



Daily Compliance Activity Report

Trade Date: 11/17/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ALL	S	25,000	29.30	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		ANF	S	20,000	40.89	n/a	16-Nov	non-brg	4.0
f KAREN F LEDDY	FID	AN	S	500	18.42	n/a	30-Oct	0.00	0.0
f CHRISTOPHER ROBERT C	FID	AONE	B	300	15.38	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ARGN	S	100	6.90	n/a	29-Oct	0.00	0.0
B BUCK CAPITAL MGMT		ARO	B	10,000	33.11	n/a	6-Nov	non-brg	0.8
f ROBERT M DANIELS	FID	BAC	B	300	15.66	n/a	16-Nov	0.00	0.0
EXIS CAPITAL	044	BBY	S	25,000	41.93	n/a	n/a	1,250.00	5.0
f WILLIAM J GAULT	FID	BGZ	S	15000	17.98	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	BJ	SS	10,000	36.61	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	BPO	S	36,500	11.24	n/a	n/a	1,642.50	4.5
ELM RIDGE ADVISORS	044	CBG	S	1,000	11.66	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		CHS	B	50,000	13.50	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	CLX	SS	25,000	59.92	n/a	3-Nov	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		COH	B	20,000	34.45	n/a	21-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		CTRN	S	13,000	28.47	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		CTRN	S	3,400	28.53	n/a	n/a	non-brg	0.8
TPG-AXON	040	CVS	S	350,000	30.21	n/a	n/a	17,500.00	5.0
B BUCK CAPITAL MGMT		DBRN	S	150,000	20.89	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	23,357	98.14	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIA	SS	15,000	104.32	n/a	n/a	non-brg	0.8
NEUBERGER BERMAN	036	DLR	S	23,800	48.66	n/a	n/a	1,071.00	4.5
DIAMONDBACK CAP MGMT	232	DLTR	S	25,000	49.07	n/a	11-Nov	1,250.00	5.0
PHILADELPHIA FINANCIAL	033	EV	C	20,000	30.11	n/a	17-Nov	800.00	4.0
BALYASNY ASSET MGMT	044	FITB	S	50,000	9.75	n/a	n/a	2,000.00	4.0
f CAROL ANNE LACHENAU	FID	FOR	B	700	19.07	n/a	5-Nov	0.00	0.0
f DOUGLAS ROGERS	FID	FOR	B	500	19.07	n/a	5-Nov	0.00	0.0
f TR U/W OF CH RISTINA	FID	FOR	B	300	19.08	n/a	5-Nov	0.00	0.0
TRELLUS PARTNERS LP	028	F	S	100,000	8.88	n/a	4-Nov	3,000.00	3.0
WOOSTER CAPITAL	035	F	SS	250,000	8.86	n/a	4-Nov	7,500.00	3.0
B BUCK CAPITAL MGMT		GIII	S	18,200	17.99	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	GIL	B	25,000	18.46	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		GME	B	10,000	23.82	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GSIC	S	10,000	20.34	n/a	n/a	non-brg	0.8
NORTHPOINT	030	GTI	S	43,530	15.30	n/a	n/a	1,741.20	4.0
NORTHPOINT	030	HBI	S	36,395	24.64	n/a	n/a	1,455.80	4.0
NEUBERGER BERMAN	036	HIW	S	14,700	30.49	n/a	n/a	661.50	4.5
BALYASNY ASSET MGMT	044	HST	S	65,000	10.89	n/a	n/a	3,250.00	5.0
B BUCK CAPITAL MGMT		IJS	C	28,500	56.18	n/a	n/a	non-brg	1.0
HOTCHKIS & WILEY	035	JACK	B	156,400	20.34	n/a	n/a	7,820.00	5.0
ADAGE CAPITAL MGMT	030	JCP	SS	448,300	30.05	n/a	16-Nov	17,932.00	4.0
CADIAN CAPITAL	067	JCP	B	50,000	29.63	n/a	16-Nov	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	JCP	C	100,000	29.82	n/a	16-Nov	5,000.00	5.0
BAIRD INVESTMENT	047	JPM	B	7,625	42.72	n/a	13-Nov	381.25	5.0
BALYASNY ASSET MGMT	044	JPM	S	40,000	42.78	n/a	13-Nov	2,000.00	5.0
ARAGON GLOBAL	041	JWN	S	31,500	34.53	n/a	13-Nov	1,575.00	5.0
COUGAR TRADING	044	JWN	S	5,000	34.44	n/a	13-Nov	250.00	5.0
BALYASNY ASSET MGMT	044	KEY	S	75,000	5.72	n/a	n/a	3,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	KSS	SS	75,000	55.09	n/a	13-Nov	3,000.00	4.0
B BUCK CAPITAL MGMT		LEN	B	30,000	14.65	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	LHO	B	53,000	20.95	n/a	n/a	2,385.00	4.5
f DAVID GEORGE BUCK	FID	LJJXY	S	20	1.26	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.24	n/a	n/a	600.00	6.0
f DAVID GEORGE BUCK	FID	LVS	S	2000	17.92	n/a	11-Nov	0.00	0.0
