



Daily Compliance Activity Report

Trade Date: 03/31/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	1,700	105.25	n/a	n/a	68.00	4.0
EPOCH INV MGMT	030	ADP	B	2,050	35.09	n/a	n/a	82.00	4.0
EPOCH INV MGMT	030	AET	B	7,250	24.58	n/a	n/a	290.00	4.0
f HARALAMBOS EFSTATHI	FID	AGN	B	200	47.94	24-Mar	31-Mar	0.00	0.0
PLATTE RIVER CAPITAL	240	AGN	B	8,000	47.58	24-Mar	31-Mar	320.00	4.0
TRELLUS PARTNERS LP	028	ALV	SS	10,000	18.15	12-Mar	12-Mar	500.00	5.0
EPOCH INV MGMT	030	AMP	B	5,000	19.71	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		ARO	C	30,000	25.91	n/a	13-Mar	non-brg	4.0
EPOCH INV MGMT	030	ATK	B	2,750	66.13	n/a	n/a	110.00	4.0
B BUCK CAPITAL MGMT		AVP	C	70,000	19.03	25-Feb	30-Mar	non-brg	4.0
f MANNY I KORMAN	FID	BACPRU	S	5000	9.63	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BAC	SS	10,000	6.52	2-Mar	23-Mar	400.00	4.0
EPOCH INV MGMT	030	BA	B	4,800	35.34	n/a	n/a	192.00	4.0
B BUCK CAPITAL MGMT		BEBE	B	29,000	6.62	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	BEN	B	3,000	52.83	24-Mar	27-Mar	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	BGU	S	15,000	23.21	n/a	n/a	450.00	3.0
EPOCH INV MGMT	030	BK	B	7,750	27.58	21-Jan	27-Mar	310.00	4.0
EPOCH INV MGMT	030	BSX	B	16,350	8.04	n/a	22-Apr	654.00	4.0
EPOCH INV MGMT	030	BTU	B	2,150	25.71	n/a	n/a	86.00	4.0
ASCEND PARTNERS	033	BWA	SS	50,000	20.43	12-Mar	19-Mar	2,500.00	5.0
SCOPUS FUND	041	BWA	SS	20,000	20.34	12-Mar	19-Mar	1,000.00	5.0
SEMINOLE CAP	036	BWA	SS	50,000	20.02	12-Mar	19-Mar	2,500.00	5.0
B BUCK CAPITAL MGMT		CACH	B	16,900	2.63	n/a	n/a	non-brg	1.5
B BUCK CAPITAL MGMT		CACH	B	45,061	2.82	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		CHRS	B	50,000	1.46	n/a	22-Mar	non-brg	1.0
f EDWARD W WHEELER	FID	CIDM	B	20000	0.64	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CL	B	900	59.07	16-Mar	20-Mar	36.00	4.0
EPOCH INV MGMT	030	CMCSK	B	14,400	12.91	n/a	n/a	576.00	4.0
SANDLER O'NEILL ASSET	031	COF	B	22,300	11.55	n/a	27-Mar	1,115.00	5.0
f EDWARD W WHEELER	FID	CPNIU	S	150	1.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	10,000	53.31	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	DIS	B	48,400	18.30	n/a	n/a	1,452.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	DKS	B	14,736	14.04	24-Mar	24-Mar	589.44	4.0
SCOPUS FUND	041	DLTR	B	5,000	45.08	10-Feb	6-Mar	250.00	5.0
f FRANCIS MICHAEL MCCA	FID	DXO	B	2000	2.79	n/a	n/a	0.00	0.0
f JAMES H HLAVACEK II	FID	DXO	B	500	2.65	n/a	n/a	0.00	0.0
f RAGHAV NAYAR	FID	DXO	B	350	2.79	n/a	n/a	0.00	0.0
f ANN M GAULT	FID	FAZ	B	1000	20.44	n/a	n/a	0.00	0.0
f JOHN MICHAEL DEMARTI	FID	FAZ	B	2000	20.73	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	B	1000	20.56	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	FAZ	B	2500	20.58	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	FII	B	20,000	22.27	30-Mar	30-Mar	800.00	4.0
PHILADELPHIA FINANCIAL	033	FII	S	27,108	21.48	30-Mar	30-Mar	1,084.32	4.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	18.89	n/a	10-Jan	2,000.00	4.0
B BUCK CAPITAL MGMT		GIII	B	260	5.50	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	GNW	S	50,000	1.83	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		GQU+HE [GYMB]	SS	2,000	1.90	n/a	n/a	non-brg	300.0
MTB INV ADV	034	GT	S	10,400	6.25	n/a	n/a	416.00	4.0
SCOPUS FUND	041	GYMB	B	27,500	21.28	5-Mar	5-Mar	1,375.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	9.63	n/a	n/a	600.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	HBI	B	50	9.68	n/a	n/a	0.00	0.0
	HARVEST MGMT	039	HD	SS	10,000	22.86	n/a	25-Feb	500.00	5.0
f	JONATHAN RICHARD HAR	FID	HYG	S	90	67.70	n/a	n/a	0.00	0.0
	SAXON WOODS ADVISORS	038	IBM	B	59,800	96.56	n/a	n/a	2,392.00	4.0
	CASTLEROCK	040	ISRG	SS	11,041	94.81	n/a	n/a	441.64	4.0
	DENVER INST. ADV	046	IVZ	B	27,520	14.09	24-Mar	27-Mar	1,100.80	4.0
