a | 0.00 | 0.0 |
| f JOHN CAREY MAGUIRE | FID | FXCIL | B | 10 | 1.40 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | GE | B | 4000 | 12.98 | n/a | n/a | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | GLD | B | 22,500 | 89.04 | n/a | n/a | 900.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GME | SS | 30,000 | 29.84 | n/a | n/a | non-brg | 4.0 |
| PEQUOT CAPITAL MGMT | 070 | HAR | SS | 10,000 | 21.05 | 12-Mar | 1-May | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | HLF | B | 100,000 | 22.09 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ICON | S | 20,000 | 15.07 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | IMAX | B | 50,000 | 7.04 | n/a | n/a | non-brg | 3.0 |
| KLEINHEINZ CAP PART | 031 | INFY | B | 50,000 | 32.11 | n/a | n/a | 2,500.00 | 5.0 |
| STG INVESTORS | 041 | INTC | B | 30,000 | 16.56 | n/a | n/a | 900.00 | 3.0 |
| BMO NESBITT BURNS | 041 | IP | SS | 24,000 | 13.56 | n/a | 1-May | 1,200.00 | 5.0 |
| B BUCK CAPITAL MGMT | | JBLU | B | 150,000 | 5.37 | n/a | n/a | non-brg | 3.0 |
| f FRANCIS MICHAEL MCCA | FID | JBLU | B | 1200 | 5.34 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | JCG | B | 25,000 | 19.36 | n/a | 30-Jan | 1,250.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | JCP | S | 25,000 | 32.28 | 13-Apr | 4-May | 1,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| f RAGHAV NAYAR | FID | JOEZ | S | 1000 | 0.64 | n/a | n/a | 0.00 | 0.0 |
| WAGONHOUND/NIC | 048 | JOYG | B | 879 | 30.04 | 26-Jan | 5-Mar | 35.16 | 4.0 |
| B BUCK CAPITAL MGMT | | KEG | S | 18,000 | 4.91 | 14-Jan | 3-Apr | non-brg | 1.0 |
| Õ Steven Maguire | | KEG | S | 18000 | 4.93 | 14-Jan | 3-Apr | 0.00 | 0.0 |
| WAGONHOUND/NIC | 048 | KMT | B | 2,490 | 21.36 | n/a | 27-Apr | 99.60 | 4.0 |
| AELTUS/ING INVESTMENT MGT | 215 | K | B | 80,000 | 43.82 | n/a | n/a | 2,800.02 | 3.5 |
| B BUCK CAPITAL MGMT | | LEN | S | 10,000 | 10.24 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LOW | C | 70,331 | 20.97 | 31-Mar | 31-Mar | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LPX | S | 100,000 | 4.43 | 3-Mar | 20-Apr | non-brg | 3.0 |
| JETSTREAM GLOBAL FUND LP | 065 | LPX | B | 55,200 | 4.39 | 3-Mar | 20-Apr | 2,208.00 | 4.0 |
| B BUCK CAPITAL MGMT | | LTD | B | 200,000 | 12.09 | 8-Jan | 30-Jan | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LVS | S | 100,000 | 8.92 | n/a | n/a | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | LVS | S | 150,000 | 9.34 | n/a | n/a | non-brg | 3.0 |
| f MARC PAUL LUCHANSKY | FID | MCD | B | 500 | 53.59 | n/a | 22-Apr | 0.00 | 0.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | MHP | B | 30,650 | 30.45 | n/a | n/a | 1,072.76 | 3.5 |
| BUCK CAPITAL MGMT | 001 | MW | B | 30,000 | 19.24 | n/a | n/a | 1,200.00 | 4.0 |
| TROUBH PART | 067 | M | B | 15,000 | 14.65 | n/a | 4-May | 750.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|-----------|---------------|--------------|--------------|---------------|----------------|------------|
| GRISANTTI BROWN & PARTNER | 048 | NAV | B | 50,000 | 42.00 | n/a | n/a | 2,500.00 | 5.0 |
| SOROS | 036 | NRG | S | 37,540 | 19.50 | n/a | n/a | 1,501.60 | 4.0 |
| B BUCK CAPITAL MGMT | | NTDOY | SS | 50,000 | 34.19 | n/a | n/a | non-brg | 4.0 |
| STG INVESTORS | 041 | NVDA | B | 50,000 | 12.16 | n/a | n/a | 1,500.00 | 3.0 |
| HIGHBRIDGE/MS OLDS | 041 | OMC | B | 88,000 | 31.94 | n/a | n/a | 4,400.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | ORLY | B | 25,000 | 38.46 | n/a | n/a | 1,250.00 | 5.0 |
| SCOPUS FUND | 041 | PAG | B | 2,500 | 13.73 | n/a | 23-Apr | 125.00 | 5.0 |
| SCOPUS FUND | 041 | PAG | S | 105,325 | 13.47 | n/a | 23-Apr | 5,266.25 | 5.0 |
| BALYASNY ASSET MGMT | 044 | PBY | B | 25,000 | 7.04 | n/a | n/a | 1,000.00 | 4.0 |
| BMO NESBITT BURNS | 041 | PCL | S | 3,000 | 35.25 | n/a | 29-Apr | 150.00 | 5.0 |