BALYASNY ASSET MGMT	044	LZ	SS	10,000	74.56	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		MDC	B	20,000	31.84	n/a	n/a	non-brg	0.8
BALYASNY ASSET MGMT	044	MET	S	20,000	35.18	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		MGM	SS	30,000	11.30	n/a	6-Nov	non-brg	4.0
TROUBH PART	067	MGM	B	25,000	11.65	n/a	6-Nov	1,250.00	5.0
f DAVID GEORGE BUCK	FID	MONXO	S	10	1.96	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MON	S	900	77.06	n/a	11-Nov	0.00	0.0
CIRCLE T/SES PART	035	MPET	S	25,000	4.82	n/a	11-Nov	750.00	3.0
f EDWARD W WHEELER	FID	MTRX	S	5000	9.47	n/a	n/a	0.00	0.0
BRAZOS	031	MTW	B	132,000	11.34	n/a	3-Nov	3,960.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	MTZ	S	15,000	12.49	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	50,000	166.48	n/a	n/a	non-brg	16.6
PARTNER REINSURANCE	033	M	B	25,000	17.56	n/a	12-Nov	1,000.00	4.0
f ROBERT M DANIELS	FID	NE	S	200	44.40	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	NTY	S	60,000	43.06	n/a	n/a	2,400.00	4.0
f DAVID GEORGE BUCK	FID	NVN	B	508	13.12	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	OI	S	40,000	33.00	n/a	n/a	1,600.00	4.0
f JOHN CAREY MAGUIRE	FID	PEBK	S	500	4.90	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	PFE	S	200	17.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	34.08	n/a	6-Nov	non-brg	4.0
BALYASNY ASSET MGMT	044	PNC	C	25,000	55.21	n/a	n/a	1,250.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	QLNLD	B	10	8.00	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	Q	B	20,000	3.81	n/a	n/a	1,000.00	5.0
f JONATHAN RICHARD HAR	FID	RF	B	200	4.96	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	RIG	B	500	88.85	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	10,000	79.40	n/a	4-Nov	400.00	4.0
MILLENIUM PARTNERS	028	SEE	B	30,000	22.52	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		SII	B	20,000	26.82	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	23.83	n/a	n/a	1,200.00	4.0
WELLS/STRONG LEDDY	035	SMBL	B	19,700	5.31	n/a	n/a	591.00	3.0
EXIS CAPITAL	044	SSO	SS	5,000	37.56	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	STT	B	25,000	42.01	n/a	23-Oct	1,250.00	5.0
BALYASNY ASSET MGMT	044	STT	S	25,000	42.36	n/a	23-Oct	1,250.00	5.0
PAULSON & CO INC	041	STT	B	900,000	41.97	n/a	23-Oct	27,000.00	3.0
CHILTON CAPITAL MGMT.	036	SWSI	B	100,000	13.03	n/a	n/a	3,000.00	3.0
SIGMA CAPITAL ASSOCIATES	041	TGT	S	75,000	48.46	n/a	16-Nov	3,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	90,500	17.16	n/a	22-Oct	4,525.00	5.0
TRELLUS PARTNERS LP	028	TIN	B	30,000	17.20	n/a	22-Oct	1,500.00	5.0
B BUCK CAPITAL MGMT		TWB	S	50,000	9.94	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		UA	C	10,000	28.86	n/a	28-Oct	non-brg	4.0
BALYASNY ASSET MGMT	044	UBS	S	25,000	16.80	n/a	n/a	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	VOD	B	25,000	23.59	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	WL	S	30,000	13.22	n/a	n/a	1,500.00	5.0
GREEN ARROW DOUG	040	WMS	SS	15,000	44.47	n/a	n/a	600.00	4.0
GREEN ARROW DOUG	040	WMT	SS	20,000	53.39	n/a	12-Nov	1,000.00	5.0
EXIS CAPITAL	044	X	B	10,000	42.20	n/a	n/a	500.00	5.0
TOTAL (Trade Date) :							159,731.25		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/16	BUCK CAPITAL MGMT	001	WMT	S	400,000	53.03	n/a 12-Nov 16000.00	4.0
AO,CXL	11/16	BUCK CAPITAL MGMT	001	WMT	S	400,000	53.03	n/a 12-Nov 16000.00	4.0
TOTAL (AO, CXL, CRT) :									0.00

TOTAL (Trade Date) :	159,731.25
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	159,731.25
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MRI Securities with Trade Activity on 17-Nov.
NONE

MRI Securities without Trade Activity on 17-Nov.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 6%
YTD = 19%

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)