



Daily Compliance Activity Report

Trade Date: 03/20/2009

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	AAI	B	37,305	3.76	n/a	n/a	1,119.15	3.0
POST ROAD CAP	045	ABM	SS	14,000	16.10	n/a	n/a	420.00	3.0
TRELLUS PARTNERS LP	028	ALV	SS	5,000	17.21	12-Mar	12-Mar	250.00	5.0
B BUCK CAPITAL MGMT		ANF	SS	70,000	22.35	n/a	6-Feb	non-brg	4.0
STRONG/MARK GRONET	030	ANH	B	20,000	5.63	n/a	n/a	600.00	3.0
SIGMA CAPITAL ASSOCIATES	041	ARO	S	25,000	24.61	n/a	13-Mar	1,250.00	5.0
STRONG/MARK GRONET	030	ASH	B	10,000	6.95	n/a	11-Mar	300.00	3.0
f JONATHAN RICHARD HAR	FID	BAC	B	81	6.10	2-Mar	18-Mar	0.00	0.0
TROUBH PART	067	BAC	B	50,000	6.27	2-Mar	18-Mar	2,500.00	5.0
B BUCK CAPITAL MGMT		BIG	SS	100,000	19.73	4-Mar	6-Mar	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	BJ	S	60,800	30.73	n/a	27-Jul	2,128.00	3.5
B BUCK CAPITAL MGMT		BKC	SS	50,000	22.16	6-Feb	3-Mar	non-brg	4.0
MTB INV ADV	034	BKE	S	5,950	29.62	n/a	n/a	297.50	5.0
GREEN ARROW CAPITAL	034	BLK	S	5,000	115.29	4-Mar	20-Mar	250.00	5.0
NATIONAL BK OF CAN	031	BLK	SS	5,000	113.96	4-Mar	20-Mar	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	BLK	SS	25,000	114.10	4-Mar	20-Mar	1,250.00	5.0
WAGONHOUND/NIC	048	BLK	S	4,747	114.03	4-Mar	20-Mar	189.88	4.0
COUGAR TRADING	044	BWA	SS	5,000	18.44	12-Mar	19-Mar	250.00	5.0
f JONATHAN RICHARD HAR	FID	BWA	S	100	18.69	12-Mar	19-Mar	0.00	0.0
TRELLUS PARTNERS LP	028	BWA	SS	5,394	19.53	12-Mar	19-Mar	269.70	5.0
STRONG/MARK GRONET	030	CBI	B	25,480	5.73	n/a	n/a	764.40	3.0
STELLIAM INV ADV	040	CLW	B	25,000	7.02	n/a	n/a	750.00	3.0
STRONG/MARK GRONET	030	CMO	B	14,890	10.86	n/a	n/a	595.60	4.0
STRONG/WELL HOWARD	038	CMO	B	1,085	10.86	n/a	n/a	43.40	4.0
f DAVID GEORGE BUCK	FID	COPOI	B	10	6.33	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	COPTH	S	15	5.91	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COST	SS	50,000	44.08	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		CPKI	SS	50,000	13.36	30-Oct	13-Feb	non-brg	4.0
FULLER & THALER ASSET	033	CRR	B	30,000	30.45	5-Feb	17-Mar	900.00	3.0
SIGMA CAPITAL ASSOCIATES	041	CSCO	B	25,000	15.79	n/a	22-Mar	1,250.00	5.0
THE BOSTON COMPANY	401	CTRN	S	50,000	13.91	n/a	n/a	2,000.00	4.0
f DAVID GEORGE BUCK	FID	CVX	B	600	67.78	n/a	n/a	0.00	0.0
EOS PARTNERS	045	CX	SS	20,000	5.21	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	DE	C	15,000	30.74	26-Jan	19-Feb	750.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	26,500	5.97	n/a	19-Mar	795.00	3.0
⌘ BUCK CAPITAL MGMT		DLTR	S	20,000	40.54	10-Feb	6-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DRI	SS	50,000	33.49	19-Mar	19-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EAT	SS	100,000	13.52	n/a	24-Apr	non-brg	4.0
WEINTRAUB CAPITAL MGT.	040	ENR	SS	50,000	47.32	4-Nov	20-Mar	2,000.00	4.0
CAXTON PART	040	ERTS	B	56,942	18.60	n/a	n/a	1,992.98	3.5
MTB INV ADV	034	FDO	S	10,425	31.31	5-Mar	6-Mar	521.25	5.0