| B BUCK CAPITAL MGMT | | PKG | C | 34,200 | 15.92 | 8-Apr | 21-Apr | non-brg | 4.0 |
| f NEIL M STRATTON | FID | PKK | B | 200 | 13.40 | n/a | n/a | 0.00 | 0.0 |
| PNC/MERCANTILE | 028 | PM | S | 20,891 | 37.79 | n/a | n/a | 835.64 | 4.0 |
| JETSTREAM GLOBAL FUND LP | 065 | QCOR | S | 43,000 | 4.48 | n/a | n/a | 1,720.00 | 4.0 |
| WOOSTER CAPITAL | 035 | RL | B | 35,000 | 52.91 | n/a | 16-Apr | 1,750.00 | 5.0 |
| BMO NESBITT BURNS | 041 | RYN | S | 2,000 | 39.36 | n/a | 1-May | 100.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| DAVIDSON KEMPNER ADVISOR | 040 | SLM | SS | 50,000 | 5.58 | 23-Apr | 29-Apr | 2,500.00 | 5.0 |
| WAGONHOUND/NIC | 048 | SNDA | S | 182 | 52.40 | n/a | n/a | 7.28 | 4.0 |
| WAGONHOUND/NIC | 048 | SPIL | S | 2,685 | 8.11 | n/a | n/a | 80.55 | 3.0 |
| BUCK CAPITAL MGMT | 001 | SSI | SS | 10,000 | 12.19 | n/a | 4-May | 400.00 | 4.0 |
| WAGONHOUND/NIC | 048 | TEX | B | 26,521 | 15.30 | 13-Feb | 28-Apr | 1,060.84 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | TGT | S | 100,000 | 40.69 | 25-Feb | 22-Apr | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | TIN | S | 35,000 | 12.34 | n/a | 22-Apr | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | TJX | B | 20,000 | 29.03 | 4-May | 4-May | 800.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | URBN | S | 30,000 | 20.29 | n/a | 30-Jan | non-brg | 1.0 |
| DIAMONDBACK CAP MGMT | 232 | USB | S | 25,000 | 18.82 | n/a | n/a | 1,250.00 | 5.0 |
| MAIRS AND POWER INV | 030 | VAL | S | 20,000 | 24.01 | n/a | n/a | 1,000.00 | 5.0 |
| PZENA INV ADV | 044 | VLO | B | 25,800 | 21.57 | n/a | n/a | 903.02 | 3.5 |
| DAVIDSON KEMPNER ADVISOR | 040 | VMC | SS | 23,800 | 50.50 | n/a | n/a | 1,190.00 | 5.0 |
| CASEY CAPITAL | 067 | WEN | B | 50,000 | 5.02 | n/a | 24-Apr | 2,500.00 | 5.0 |
| PERSHING SQUARE | 029 | WEN | S | 358,503 | 4.98 | n/a | 24-Apr | 14,340.12 | 4.0 |
| HUNTER GLOBAL INVESTOR | 067 | WFC | SS | 300,000 | 22.27 | n/a | n/a | 15,000.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|-------|--------|------------|--------------|-----|
| ß BUCK CAPITAL MGMT | | WFMI | C | 70,000 | 22.13 | n/a | n/a | non-brg | 4.0 |
| THIRD COAST CAPITAL | 035 | WMT | S | 6,000 | 50.45 | n/a | 9-Apr | 300.00 | 5.0 |
| WEINTRAUB CAPITAL MGT. | 040 | WRC | B | 15,600 | 29.72 | 20-Apr | 20-Apr | 624.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | WSM | B | 50,000 | 13.67 | n/a | n/a | 2,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | XRT | S | 7,500 | 28.33 | n/a | n/a | non-brg | 1.0 |
| Õ Steven Maguire | | XRT | S | 7500 | 28.37 | n/a | n/a | 0.00 | 0.0 |
| f ALANA J A MADIGAN-SI | FID | ZQK | S | 1500 | 1.87 | 12-Mar | 12-Mar | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | 114,186.48 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|--------------------------|------|--------|-----|--------|-------|--------|----------|---------------|
| AO, | 05/01 | G WEISS /SASHA | 070 | BEN | B | 25,000 | 60.81 | 7-Apr | 4-May | 1000.00 4.0 |
| AO, | 05/01 | PEQUOT CAPITAL MGMT | 070 | HAR | SS | 10,700 | 19.39 | 12-Mar | 1-May | 428.00 4.0 |
| AO,CRT | 05/01 | JETSTREAM GLOBAL FUND LP | 065 | QCOR | S | 43,000 | 4.49 | n/a | n/a | 1720.00 4.0 |
| AO,CXL | 05/01 | JETSTREAM GLOBAL FUND LP | 065 | QCOR | S | 43,000 | 4.49 | n/a | n/a | 2150.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 998.00 |

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 114,186.48 |
| TOTAL (AO, CXL, CRT) : | 998.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 115,184.48 |
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MRI Securities with Trade Activity on 4-May.

TJX

MRI Securities without Trade Activity on 4-May.

NONE

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

T-Date = 27%

YTD = 22%

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| <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) |