	MOORE CAPITAL	036	JASO	B	50,000	3.21	n/a	n/a	2,000.00	4.0
	BARON ASSET MGMT*	012	JCG	B	18,294	12.95	n/a	30-Jan	731.76	4.0
B	BUCK CAPITAL MGMT		JOSB	B	15,000	27.84	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		JOSB	B	20,000	27.83	n/a	n/a	non-brg	4.0
	PZENA INV ADV	044	KFT	B	6,975	22.45	n/a	n/a	244.13	3.5
	BASIX	033	LNCR	B	33,000	21.88	n/a	27-Mar	990.00	3.0
	NEWCASTLE FUNDS	033	LTM	B	70,000	12.73	n/a	n/a	2,800.00	4.0
	AVESTA CAP	229	MCD	B	100,000	55.07	n/a	9-Mar	5,000.00	5.0
B	BUCK CAPITAL MGMT		MDTL	C	25,000	0.45	n/a	n/a	non-brg	1.0
f	MANNY I KORMAN	FID	MERPRK	S	5000	8.80	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WASHINGTON ASSET	048	MS	S	15,000	22.51	18-Dec	23-Mar	750.00	5.0
CRAMER ROSENTHAL/SCOTT	012	MUR	B	136,800	45.61	n/a	n/a	5,472.00	4.0
f FRANCIS MICHAEL MCCA	FID	NAV	S	200	32.13	n/a	n/a	0.00	0.0
MOORE CAPITAL	036	NWL	B	10,000	6.28	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	PAG	SS	2,300	9.50	n/a	18-Feb	69.00	3.0
TRELLUS PARTNERS LP	028	PAG	SS	5,000	9.44	n/a	18-Feb	150.00	3.0
B BUCK CAPITAL MGMT		PCAR	S	70,000	25.78	25-Mar	25-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PDCO	SS	50,000	19.00	n/a	n/a	non-brg	4.0
DECADE CAPITAL PARTNERS	040	PXD	SS	50,000	17.06	5-Nov	17-Mar	2,500.00	5.0
WHALE ROCK CAP	030	SAP	B	10,352	35.21	n/a	n/a	414.08	4.0
WHALE ROCK CAP	030	SBUX	B	55,239	11.23	n/a	17-Feb	2,209.56	4.0
f JOHN MICHAEL ZOLIDIS	FID	SEF	B	100	82.98	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	SKF	B	11000	102.14	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	SKF	S	9000	98.29	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	SLM	S	50,000	4.89	27-Feb	25-Mar	2,500.00	5.0
f FRANCIS MICHAEL MCCA	FID	SPLS	B	200	18.40	n/a	27-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SUMR	B	1,800	1.65	n/a	n/a	non-brg	1.0
CASTLEROCK	040	SYT	SS	46,442	22.54	n/a	24-Apr	1,857.68	4.0
SIGMA CAPITAL ASSOCIATES	041	TEVA	S	25,000	45.07	18-Feb	31-Mar	1,250.00	5.0
BALYASNY ASSET MGMT	044	TEX	SS	10,000	9.36	13-Feb	13-Feb	400.00	4.0
MORGAN BANK /JPM	070	TGT	C	19,208	33.75	25-Feb	20-Mar	576.24	3.0
B BUCK CAPITAL MGMT		TLB	B	50,000	3.46	n/a	30-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		TRLG	S	31,190	11.70	n/a	n/a	non-brg	4.0
UBS OCONNOR	031	TTC	C	56,800	23.87	n/a	n/a	1,704.00	3.0
WHALE ROCK CAP	030	TWX	B	77,089	19.07	n/a	n/a	3,083.56	4.0
MOORE CAPITAL	036	TYC	S	25,000	19.71	12-Nov	3-Feb	1,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	USTR	B	200	28.81	n/a	27-Jul	0.00	0.0
f HARALAMBOS EFSTATHI	FID	WBC	S	500	12.31	5-Feb	18-Mar	0.00	0.0
BALYASNY ASSET MGMT	044	WFC	SS	10,000	14.18	n/a	n/a	500.00	5.0
CHART WELL ADV	028	WRC	B	56,800	23.96	27-Mar	27-Mar	2,272.00	4.0
AELTUS/ING IVESTMENT MGT	215	WW	B	91,800	49.84	n/a	n/a	3,213.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		ZQK	B	50,000	1.32	12-Mar	12-Mar	non-brg 2.0
TOTAL (Trade Date):								68,097.21

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/30	BARCLEYS CAP (OLD LEHM)	041	M	SS	100,000	8.87	n/a	6-Mar	4000.00 4.0
AO,CXL	03/30	DE SHAW	040	M	SS	100,000	8.87	n/a	6-Mar	4000.00 4.0
AO,CXL	03/30	LISTED ERR	028	WRC	B	50	23.53	27-Mar	27-Mar	2.00 4.0
AO,CRT	03/30	CHART WELL ADV	028	WRC	B	19,080	23.53	27-Mar	27-Mar	763.20 4.0
AO,CXL	03/30	CHART WELL ADV	028	WRC	B	19,030	23.53	27-Mar	27-Mar	761.20 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	68,097.21
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	68,097.21
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MRI Securities with Trade Activity on 31-Mar. NONE

MRI Securities without Trade Activity on 31-Mar. LOW, SHW
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 11% YTD = 24%
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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)