PHILADELPHIA FINANCIAL	033	FII	B	4,200	19.74	13-Nov	20-Mar	168.00	4.0
⌘ BUCK CAPITAL MGMT		FO	SS	20,000	23.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	15.11	n/a	10-Jan	800.00	4.0
DIAMONDBACK CAP MGMT	232	GE	C	50,000	9.31	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		GMCR	SS	10,000	46.39	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GPS	B	50,000	12.45	n/a	30-Jan	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		GSIC	B	18,167	11.80	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GSIC	B	20,454	11.69	n/a	n/a	non-brg	1.5
⌘ BUCK CAPITAL MGMT		GSIC	B	5,100	11.80	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GSIC	B	9,700	11.68	n/a	n/a	non-brg	1.0
f ROBERT M DANIELS	FID	GSI	S	350	3.00	n/a	n/a	0.00	0.0
THOMSON HORSTMAN BRYANT	040	GYMB	B	11,600	17.90	5-Mar	5-Mar	580.00	5.0
EOS PARTNERS	045	HNT	S	20,000	15.41	n/a	n/a	1,000.00	5.0
MILLENIUM PARTNERS	028	IP	SS	20,000	7.03	n/a	20-Mar	1,000.00	5.0
STELLIAM INV ADV	040	IP	B	25,000	7.18	n/a	20-Mar	750.00	3.0
NATIONAL BK OF CAN	031	IVZ	B	45,000	12.38	10-Mar	20-Mar	1,800.00	4.0
⌘ BUCK CAPITAL MGMT		JCP	SS	120,000	16.95	6-Feb	6-Mar	non-brg	4.0
SCOPUS FUND	041	JCP	SS	10,000	17.05	6-Feb	6-Mar	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	25,000	17.06	6-Feb	6-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	30,000	14.56	20-Feb	6-Mar	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		KCP	S	900	7.03	n/a	28-Sep	non-brg	3.0
TRELLUS PARTNERS LP	028	KMT	SS	1,100	15.83	n/a	30-Jan	55.00	5.0
T. ROWE PRICE	033	K	B	144,300	36.47	n/a	n/a	5,772.00	4.0
EPOCH INV MGMT	030	LH	S	3,550	56.88	n/a	n/a	142.00	4.0
BMO NESBITT BURNS	041	LM	B	36,500	13.70	29-Jan	20-Mar	1,825.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MUHLENKAMP FUND	046	LM	B	433,000	13.79	29-Jan	20-Mar	21,650.00	5.0
⚡ BUCK CAPITAL MGMT		M+EB[???	SS	3,000	0.53	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		MCD+OK[???	C	1,500	1.75	n/a	n/a	non-brg	300.0
TRELLUS PARTNERS LP	028	MGA	SS	6,600	25.37	n/a	n/a	330.00	5.0
STRONG/MARK GRONET	030	MJN	S	46,500	27.72	n/a	n/a	1,860.00	4.0
EPOCH INV MGMT	030	MON	S	6,500	82.25	n/a	22-Jan	260.00	4.0
BABSON/OFI/TRINITY	039	MOV	S	3,800	7.66	n/a	n/a	152.00	4.0
⚡ DAVID GEORGE BUCK	FID	MRKJG	S	15	0.90	n/a	n/a	0.00	0.0
THOMSON HORSTMAN BRYANT	040	NWY	B	86,300	2.78	n/a	30-Jan	2,589.00	3.0
MILLRACE FUND LP	028	PAG	SS	20,000	9.02	n/a	18-Feb	600.00	3.0
TRELLUS PARTNERS LP	028	PAG	SS	30,000	9.01	n/a	18-Feb	900.00	3.0
⚡ BUCK CAPITAL MGMT		PETM	SS	50,000	19.96	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PFCB	SS	20,000	23.79	8-Jan	12-Feb	non-brg	4.0
EPOCH INV MGMT	030	PM	S	17,500	38.14	n/a	n/a	700.00	4.0
BULL PATH CAPITAL	044	PNK	S	17,500	6.99	n/a	n/a	875.00	5.0
⚡ BUCK CAPITAL MGMT		PNRA	S	100,000	52.01	n/a	13-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	PNRA	S	5,425	52.38	n/a	13-Feb	271.25	5.0
