

## **Daily Compliance Activity Report** Trade Date: 09/11/2009

**Potential ANALYST TRADE Violations: 0** Watch List ACTIVITY ALERT: 0

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Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	S/Shr.
EPOCH INV MGMT	030	AAPL	В	9,760	171.97	n/a	n/a	292.80	3.0
BALYASNY ASSET MGMT	044	АВ	В	50,000	25.11	31-Jul	9-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	AEO	В	70,000	15.66	25-Jun	4-Sep	2,800.00	4.0
COUGAR TRADING	044	AEO	В	20,000	15.48	25-Jun	4-Sep	1,000.00	5.0
GREEN ARROW DOUG	040	AEO	В	25,000	16.11	25-Jun	4-Sep	1,250.00	5.0
SCHOTTENFELD ASSOC	041	AEO	В	2,700	15.44	25-Jun	4-Sep	81.00	3.0
SCHOTTENFELD ASSOC	041	AEO	S	2,700	15.78	25-Jun	4-Sep	81.00	3.0
THE JAY GOLDMAN	034	AEO	S	15,000	16.20	25-Jun	4-Sep	600.00	4.0
TRELLUS PARTNERS LP	028	AEO	В	14,200	15.75	25-Jun	4-Sep	710.00	5.0
SACJ	039	AEO	В	25,000	15.80	25-Jun	4-Sep	1,000.00	4.0
CATAPULT	040	ALV	В	17,000	34.29	10-Jun	22-Jul	680.00	4.0
PRIMECAP MGMT	048	AMGN	В	7,000	58.64	n/a	26-Jan	350.00	5.0
M&I FUNDS	047	AMG	В	23,812	66.74	3-Aug	9-Sep	952.48	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	30.99	3-Jun	4-Sep	2,000.00	4.0
TRELLUS PARTNERS LP	028	AN	В	50,000	18.08	3-Aug	5-Aug	2,500.00	5.0
PILOT ROCK	028	AU	S	47,442	42.95	n/a	n/a	1,897.68	4.0
LAGRANGE CAP ADV	048	AXL	S	30,000	7.90	19-Aug	2-Sep	1,500.00	5.0
MILLRACE FUND LP	028	AXL	S	20,000	7.81	19-Aug	2-Sep	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
OZ MGMT	040	AXL	В	50,000	7.85	19-Aug	2-Sep	1,500.00	3.0
TRELLUS PARTNERS LP	028	AXL	S	75,000	7.72	19-Aug	2-Sep	2,250.00	3.0
LISTED ERR	099	AXL	В	2,100	7.85	19-Aug	2-Sep	0.00	0.0
CAXTON PART	040	AXP	S	9,158	34.18	n/a	10-Sep	320.54	3.5
BUCK CAPITAL MGMT	001	BIG	S	20,000	25.77	25- <b>A</b> ug	10-Sep	800.00	4.0
BUCK CAPITAL MGMT		BONT	В	55,200	8.64	n/a	6-Feb	non-brg	2.5
EXIS CAPITAL	044	BRCM	S	20,000	30.22	n/a	n/a	1,000.00	5.0
CATAPULT	040	BWA	В	29,500	34.42	3-Aug	24-Aug	1,180.00	4.0
COOPER CREEK PART	028	BWA	SS	2,600	34.20	3-Aug	24-Aug	104.00	4.0
GREEN ARROW DOUG	040	CCL	SS	15,000	32.82	n/a	26-Jan	750.00	5.0
BUCK CAPITAL MGMT		CHRS	S	20,000	5.34	n/a	22-Mar	non-brg	3.0
CHART WELL ADV	028	СОН	В	331,655	31.52	n/a	29-Jul	13,266.20	4.0
BUCK CAPITAL MGMT		COLM	С	10,000	40.61	n/a	n/a	non-brg	4.0
PILOT ROCK	028	COV	В	104,400	41.63	n/a	n/a	4,176.00	4.0
SETH ETAN SCHLESSEL	FID	CVGI	В	150	5.18	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		DBRN	В	100,000	17.49	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DBRN	В	20,000	17.79	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		DBRN	В	50,000	17.42	n/a	n/a	non-brg	1.0
	OZ MGMT TRELLUS PARTNERS LP LISTED ERR  CAXTON PART  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  EXIS CAPITAL  CATAPULT COOPER CREEK PART  GREEN ARROW DOUG  BUCK CAPITAL MGMT  CHART WELL ADV  BUCK CAPITAL MGMT  PILOT ROCK  SETH ETAN SCHLESSEL  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT	OZ MGMT TRELLUS PARTNERS LP Q28 LISTED ERR O99  CAXTON PART O40  BUCK CAPITAL MGMT O01  BUCK CAPITAL MGMT  EXIS CAPITAL MGMT  CATAPULT COOPER CREEK PART O28  GREEN ARROW DOUG O40  BUCK CAPITAL MGMT  CHART WELL ADV O28  BUCK CAPITAL MGMT  PILOT ROCK O28  SETH ETAN SCHLESSEL FID  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT	OZ MGMT TRELLUS PARTNERS LP LISTED ERR O99 AXL  CAXTON PART O40 AXP  BUCK CAPITAL MGMT O01 BIG  BUCK CAPITAL MGMT EXIS CAPITAL MGMT COOPER CREEK PART O28 BWA  GREEN ARROW DOUG O40 CCL  BUCK CAPITAL MGMT CHRS  CHART WELL ADV O28 COH  PILOT ROCK O28 COV  SETH ETAN SCHLESSEL FID CVGI BUCK CAPITAL MGMT DBRN	OZ MGMT TRELLUS PARTNERS LP TRELLUS PARTNERS LP O28 AXL S LISTED ERR O99 AXL B CAXTON PART O40 AXP S BUCK CAPITAL MGMT O01 BIG S BUCK CAPITAL MGMT BONT B EXIS CAPITAL O44 BRCM S CATAPULT COOPER CREEK PART O28 BWA SS GREEN ARROW DOUG O40 CCL SS BUCK CAPITAL MGMT CHRS S CHART WELL ADV O28 COH B BUCK CAPITAL MGMT COLM C PILOT ROCK O28 COV B BUCK CAPITAL MGMT DBRN B BUCK CAPITAL MGMT DBRN B BUCK CAPITAL MGMT DBRN B	OZ MGMT         040 AXL         B         50,000           TRELLUS PARTNERS LP         028 AXL         S         75,000           LISTED ERR         099 AXL         B         2,100           CAXTON PART         040 AXP         S         9,158           BUCK CAPITAL MGMT         001 BIG         S         20,000           BUCK CAPITAL MGMT         BONT         B         55,200           EXIS