



Daily Compliance Activity Report

Trade Date: 03/27/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/MARK GRONET	030	AHPI	S	25,000	3.29	n/a	n/a	750.00	3.0
TRELLUS PARTNERS LP	028	ALV	SS	20,000	17.67	12-Mar	12-Mar	1,000.00	5.0
S.A.C. CAP/ORENSTEIN	044	BA	B	50,000	37.74	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	BBY	B	30,000	38.18	n/a	27-Jul	1,200.00	4.0
SENATOR INVESTMENT GROUP	036	BEZ	S	20,000	16.01	n/a	n/a	800.00	4.0
COUGAR TRADING	044	BIG	B	5,000	21.85	4-Mar	6-Mar	250.00	5.0
SANDLER O'NEILL ASSET	031	BK	B	25,000	28.08	21-Jan	27-Mar	1,250.00	5.0
NATIONAL BK OF CAN	031	BLK	B	5,000	129.74	4-Mar	27-Mar	200.00	4.0
B BUCK CAPITAL MGMT		BXP	SS	100,000	34.89	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CHS	S	95,913	5.26	5-Dec	30-Jan	non-brg	3.0
STRAUSS ASSET MGMT	040	CIEN	B	3,500	8.04	n/a	22-Mar	140.00	4.0
f KAREN F LEDDY	FID	CIT	S	2500	3.11	22-Jan	25-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	CMG	SS	20,000	69.45	23-Oct	12-Feb	800.00	4.0
B BUCK CAPITAL MGMT		COST	SS	30,000	47.78	n/a	27-Jul	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		COST	SS	40,000	47.72	n/a	27-Jul	non-brg	4.0
	DECADE CAPITAL PARTNERS	040	CRK	SS	20,000	31.72	n/a	n/a	1,000.00	5.0
	BALYASNY ASSET MGMT	044	CYN	C	5,000	35.10	n/a	n/a	250.00	5.0
B	BUCK CAPITAL MGMT		DECK	B	10,000	54.40	n/a	n/a	non-brg	4.0
f	FRANCIS MICHAEL MCCA	FID	DE	S	100	34.82	26-Jan	19-Feb	0.00	0.0
B	BUCK CAPITAL MGMT		DLTR	SS	70,000	43.35	10-Feb	6-Mar	non-brg	2.5
	DECADE CAPITAL PARTNERS	040	DO	SS	50,000	64.94	n/a	n/a	2,500.00	5.0
	AVESTA CAP	229	DRI	S	100,000	36.18	19-Mar	19-Mar	5,000.00	5.0
f	EDWARD W WHEELER	FID	EXH	B	3000	17.17	27-Jan	17-Mar	0.00	0.0
B	BUCK CAPITAL MGMT		FINL	S	50,000	6.84	n/a	28-Mar	non-brg	3.0
	BUCK CAPITAL MGMT	001	FO	SS	30,000	26.84	n/a	n/a	1,200.00	4.0
f	MITCHELL JAMES SPEIS	FID	FSNXX	S	55000	1.00	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	GCO	B	20,000	19.24	n/a	10-Jan	800.00	4.0
	BUCK CAPITAL MGMT	001	GES	B	20,000	20.71	n/a	n/a	800.00	4.0
	BENCHMARK	028	GHL	SS	5,000	73.47	n/a	n/a	250.00	5.0
f	KAREN F LEDDY	FID	GSI	S	800	3.21	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT/COPIA-ANDREW	031	HAL	SS	123,000	16.56	n/a	n/a	4,305.00	3.5
B BUCK CAPITAL MGMT		HBI	B	30,000	10.45	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HD	SS	50,000	23.80	n/a	25-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		HOTT	SS	10,000	10.86	n/a	30-Jan	non-brg	1.0
FINANCIAL STOCK LP	028	HOT	SS	50,000	14.19	n/a	n/a	2,000.00	4.0
FRONTPOINT/COPIA-ANDREW	031	HP	B	33,800	24.41	n/a	n/a	1,183.00	3.5
BALYASNY ASSET MGMT	044	IVZ	C	10,000	15.18	24-Mar	27-Mar	500.00	5.0
NATIONAL BK OF CAN	031	IVZ	S	45,000	15.19	24-Mar	27-Mar	1,800.00	4.0
B BUCK CAPITAL MGMT		IYR	SS	275,000	25.74	n/a	n/a	non-brg	1.0
CRAMER ROSENTHAL/SCOTT	012	JACK	B	1,100	23.57	n/a	n/a	44.00	4.0
f KAREN F LEDDY	FID	JADE	S	2800	0.57	n/a	n/a	0.00	0.0
f RAGHAV NAYAR	FID	JBLU	S	100	4.23	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	42.83	17-Mar	17-Mar	400.00	4.0
THE JAY GOLDMAN	034	KSS	B	20,000	43.23	17-Mar	17-Mar	800.00	4.0
B BUCK CAPITAL MGMT		LOW	SS	50,000	19.01	23-Feb	23-Feb	non-brg	4.0
BUCK CAPITAL MGMT	001	MHK	SS	30,000	32.08	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	036	MHP	S	7,000	24.55	n/a	n/a	280.00	4.0
MOORE CAPITAL	036	MHP	B	196,824	24.74	n/a	n/a	7,872.96	4.0
