



# Daily Compliance Activity Report

Trade Date: 04/07/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	S	250,000	12.08	n/a	3-Apr	10,000.00	4.0
JENNISON	032	AMAT	B	764,700	10.72	n/a	n/a	28,293.90	3.7
BUCK CAPITAL MGMT	001	ANF	SS	50,000	25.33	n/a	6-Feb	2,000.00	4.0
REINHART & MAHONEY	031	ATI	S	1,900	24.83	n/a	n/a	95.00	5.0
BUCK CAPITAL MGMT	001	AZO	B	20,000	156.09	n/a	n/a	800.00	4.0
FRONTPOINT/COPIA-ANDREW	031	BBG	S	28,800	24.06	n/a	n/a	1,008.00	3.5
BENCHMARK	028	BEZ	SS	10,000	16.73	n/a	n/a	500.00	5.0
WAGONHOUND/NIC	048	BGU	S	25,000	24.86	n/a	n/a	750.00	3.0
ROYCE TRADING	216	BNE	B	10,000	3.15	n/a	n/a	300.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	6,000	24.72	12-Mar	19-Mar	300.00	5.0
CAXTON PART	040	CAT	SS	20,000	29.50	n/a	27-Jan	700.01	3.5
DSG CAPITAL	225	CAT	SS	5,000	30.01	n/a	27-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	EAT	SS	58,000	17.20	n/a	24-Apr	2,320.00	4.0
INDEPENDENCE INV	039	EIX	S	105,000	28.58	n/a	29-Jun	4,200.00	4.0
HOLLIS CAPITAL	033	EL	SS	5,000	25.01	1-Apr	1-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	EMC	SS	750,000	12.14	n/a	n/a	37,500.00	5.0
REINHART & MAHONEY	031	FII	S	2,000	22.24	30-Mar	7-Apr	100.00	5.0
REINHART & MAHONEY	031	FMC	S	800	46.28	n/a	n/a	40.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>20,000</b>	<b>19.64</b>	<b>n/a</b>	<b>10-Jan</b>	<b>800.00</b>	<b>4.0</b>
PAW PARTNERS	041	GRMN	SS	20,000	21.27	n/a	n/a	1,000.00	5.0
REINHART & MAHONEY	031	HCC	S	1,500	26.11	n/a	n/a	75.00	5.0
CASTLE ARK	031	INTC	S	2,500	15.67	n/a	n/a	150.00	6.0
CASTLE ARK	031	JCI	B	61,700	14.93	13-Mar	27-Mar	3,702.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>SS</b>	<b>150,000</b>	<b>17.31</b>	<b>20-Feb</b>	<b>3-Apr</b>	<b>6,000.00</b>	<b>4.0</b>
BMO NESBITT BURNS	041	LPX	S	50,000	2.67	3-Mar	4-Mar	2,500.00	5.0
BRENCOURT	028	MGA	SS	25,000	32.36	n/a	n/a	1,250.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	10,000	32.34	n/a	n/a	500.00	5.0
CASTLE ARK	031	MON	S	6,800	78.20	n/a	2-Apr	408.00	6.0
CASTLE ARK	031	MSFT	B	38,200	19.01	n/a	3-Apr	2,292.00	6.0
HOLDEN CAPITAL MGMT	035	MS	SS	45,000	22.60	18-Dec	6-Apr	2,250.00	5.0
MTB INV ADV	034	M	S	26,150	9.66	n/a	3-Apr	1,046.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NKE	S	20,000	50.00	n/a	n/a	800.00	4.0
CASTLE ARK	031	NKE	B	700	50.13	n/a	n/a	42.00	6.0
SANDLER O'NEILL ASSET	031	NTRS	B	50,000	57.27	14-Jan	23-Mar	2,500.00	5.0
CASTLE ARK	031	NUVA	B	200	29.82	n/a	n/a	12.00	6.0
RESURGENCE ASSET MGMT	070	PH	SS	7,500	36.40	n/a	5-Mar	375.00	5.0