⚡ BUCK CAPITAL MGMT		PSS+FB[???	SS	2,000	0.85	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		PSS	B	100,000	8.65	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		PVH	S	40,000	17.38	22-Jan	22-Jan	non-brg	4.0
f ROBERT M DANIELS	FID	QXM	B	500	1.96	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	RE	S	6,600	66.97	n/a	n/a	264.00	4.0
⚡ BUCK CAPITAL MGMT		ROST	SS	100,000	33.70	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ROST	SS	400	34.20	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		ROST	SS	49,600	34.33	n/a	n/a	non-brg	2.0
MACKLOWE ASSET MGMT	041	SBUX	SS	50,000	11.37	n/a	17-Feb	2,500.00	5.0
f MARC PAUL LUCHANSKY	FID	SDS	B	1000	83.76	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SGP	S	1000	23.71	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SIG LN	C	20,346	10.32	n/a	n/a	non-brg	1.5
⚡ BUCK CAPITAL MGMT		SKF	S	14,271	128.62	n/a	n/a	non-brg	1.0
CUMBERLAND	038	SPY	SS	50,000	76.98	n/a	n/a	1,500.00	3.0
TRIBE CAP/MILLENNIUM	041	STT	B	15,000	26.05	n/a	n/a	750.00	5.0
f CHRISTOPHER ARTHUR K	FID	SWNOF	S	25	0.05	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	TIN	B	20,000	4.57	5-Dec	20-Mar	1,000.00	5.0
SCOPUS FUND	041	TIN	S	25,000	4.68	5-Dec	20-Mar	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		TRLG	S	20,000	10.82	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	50,000	35.02	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	WDR	SS	30,500	16.30	n/a	20-Mar	1,525.00	5.0
EPOCH INV MGMT	030	WGL	B	7,300	32.75	n/a	n/a	292.00	4.0
EOS PARTNERS	045	WLP	S	5,000	35.85	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		WYN	S	125,000	3.82	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		WYN	S	25,000	3.89	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	510,000	21.18	n/a	n/a	non-brg	2.0
SOROS	036	XRT	C	1,015,000	21.49	n/a	n/a	30,450.00	3.0
TOTAL (Trade Date):								115,947.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/19	ACK ASSET	028	BWA	SS	7,700	20.00	12-Mar	19-Mar	231.00 3.0
AO,CXL	03/19	ACK ASSET	028	BWA	SS	7,700	20.00	12-Mar	19-Mar	231.00 3.0
AO,CXL	03/19	STELLIAM INV ADV	040	CLW	B	15,000	8.49	n/a	n/a	750.00 5.0
AO,CRT	03/19	STELLIAM INV ADV	040	CLW	B	15,000	8.49	n/a	n/a	450.00 3.0
AO,CXL	03/19	FIRST NEW YORK NICK	029	Q	S	20,000	3.54	n/a	n/a	1000.00 5.0
AO,CRT	03/19	FIRST NEW YORK NICK	029	Q	S	20,000	3.54	n/a	n/a	1000.00 5.0

TOTAL (AO, CXL, CRT) :	-300.00
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TOTAL (Trade Date) :	115,947.11
TOTAL (AO, CXL, CRT) :	-300.00

TOTAL (RUN DATE) / NFS:	115,647.11
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MRI Securities with Trade Activity on 20-Mar. NONE

MRI Securities without Trade Activity on 20-Mar. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 5%

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)