TRELLUS PARTNERS LP	028	MTW	SS	30,000	4.64	n/a	17-Feb	900.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	105,000	103.61	n/a	n/a	non-brg	10.4
DECADE CAPITAL PARTNERS	040	NE	B	100,000	24.99	n/a	n/a	5,000.00	5.0
LISTED ERR	099	NR	B	11,900	2.71	n/a	n/a	0.00	0.0
LISTED ERR	099	NR	S	11,900	2.70	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	S	10,000	3.35	n/a	30-Jan	500.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	5,500	10.01	n/a	18-Feb	165.00	3.0
f KAREN F LEDDY	FID	PBR	S	200	32.52	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PLCE	B	5,000	23.38	19-Mar	19-Mar	250.00	5.0
CADIAN CAPITAL	067	PVH	S	35,000	23.62	27-Mar	27-Mar	1,400.00	4.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	3,300	6.11	12-Feb	12-Feb	99.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	43.78	n/a	5-Feb	2,000.00	4.0
COUGAR TRADING	044	RL	B	7,500	43.84	n/a	5-Feb	375.00	5.0
B BUCK CAPITAL MGMT		ROST	SS	50,000	36.04	n/a	n/a	non-brg	2.5
CRAMER ROSENTHAL/SCOTT	012	SJM	B	2,100	36.67	n/a	n/a	84.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f WILLIAM J GAULT	FID	SKF	B	7000	92.67	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	SKF	S	7000	94.44	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	6.80	n/a	13-Mar	600.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SLM	B	100,000	4.13	27-Feb	25-Mar	5,000.00	5.0
SOUTH POINT CAP	067	TCK	B	50,000	6.14	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	TGT	SS	10,000	33.70	25-Feb	20-Mar	500.00	5.0
BMO NESBITT BURNS	041	TIN	SS	50,000	5.36	5-Dec	20-Mar	2,500.00	5.0
SCOPUS FUND	041	TIN	S	50,000	5.36	5-Dec	20-Mar	2,500.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	70,000	3.56	n/a	30-Jan	1,400.00	2.0
B BUCK CAPITAL MGMT		TRLG	S	20,000	12.34	n/a	n/a	non-brg	2.5
f FRANCIS MICHAEL MCCA	FID	TXRH	S	500	9.88	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	UQM	S	1520	1.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	S	100,000	16.58	n/a	30-Jan	non-brg	4.0
MAIRS AND POWER INV	030	VAL	S	20,000	20.33	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	VNO	S	100,000	34.98	n/a	n/a	4,000.00	4.0
MOORE CAPITAL	036	WMT	B	100,000	52.75	10-Oct	6-Mar	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	WRC	B	5,000	24.64	27-Mar	27-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	100,000	1.33	12-Mar	12-Mar	2,000.00	2.0
TOTAL (Trade Date):								77,597.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/26	FARALLON CAP MGMT	040	AMTD	B	62,500	14.59	n/a	n/a	1875.00 3.0
AO,CXL	03/26	FARALLON CAP MGMT	040	AMTD	B	62,500	14.59	n/a	n/a	2500.00 4.0
AO,	03/26	LISTED ERR	099	BK	SS	25,000	28.30	21-Jan	27-Mar	0.00 0.0
AO,	03/26	BMO NESBITT BURNS	041	BK	SS	25,000	28.30	21-Jan	27-Mar	1250.00 5.0
AO,CRT	03/26	LISTED ERR	097	BWA	SS	5,900	21.40	12-Mar	19-Mar	0.00 0.0
AO,CRT	03/26	LISTED ERR	099	BWA	SS	5,900	21.66	12-Mar	19-Mar	0.00 0.0
AO,CXL	03/26	MANNING & NAPIER	034	PCAR	S	750,000	27.19	25-Mar	25-Mar	22500.00 3.0
AO,	03/26	MANNING & NAPIER	034	PCAR	S	750,000	27.19	25-Mar	25-Mar	22500.00 3.0

TOTAL (AO, CXL, CRT) :**625.00**

TOTAL (Trade Date) :

77,597.96

TOTAL (AO, CXL, CRT) :

625.00

TOTAL (RUN DATE) / NFS:**78,222.96****MRI Securities with Trade Activity on 27-Mar.****PVH, WRC**

MRI Securities without Trade Activity on 27-Mar.

GLW

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

T-Date = 30%

YTD = 24%

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)