WAGONHOUND/NIC	048	PLCE	SS	16,323	22.08	19-Mar	3-Apr	652.92	4.0
WEINTRAUB CAPITAL MGT.	040	PLCE	B	50,000	22.71	19-Mar	3-Apr	2,000.00	4.0
CASTLE ARK	031	QCOM	B	500	39.99	n/a	n/a	30.00	6.0
SIGMA CAPITAL ASSOCIATES	041	ROST	B	50,000	36.77	n/a	n/a	2,500.00	5.0
CUMBERLAND	038	RYL	B	10,000	15.82	n/a	n/a	400.00	4.0
CASTLE ARK	031	SLB	S	200	43.40	n/a	n/a	12.00	6.0
CASTLE ARK	031	SPLS	B	16,100	18.79	n/a	27-Jul	966.00	6.0
CASTLE ARK	031	STJ	B	200	34.74	n/a	n/a	12.00	6.0
PAW PARTNERS	041	SYMC	B	10,000	16.19	n/a	3-Apr	500.00	5.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	25,000	45.20	18-Feb	7-Apr	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TIF	S	8,100	22.07	n/a	30-Jan	405.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	TIN	SS	30,000	5.10	5-Dec	20-Mar	1,500.00	5.0
CAXTON PART	040	TIN	S	25,000	5.05	5-Dec	20-Mar	875.00	3.5
JP MORGAN VENTURES	046	URBN	S	25,000	15.39	n/a	30-Jan	1,250.00	5.0
ROYCE TRADING	216	URI	B	10,000	4.16	n/a	29-Oct	300.00	3.0
AVESTA CAP	229	WMT	B	25,000	52.83	n/a	6-Apr	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>128,511.83</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/06	MILLRACE FUND LP (MILRGS)	028	MHP	S	4,123	24.05	n/a	n/a	123.69 3.0
AO,CRT	04/06	MILLRACE FUND LP (MILRGS)	028	MHP	S	4,123	24.05	n/a	n/a	164.92 4.0
AO,	04/06	DARUMA ASSET MGMT INC (DARULAFIRE)	034	NP	S	7,200	3.55	13-Mar	13-Mar	360.00 5.0
AO,	04/06	DARUMA ASSET MGMT INC (DARUARKANS)	034	NP	S	42,800	3.55	13-Mar	13-Mar	2140.00 5.0
AO,CXL	04/06	MTB INV ADV (MTBISMSLEE)	034	PBY	B	1,625	5.10	n/a	n/a	81.25 5.0
AO,CRT	04/06	MTB INV ADV (MTBISMSLEE)	034	PBY	B	1,625	5.10	n/a	n/a	48.75 3.0
AO,CXL	04/06	MTB INV ADV (MTBIMAIN O)	034	PBY	B	4,050	5.10	n/a	n/a	202.50 5.0
AO,CRT	04/06	MTB INV ADV (MTBIMAIN O)	034	PBY	B	4,050	5.10	n/a	n/a	121.50 3.0
AO,CXL	04/06	MTB INV ADV (MTBISMCAP)	034	PBY	B	85,000	5.10	n/a	n/a	4250.00 5.0
AO,CRT	04/06	MTB INV ADV (MTBISMCAP)	034	PBY	B	85,000	5.10	n/a	n/a	2550.00 3.0
AO,CXL	04/02	LISTED ERR (LISTED ERR)	034	PCAR	S	50	27.84	25-Mar	25-Mar	1.50 3.0
AO,	04/02	LISTED ERR (LISTED ERR)	034	PCAR	S	50	27.84	25-Mar	25-Mar	0.00 0.0
CRT	04/07	JP MORGAN VENTURES (JPMVJPM)	046	URBN	S	25,000	15.39	n/a	30-Jan	1250.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,976.23</b>

TOTAL (Trade Date) :	128,511.83
TOTAL (AO, CXL, CRT) :	1,976.23

<b>TOTAL (RUN DATE) / NFS:</b>	<b>130,488.06</b>
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Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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