



Daily Compliance Activity Report

Trade Date: 02/04/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ALV	SS	25,000	18.89	30-Jan	4-Feb	1,250.00	5.0
B BUCK CAPITAL MGMT		ALV	SS	20,000	18.83	30-Jan	4-Feb	non-brg	4.0
COUGAR TRADING	044	ALV	B	5,000	18.99	30-Jan	4-Feb	250.00	5.0
HIGHBRIDGE/MS OLDS	041	ALV	B	10,000	18.89	30-Jan	4-Feb	500.00	5.0
PILOT ROCK	028	ALV	SS	60,000	18.88	30-Jan	4-Feb	2,400.00	4.0
POST ROAD CAP	045	ALV	SS	8,000	18.76	30-Jan	4-Feb	240.00	3.0
f BARBARA WYCKOFF SIRI	FID	ANF	B	300	18.63	n/a	30-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	AN	SS	20,000	9.83	30-Jan	30-Jan	600.00	3.0
BAIRD INVESTMENT	031	APC	B	4,925	39.52	3-Feb	4-Feb	246.25	5.0
BUCK CAPITAL MGMT	001	ARO	B	200,000	21.30	n/a	30-Jan	8,000.00	4.0
BASIX	033	AXE	B	10,000	33.63	22-Dec	3-Feb	300.00	3.0
RBC CAPITAL MARKETS	034	BBY	B	10,000	28.71	n/a	27-Jul	400.00	4.0
f JONATHAN RICHARD HAR	FID	BGZ	B	29	67.01	n/a	n/a	0.00	0.0
EATON VANCE MGMT	039	BHP	B	150,000	41.37	n/a	n/a	4,500.00	3.0
LISTED ERR	099	BHP	S	9,900	41.60	n/a	n/a	0.00	0.0
AVESTA CAP	229	BKC	S	25,000	21.69	27-Oct	30-Jan	1,250.00	5.0
RBC CAPITAL MARKETS	034	BKS	B	10,000	16.03	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	BMC	B	10,400	26.00	n/a	n/a	416.00	4.0
B BUCK CAPITAL MGMT		BRBY LN	SS	50,000	3.82	n/a	n/a	non-brg	0.2
COUGAR TRADING	044	BWA	B	5,000	18.73	27-Jan	27-Jan	250.00	5.0
POST ROAD CAP	045	BWA	SS	8,800	18.64	27-Jan	27-Jan	264.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	5,000	18.84	27-Jan	27-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	BYI	B	50,000	20.13	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		CEC	C	14,400	25.87	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	034	COST	B	10,000	42.16	n/a	27-Jul	400.00	4.0
GRUSS CAPITAL	045	CPX	B	20,000	4.58	n/a	n/a	400.00	2.0
MATRIX ASSET ADV.	036	CSCO	S	4,000	15.85	n/a	22-Mar	120.00	3.0
BALYASNY ASSET MGMT	044	C	B	200,000	3.66	n/a	20-Jan	6,000.00	3.0
REICH AND TANG	067	DBD	B	25,000	23.85	30-Oct	28-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		DIN	C	10,000	8.56	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DLTR	B	20,000	42.79	n/a	4-Feb	non-brg	4.0
COUGAR TRADING	044	DSW	B	10,000	10.16	14-Nov	30-Jan	500.00	5.0
KLEINHEINZ CAP PART	031	DVN	B	50,000	59.15	5-Feb	3-Feb	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	DVN	B	25,000	58.56	5-Feb	3-Feb	1,250.00	5.0
UBS OCONNOR	031	EV	SS	157,000	20.02	9-Jan	4-Feb	4,710.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	14.82	n/a	10-Jan	400.00	4.0
NORTHPOINT	030	GES	S	9,260	16.57	n/a	n/a	370.40	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	20,000	10.19	11-Dec	12-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	20,000	10.50	11-Dec	12-Dec	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GIL	B	5,000	10.09	11-Dec	12-Dec	non-brg	4.0
WEISS PECK	040	GIL	S	46,700	10.18	11-Dec	12-Dec	2,335.00	5.0
⌘ BUCK CAPITAL MGMT		GMCR	SS	20,000	40.93	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	GPS	SS	100,000	10.86	n/a	30-Jan	5,000.00	5.0
BASIX	033	GR	S	14,300	38.95	4-Feb	4-Feb	429.00	3.0
LISTED ERR	099	GR	B	13,600	39.65	4-Feb	4-Feb	0.00	0.0
LISTED ERR	099	GR	S	13,600	39.28	4-Feb	4-Feb	0.00	0.0
NATIONAL BK OF CAN	031	GS	B	5,000	87.02	15-Sep	14-Jan	200.00	4.0
COOPER CREEK PART	028	HAR	B	10,000	15.29	3-Feb	4-Feb	500.00	5.0
CATAPULT	040	HERO	B	50,000	3.44	n/a	n/a	2,000.00	4.0
BAYPOINT CRIT/B COLBURN	033	HOG	B	40,000	12.94	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		IP	C	30,000	8.17	22-Sep	29-Jan	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f BARBARA WYCKOFF SIRI	FID	JCG	B	300	10.48	n/a	30-Jan	0.00	0.0
MARINER/TRICADIA	041	JCP	B	20,000	15.34	9-Jan	30-Jan	1,000.00	5.0
HTOP	041	JEC	B	25,000	40.08	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		JOSB	B	15,000	25.31	n/a	n/a	non-brg	4.0
MILLENIUM PARTNERS	028	KFT	SS	15,000	26.36	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	LPX	S	50,000	2.10	5-Nov	23-Jan	2,500.00	5.0