CAPITAL         044 BRCM         S         20,000           CATAPULT         040 BWA         B         29,500           COOPER CREEK PART         028 BWA         SS         2,600           GREEN ARROW DOUG         040 CCL         SS         15,000           BUCK CAPITAL MGMT         CHRS         S         20,000           CHART WELL ADV         028 COH         B         331,655           BUCK CAPITAL MGMT         COLM         C         10,000           PILOT ROCK         028 COV         B         104,400           SETH ETAN SCHLESSEL         FID CVGI         B         150           BUCK CAPITAL MGMT         DBRN         B         20,000	OZ MGMT         040 AXL         B         50,000         7.85           TRELLUS PARTNERS LP         028 AXL         S         75,000         7.72           LISTED ERR         099 AXL         B         2,100         7.85           CAXTON PART         040 AXP         S         9,158         34.18           BUCK CAPITAL MGMT         001 BIG         S         20,000         25.77           BUCK CAPITAL MGMT         BONT         B         55,200         8.64           EXIS CAPITAL         044 BRCM         S         20,000         30.22           CATAPULT         040 BWA         B         29,500         34.42           COOPER CREEK PART         028 BWA         SS         2,600         34.20           GREEN ARROW DOUG         040 CCL         SS         15,000         32.82           BUCK CAPITAL MGMT         CHRS         S         20,000         5.34           CHART WELL ADV         028 COH         B         331,655         31.52           BUCK CAPITAL MGMT         COLM         C         10,000         40.61           PILOT ROCK         028 COV         B         104,400         41.63           SETH ETAN SCHLESSEL         FID CVGI	OZ MGMT         040 AXL         B         50,000         7.85         19-Aug           TRELLUS PARTNERS LP         028 AXL         S         75,000         7.72         19-Aug           LISTED ERR         099 AXL         B         2,100         7.85         19-Aug           CAXTON PART         040 AXP         S         9,158         34.18         n/a           BUCK CAPITAL MGMT         001 BIG         S         20,000         25.77         25-Aug           BUCK CAPITAL MGMT         BONT         B         55,200         8.64         n/a           EXIS CAPITAL         044 BRCM         S         20,000         30.22         n/a           CATAPULT         040 BWA         B         29,500         34.42         3-Aug           GREEN ARROW DOUG         040 CCL         SS         15,000         32.82         n/a           BUCK CAPITAL MGMT         CHRS         S         20,000         5.34         n/a           BUCK CAPITAL MGMT         COLM         C         10,000         40.61         n/a           BUCK CAPITAL MGMT         DBRN         B         100,000         17.49         n/a           BUCK CAPITAL MGMT         DBRN         B	OZ MGMT         040 AXL         B         50,000 7.85         19-Aug 2-Sep 2-Sep 17,000         7.72 19-Aug 2-Sep 2-Sep 11,000         7.72 19-Aug 2-Sep 2-Se	OZ MOMT         040 AXL         B         50,000 7.85         19-Aug 2-Sep 1,500.00         1,500.00           TRELLUS PARTNERS LP LISTED ERR         028 AXL         S         75,000 7.72         19-Aug 2-Sep 2,250.00         1,500.00           CAXTON PART         040 AXP         S         9,158 34.18         n/a 10-Sep 320.54         320.54           BUCK CAPITAL MGMT         001 BIG         S         20,000 25.77         25-Aug 10-Sep 800.00         800.00           BUCK CAPITAL MGMT         BONT         B         55,200 8.64         n/a 6-Feb non-brg         800.00           EXIS CAPITAL         044 BRCM         S         20,000 30.22         n/a n/a n/a 1,000.00         1,180.00           CATAPULT         040 BWA         B         29,500 34.42         3-Aug 24-Aug 24-Aug 104.00         104.00           GREEN ARROW DOUG         040 CCL         SS         15,000 32.82         n/a 26-Jan 750.00         750.00           BUCK CAPITAL MGMT         CHRS         S         20,000 5.34         n/a 22-Mar         non-brg           CHART WELL ADV         028 COH         B         331,655 31.52         n/a 29-Jul 13,266.20           BUCK CAPITAL MGMT         COLM         C         10,000 40.61         n/a n/a n/a n/a 1,760.00           SETH ETAN SCH

