



Daily Compliance Activity Report

Trade Date: 01/05/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	ANF	B	20,000	24.65	7-Aug	6-Jan	1,000.00	5.0
COUGAR TRADING	044	ANF	B	5,000	23.89	7-Aug	6-Jan	250.00	5.0
B BUCK CAPITAL MGMT		ARO	B	300,000	18.48	n/a	6-Jan	non-brg	2.0
f MARK MEGALLI	FID	ARO	B	3000	18.37	n/a	6-Jan	0.00	0.0
B BUCK CAPITAL MGMT		BBY	SS	20,000	30.14	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		BHQ+NX[BBBY]	SS	1,000	1.07	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		BHQ+QW[BBBY]	SS	1,000	0.93	n/a	n/a	non-brg	100.0
JMP ASSET MGMT	210	BKC	S	4,600	23.45	27-Oct	3-Nov	230.00	5.0
BUCK CAPITAL MGMT	001	BKS	SS	40,000	16.99	n/a	n/a	1,600.00	4.0
RBC CAPITAL MARKETS	034	BKS	SS	10,000	16.66	n/a	n/a	400.00	4.0
POST ROAD CAP	045	BWA	SS	16,000	23.74	16-Dec	16-Dec	480.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	10,000	23.98	16-Dec	16-Dec	500.00	5.0
B BUCK CAPITAL MGMT		CEC	C	40,000	25.02	n/a	n/a	non-brg	4.0
THE BOSTON COMPANY	401	CHS	S	117,650	3.82	5-Dec	6-Jan	1,764.75	1.5
BUCK CAPITAL MGMT	001	COH	SS	20,000	21.50	18-Dec	18-Dec	800.00	4.0
JMP ASSET MGMT	210	DKS	S	7,500	14.87	7-Oct	12-Dec	375.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	DOW	B	3000	15.13	n/a	6-Jan	0.00	0.0
JMP ASSET MGMT	210	DPZ	B	12,100	5.12	n/a	24-Apr	484.00	4.0
B BUCK CAPITAL MGMT		FDO+PD[FDO]	SS	2,000	1.16	n/a	n/a	non-brg	100.0
BALYASNY ASSET MGMT	044	FII	B	30,000	17.73	13-Nov	5-Jan	1,500.00	5.0
ROARING BLUE LION MGMT	012	FII	B	19,000	18.17	13-Nov	5-Jan	760.00	4.0
B BUCK CAPITAL MGMT		FMQ+NW[WFMI]	SS	1,500	0.37	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		FOSL	B	40,000	17.32	10-Nov	12-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	B	50,000	17.30	10-Nov	12-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		FOSL	B	50,000	17.34	10-Nov	12-Dec	non-brg	4.0
JMP ASSET MGMT	210	GES	B	7,000	16.01	n/a	n/a	350.00	5.0
JMP ASSET MGMT	210	HE	SS	2,500	22.08	n/a	n/a	125.00	5.0
LAGRANGE CAP ADV	048	IGT	S	10,000	13.40	n/a	31-Oct	500.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	35,000	14.56	13-Nov	5-Jan	1,750.00	5.0
f DAVID GEORGE BUCK	FID	IWF	B	2000	38.26	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	IWO	S	2000	51.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	12.69	n/a	6-Jan	1,200.00	4.0
COUGAR TRADING	044	JCP	B	10,000	21.31	17-Nov	6-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	JCP	B	10,000	21.50	17-Nov	6-Jan	400.00	4.0
BALYASNY ASSET MGMT	044	JWN	S	25,000	15.21	14-Nov	6-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	70,000	15.04	14-Nov	6-Jan	2,800.00	4.0
RBC CAPITAL MARKETS	034	JWN	B	10,000	15.21	14-Nov	6-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	37.67	n/a	6-Jan	1,600.00	4.0
RBC CAPITAL MARKETS	034	KSS	B	5,000	37.46	n/a	6-Jan	200.00	4.0
BARROW HANLEY MEWHINNEY	031	LM	B	33,300	23.53	29-Oct	5-Jan	1,332.00	4.0
BRENCOURT	028	MGA	SS	25,000	31.57	n/a	n/a	1,250.00	5.0
f DAVID GEORGE BUCK	FID	MONPM	S	10	5.53	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	NFJ	B	175	13.95	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	PAG	SS	10,000	8.79	n/a	23-Dec	300.00	3.0
f MARK ANTHONY GRONET	FID	PWE	B	1000	12.86	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	RBA	B	40,600	21.46	n/a	n/a	1,218.00	3.0
BUCK CAPITAL MGMT	001	RL	B	65,000	46.78	n/a	6-Nov	2,600.00	4.0
JMP ASSET MGMT	210	SBUX	B	5,500	9.92	5-Jan[i]	5-Jan	220.00	4.0
f JONATHAN RICHARD HAR	FID	SLV	B	220	11.10	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SZCND	S	10	1.56	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	TBT	S	5000	41.57	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	TGT	SS	15,000	36.11	17-Nov	6-Jan	750.00	5.0
BALYASNY ASSET MGMT	044	WDR	S	30,000	17.01	15-Jul	5-Jan	1,500.00	5.0
B BUCK CAPITAL MGMT		WMT+BL[WMT]	SS	3,000	1.27	n/a	n/a	non-brg	300.0
SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	25,000	4.70	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		ZVZZT	S	104	77.00	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							31,638.75		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/02	WAGONHOUND/NIC	048	AMG	S	1,986	43.52	13-Nov	5-Jan	79.44 4.0
AO,	01/02	BARON ASSET MGMT*	012	JCG	B	80,045	13.16	n/a	6-Jan	3201.80 4.0
AO,CRT	12/30	SAXON WOODS ADVISORS	038	SJM	S	36,700	42.99	n/a	n/a	1468.00 4.0
AO,CXL	12/30	SAXON WOODS ADVISORS	038	SJM	S	36,700	42.99	n/a	n/a	1468.00 4.0
TOTAL (AO, CXL, CRT) :										3,281.24

TOTAL (Trade Date) :	31,638.75
TOTAL (AO, CXL, CRT) :	3,281.24

TOTAL (RUN DATE) / NFS:	34,919.99
--------------------------------	------------------

MRI Securities with Trade Activity on 5-Jan.
SBUX

MRI Securities without Trade Activity on 5-Jan.
ADM, AGN, ENDP

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 39%
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

BCM Watch List Trades

f: Employee Trades (Fidelity)