B BUCK CAPITAL MGMT		LTD	B	100,000	7.88	8-Jan	30-Jan	non-brg	3.0
REICH AND TANG	067	LZ	B	15,000	33.16	n/a	n/a	750.00	5.0
HUNTER GLOBAL INVESTOR	067	MA	S	31,500	142.83	23-Dec	28-Jan	1,575.00	5.0
BUCK CAPITAL MGMT	001	MCD	SS	20,000	57.78	13-Oct	3-Feb	800.00	4.0
B BUCK CAPITAL MGMT		MW+QU[MW]	SS	1,000	0.60	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	M	B	50,000	8.27	n/a	3-Feb	1,500.00	3.0
COUGAR TRADING	044	M	B	5,000	8.23	n/a	3-Feb	200.00	4.0
SLS CAPITAL LLC	224	M	S	180,100	8.53	n/a	3-Feb	5,403.00	3.0
RBC CAPITAL MARKETS	034	NDN	S	7,500	8.20	31-Oct	4-Feb	300.00	4.0
HTOP	041	NUE	S	50,000	44.15	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATTANI	000	PAFDX	S	393	15.04	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PLCE	B	3,800	17.89	6-Jan	30-Jan	190.00	5.0
EGS ASSOCIATES LP	091	PLCE	SS	3,000	17.92	6-Jan	30-Jan	180.00	6.0
ROARING BLUE LION MGMT	012	PLCE	B	5,500	17.91	6-Jan	30-Jan	220.00	4.0
B BUCK CAPITAL MGMT		PZZA	C	20,058	19.68	n/a	24-Apr	non-brg	4.0
COLUMBIA PARTNERS	028	QDEL	B	21,877	12.44	n/a	n/a	875.08	4.0
KINGDON ASSET MGMT	041	RIMM	B	100,000	56.41	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	RL	B	42,000	38.81	n/a	20-Jan	1,680.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	38.96	n/a	20-Jan	800.00	4.0
B BUCK CAPITAL MGMT		RL	C	35,000	38.63	n/a	20-Jan	non-brg	2.0
COUGAR TRADING	044	RL	SS	7,500	39.12	n/a	20-Jan	375.00	5.0
MAGNETAR FINANCIAL	031	RWT	S	11,900	14.54	n/a	n/a	357.00	3.0
LISTED ERR	099	RWT	B	1,000	14.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	S	20,000	7.15	n/a	30-Jan	600.00	3.0
f ANDREW SINCLAIR	FID	SZCRF	B	40	7.17	n/a	n/a	0.00	0.0
REICH AND TANG	067	TMO	S	15,000	38.96	n/a	n/a	750.00	5.0
f EDWARD W WHEELER	FID	TXT	B	10000	6.29	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	TZA	B	35	55.77	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		URBN	B	20,000	16.10	5-Nov	30-Jan	non-brg	4.0
MAIRS AND POWER INV	030	USB	B	20,000	14.56	n/a	n/a	1,000.00	5.0
JP MORGAN VENTURES	046	USO	S	109,700	29.09	n/a	n/a	5,485.00	5.0
KEEFE BRUYETTE WOODS A	045	WDR	SS	15,400	15.57	n/a	3-Feb	770.00	5.0
⌘ BUCK CAPITAL MGMT		WINN	SS	50,000	12.69	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WMT+CJ[WMT]	SS	1,000	1.14	n/a	n/a	non-brg	150.0
⌘ BUCK CAPITAL MGMT		WMT	B	100,000	47.51	10-Oct	4-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WYNN	C	50,000	25.51	n/a	n/a	non-brg	1.0
SENECA CAPITAL LP NY	028	XLF	S	50,000	9.14	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date) :								91,790.73	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	02/03	JMP ASSET MGMT	210	AVP	B	100	19.85	4-Feb	4-Feb	5.00	5.0
AO,CXL	02/03	JMP ASSET MGMT	210	AVP	B	100	19.85	4-Feb	4-Feb	5.00	5.0
AO,CRT	02/03	BASIX	033	AXE	B	16,000	31.54	22-Dec	3-Feb	480.00	3.0
AO,CXL	02/03	BASIX	033	AXE	B	16,000	31.54	22-Dec	3-Feb	800.00	5.0
AO,CRT	02/03	STADIA CAPITAL	030	BWA	SS	10,000	17.65	27-Jan	27-Jan	400.00	4.0
AO,CXL	02/03	STADIA CAPITAL	031	BWA	SS	10,000	17.65	27-Jan	27-Jan	400.00	4.0
AO,	02/03	1798 CAPITAL MGMT	040	FDO	B	15,000	28.90	7-Jan	4-Feb	450.00	3.5
AO,	02/03	ROTHSCHILD ASSET	040	MKC	S	22,270	32.85	n/a	n/a	1002.15	4.5
AO,	02/03	COLUMBIA PARTNERS	028	QDEL	B	18,985	12.46	n/a	n/a	759.40	4.0
AO,	02/03	UBS OCONNOR	031	ROP	SS	45,000	40.51	n/a	n/a	1350.00	3.0
AO,	02/03	LISTED ERR	099	RWT	S	1,000	14.25	n/a	n/a	0.00	0.0
AO,CXL	02/03	MAGNETAR FINANCIAL	031	RWT	S	39,100	14.40	n/a	n/a	1955.00	5.0
AO,CRT	02/03	MAGNETAR FINANCIAL	031	RWT	S	38,100	14.40	n/a	n/a	1143.00	3.0
TOTAL (AO, CXL, CRT) :										2,429.55	

TOTAL (Trade Date):	91,790.73
TOTAL (AO, CXL, CRT):	2,429.55

TOTAL (RUN DATE) / NFS:

94,220.28

MRI Securities with Trade Activity on 4-Feb.

GR

MRI Securities without Trade Activity on 4-Feb.

AVP, PX, SSCC

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

T-Date = 44%

YTD = 26%

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)