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		DECK	В	30,000	69.95	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DECK	В	5,000	70.39	n/a	n/a	non-brg	0.8
f	ANDREW SINCLAIR	FID	DVAX	S	4000	2.30	n/a	n/a	0.00	0.0
	EPOCH INV MGMT	030	DVA	S	31,764	54.15	n/a	n/a	952.92	3.0
	BUCK CAPITAL MGMT	001	EL	В	20,000	34.57	14-Aug	14-Aug	800.00	4.0
	PILOT ROCK	028	FITB	SS	100,000	9.78	n/a	n/a	4,000.00	4.0
f	MARC PAUL LUCHANSKY	FID	FL	В	1000	10.66	27-Aug	27-Aug	0.00	0.0
f	KAREN F LEDDY	FID	FOR	В	500	14.49	6-Aug	6-Aug	0.00	0.0
f	KAREN F LEDDY	FID	F	В	1500	7.36	27-Aug	2-Sep	0.00	0.0
	TRELLUS PARTNERS LP	028	F	В	50,000	7.42	27-Aug	2-Sep	1,500.00	3.0
ß	BUCK CAPITAL MGMT		GRMN	С	50,000	37.18	n/a	n/a	non-brg	4.0
	LONG OAR GLOBAL INV	040	GT	S	8,600	17.24	n/a	n/a	344.00	4.0
	FRONTPOINT/COPIA-ANDREW	031	НК	S	74,600	24.34	n/a	n/a	2,611.00	3.5
	FRONTPOINT/COPIA-ANDREW	031	HLX	В	3,000	14.19	n/a	n/a	105.00	3.5
	STADIA CAPITAL	035	HLX	В	43,000	14.19	n/a	n/a	1,505.00	3.5
f	DAVID GEORGE BUCK	FID	IFLO	s	3000	10.65	n/a	n/a	0.00	0.0
	OZ MGMT	040	IMA	S	187 <b>,</b> 545	39.93	n/a	n/a	5,626.35	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
	BMO NESBITT BURNS	041	IP	SS	75,000	23.82	14-Aug	14-Aug	3,750.00	5.0	
	CSFB GLOBAL PROPRIETARY	041	IP	SS	252,000	23.67	14-Aug	14-Aug	12,600.00	5.0	
	MILLENIUM PARTNERS	028	IP	S	15,000	23.62	14-Aug	14-Aug	600.00	4.0	
	SCHOTTENFELD ASSOC	041	IP	В	20,000	23.56	14-Aug	14-Aug	600.00	3.0	
	SCHOTTENFELD ASSOC	041	IP	SS	25,000	23.88	14-Aug	14-Aug	750.00	3.0	
	SCOPUS FUND	041	IP	SS	102,000	23.70	14-Aug	14-Aug	5,100.00	5.0	
f	DAVID GEORGE BUCK	FID	IWF	S	2500	45.89	n/a	n/a	0.00	0.0	
	BALYASNY ASSET MGMT	044	JNS	S	35,000	13.61	16-Jul	9-Sep	1,750.00	5.0	
ß	BUCK CAPITAL MGMT		JOSB	S	25,000	45.96	n/a	n/a	non-brg	0.8	
	M&I FUNDS	047	LAZ	В	33 <b>,</b> 931	38.89	n/a	30-Jul	1,357.24	4.0	
	EXIS CAPITAL	044	LNC	S	20,000	25.10	n/a	n/a	1,000.00	5.0	
В	BUCK CAPITAL MGMT		LPX	S	50,000	7.96	n/a	5-Aug	non-brg	3.0	
	BUCK CAPITAL MGMT	001	MAR	В	20,000	24.65	n/a	n/a	800.00	4.0	
a	BUCK CAPITAL MGMT		MDR	S	58,000	27.53	n/a	n/a	non-brg	1.0	
	CAXTON PART	040	MS	S	9,160	28.88	11-May	11-Sep	320.60	3.5	
	CHARTER OAK	033	MTW	В	200,000	8.95	11-Sep	11-Sep	8,000.00	4.0	
	BUCK CAPITAL MGMT	001	NKE	В	20,000	55.11	n/a	n/a	800.00	4.0	
	TROUBH PART	067	NUE	S	25,000	47.00	n/a	n/a	1,250.00	5.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
	PILOT ROCK	028	PAAS	S	57 <b>,</b> 900	23.29	n/a	n/a	2,316.00	4.0	
	RBC CAPITAL MARKETS	040	PKG	В	47,000	21.15	21-Jul	21-Jul	1,880.00	4.0	
ß	BUCK CAPITAL MGMT		PLCE	В	30,000	27.21	n/a	4-Sep	non-brg	4.0	
ß	BUCK CAPITAL MGMT		PLCE	В	5,000	27.37	n/a	4-Sep	non-brg	0.8	
ß	BUCK CAPITAL MGMT		PNRA	В	24,000	54.26	30-Jul	30-Jul	non-brg	1.0	
ß	BUCK CAPITAL MGMT		PNRA	В	26,000	54.15	30-Jul	30-Jul	non-brg	0.8	
	LATEFF MGMT	035	PRGO	S	600	31.11	18-Aug	11-Sep	150.00	25.0	
	OZ MGMT	040	QCOM	S	65,000	46.45	n/a	n/a	1,950.00	3.0	
	RBC CAPITAL MARKETS	040	RAH	S	33,000	64.34	n/a	n/a	1,320.00	4.0	
ß	BUCK CAPITAL MGMT		RCL	В	30,000	21.82	31-Jul	8-Sep	non-brg	4.0	
ß	BUCK CAPITAL MGMT		RIG	S	30,000	82.72	n/a	n/a	non-brg	4.0	
f	ABRAM M CHAPPELL	FID	RRC	s	50	51.85	n/a	28-Aug	0.00	0.0	
ß	BUCK CAPITAL MGMT		RRR	В	25,000	7.49	n/a	11-Aug	non-brg	3.0	
ß	BUCK CAPITAL MGMT		RRR	В	50,000	7.67	n/a	11-Aug	non-brg	2.5	
	GALT INVESTMENT	041	SCSS	S	50,000	4.30	n/a	n/a	2,500.00	5.0	
f	SETH ETAN SCHLESSEL	FID	SKS	В	125	6.74	n/a	n/a	0.00	0.0	
	PZENA INV ADV	044	SKX	В	10,684	17.67	n/a	13-Mar	373.94	3.5	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	_
	EPOCH INV MGMT	030	SLGN	S	35 <b>,</b> 829	49.01	n/a	n/a	1,074.87	3.0	
	TROUBH PART	067	SLM	S	25,000	9.19	12-Aug	9-Sep	1,250.00	5.0	
f	SETH ETAN SCHLESSEL	FID	SPNG	В	500	0.15	n/a	n/a	0.00	0.0	
	EXIS CAPITAL	044	SPW	В	5,000	63.52	n/a	n/a	250.00	5.0	
f	DAVID GEORGE BUCK	FID	SPY	В	1000	104.94	n/a	n/a	0.00	0.0	
ß	BUCK CAPITAL MGMT		SUP	В	10,000	14.75	10-Aug	10-Aug	non-brg	0.8	
f	ANDREW SINCLAIR	FID	SWGIE	s	200	0.07	n/a	n/a	0.00	0.0	
	SONTERRA CAP	041	TEN	SS	15 <b>,</b> 000	16.22	n/a	n/a	600.00	4.0	
	BUCK CAPITAL MGMT	001	TGT	В	20,000	47.89	3-Sep	3-Sep	800.00	4.0	
	GREEN ARROW DOUG	040	TGT	S	25,000	48.02	3-Sep	3-Sep	1,250.00	5.0	
	BUCK CAPITAL MGMT	001	TLB	SS	20,000	8.51	n/a	30-Jan	800.00	4.0	
	MASTERS CAPITAL MANAGE	091	TLB	В	50,000	8.49	n/a	30-Jan	2,000.00	4.0	
	MISSOURI VALLEY PART	046	TRV	S	26 <b>,</b> 265	48.46	n/a	n/a	1,313.25	5.0	
	STRAUSS ASSET MGMT	040	VOCS	SS	5,000	19.76	n/a	n/a	250.00	5.0	
	EPOCH INV MGMT	030	V	В	7 <b>,</b> 970	72.10	n/a	9-Sep	239.10	3.0	
	JETSTREAM GLOBAL FUND LP	065	V	S	10,100	72.02	n/a	9-Sep	505.00	5.0	
f	CHRISTOPHER ROBERT B	FID	WBC	В	2000	19.89	5-Aug	5-Aug	0.00	0.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
f	CICILY S BACKUS	FID	WBC	В	2000	19.92	5-Aug	5-Aug	0.00	0.0
f	MELISSA LEE BACKUS	FID	WBC	В	1000	19.88	5-Aug	5-Aug	0.00	0.0
	PHILADELPHIA FINANCIAL	033	WDR	В	25,000	26.01	29-Jul	9-Sep	1,000.00	4.0
	BUCK CAPITAL MGMT	001	WRC	s	25,000	41.37	28-Jul	2-Sep	1,000.00	4.0
	GLOBAL 56 LLC	060	WRES	S	2,500	2.82	n/a	n/a	75.00	3.0
ß	BUCK CAPITAL MGMT		WY	В	15,000	37.23	n/a	3-Aug	non-brg	0.8
	CAXTON PART	040	WY	В	300,656	37.70	n/a	3-Aug	10,522.97	3.5
	CSFB GLOBAL PROPRIETARY	041	WY	В	75,000	37.56	n/a	3-Aug	3,750.00	5.0
	MILLENIUM PARTNERS	028	WY	В	15,000	37.16	n/a	3-Aug	600.00	4.0
	OZ MGMT	040	WY	В	28,770	37.78	n/a	3-Aug	863.10	3.0
	SCOPUS FUND	041	WY	В	35,000	37.65	n/a	3-Aug	1,750.00	5.0
	TRELLUS PARTNERS LP	028	WY	В	27,400	36.74	n/a	3-Aug	1,370.00	5.0
	WEINTRAUB CAPITAL MGT.	040	WY	В	26,200	36.80	n/a	3-Aug	1,048.00	4.0
	FRONTPOINT/COPIA-ANDREW	031	XCO	S	31,300	16.61	n/a	n/a	1,095.50	3.5
ß	BUCK CAPITAL MGMT		XRT	С	375,000	33.17	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		XRT	С	85,000	33.17	n/a	n/a	non-brg	0.8
	MATLIN PATTERSON	046	XRT	В	20,000	33.20	n/a	n/a	600.00	3.0
	EXIS CAPITAL	044	ZQK	В	5,000	2.70	n/a	4-Sep	250.00	5.0

TOTAL (Trade Date): 147,010.54

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,CRT	09/10	EXIS CAPITAL	044	BRCM	В	12,600	29.95	n/a	n/a	630.00	5.0
AO,CXL	09/10	EXIS CAPITAL	044	BRCM	В	20,000	29.95	n/a	n/a	1000.00	5.0
AO, CRT	09/10	EXIS CAPITAL	044	BRCM	В	7,400	29.95	n/a	n/a	370.00	5.0
AO, CRT	09/10	LISTED ERR	099	KR	S	33	21.86	n/a	n/a	0.00	0.0
AO,CXL	09/10	EXIS CAPITAL	044	MET	S	15,000	37.59	n/a	n/a	750.00	5.0
		EVIC CARTERI	044	MET	S	5,500	37.59	n/a	n/a	275.00	5.0
AO,	09/10	EXIS CAPITAL	044	11111	0	3,300		,	11/ 0		

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	147,010.54
TOTAL (RUN DATE) / NFS:	147,010.54

MRI Securities with Trade Activity on 11-Sep.

MRI Securities without Trade Activity on 11-Sep. NONE

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

T-Date = 27%

YTD = 21%

## Legend:

O: 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)