



## Daily Compliance Activity Report

Trade Date: 01/09/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INDEPENDENCE INV	039	AGN	S	11,700	40.11	5-Jan	9-Jan	468.00	4.0
JENNISON	032	AMAT	B	732,100	10.46	n/a	n/a	27,087.70	3.7
THE BOSTON COMPANY	401	BEBE	S	169,531	6.30	n/a	n/a	6,781.24	4.0
SCOPUS FUND	041	BIG	B	10,000	14.11	5-Dec	6-Jan	500.00	5.0
HEALY CIRCLE	044	BWA	SS	25,000	22.86	16-Dec	16-Dec	1,000.00	4.0
MILLENIUM KOZLOW	028	BWA	SS	10,000	22.90	16-Dec	16-Dec	500.00	5.0
FORD FDN.	032	CB	S	35,000	46.33	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	CCL	SS	100,000	23.49	n/a	26-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	CVS	B	90,000	25.71	n/a	n/a	3,600.00	4.0
WILLIAM BLAIR	031	CYBS	B	71,300	11.15	n/a	n/a	2,852.00	4.0
INDEPENDENCE INV	039	DE	S	11,300	45.72	8-Dec	8-Dec	452.00	4.0
CUMBERLAND	038	EXH	B	20,000	23.92	n/a	16-Dec	800.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	B	50,000	2.12	n/a	n/a	1,500.00	3.0
INDEPENDENCE INV	039	FLS	S	11,800	56.18	n/a	n/a	472.00	4.0
BUCK CAPITAL MGMT	001	FL	SS	157,600	8.12	7-Oct	12-Dec	4,728.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PENNANT CAP MGMT	029	FNF	S	200,000	16.65	n/a	n/a	6,000.00	3.0
ROARING BLUE LION MGMT	012	FNF	B	15,000	16.44	n/a	n/a	600.00	4.0
INDEPENDENCE INV	039	GS	S	12,600	84.70	15-Sep	16-Dec	504.00	4.0
COUGAR TRADING	044	HAR	SS	15,000	20.34	n/a	26-Nov	750.00	5.0
KLEINHEINZ CAP PART	031	HRB	B	25,000	21.50	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	45,000	10.04	n/a	9-Jan	1,800.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	50,000	21.17	9-Jan	9-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	100,000	37.47	n/a	9-Jan	4,000.00	4.0
HUNTER GLOBAL INVESTOR	067	MA	S	3,400	148.72	23-Dec	9-Jan	170.00	5.0
COUGAR TRADING	044	MCD	B	2,000	60.37	13-Oct	8-Jan	100.00	5.0
DALTON GREINER	012	MLI	S	9,200	23.34	n/a	18-Nov	460.00	5.0
SANDLER O'NEILL ASSET	031	MS	S	75,000	19.82	18-Dec	18-Dec	3,000.00	4.0
BALYASNY ASSET MGMT	044	M	SS	30,000	10.63	12-Aug	9-Jan	1,500.00	5.0
BUCK CAPITAL MGMT	001	M	S	200,000	10.33	12-Aug	9-Jan	8,000.00	4.0
BALYASNY ASSET MGMT	044	PAG	SS	15,000	8.76	n/a	23-Dec	750.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	400	9.30	n/a	23-Dec	12.00	3.0
HUNTER GLOBAL INVESTOR	067	PJC	B	15,000	32.94	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PVH	S	20,000	18.91	18-Dec	18-Dec	800.00	4.0
COUGAR TRADING	044	PVH	B	7,500	18.51	18-Dec	18-Dec	375.00	5.0
HUNTER GLOBAL INVESTOR	067	RJF	B	28,000	17.91	n/a	n/a	1,120.00	4.0
COUGAR TRADING	044	RL	B	5,000	41.81	n/a	6-Nov	250.00	5.0
INDEPENDENCE INV	039	RL	S	10,800	43.04	n/a	6-Nov	432.00	4.0
ENTRUST CAPITAL	040	SHW	S	64,000	60.37	n/a	27-Oct	3,200.00	5.0
CENTURION GLOBAL MGMT LL	041	SQNM	S	20,000	22.96	n/a	n/a	600.00	3.0
CHARTER OAK	033	STJ	B	50,000	32.63	n/a	n/a	2,500.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	35,200	22.94	n/a	12-Dec	1,056.00	3.0
BUCK CAPITAL MGMT	001	VFC	SS	30,000	52.21	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	18.81	7-Nov	7-Nov	800.00	4.0
EGS ASSOCIATES LP	091	WRC	B	3,000	18.16	7-Nov	7-Nov	180.00	6.0
BUCK CAPITAL MGMT	001	WRI	S	50,000	18.84	n/a	n/a	2,000.00	4.0
TOTAL (Trade Date) :							102,649.94		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/08	MILLENIUМ PARTNERS (MILPCREDSU)	028	PKG	B	30,000	13.73	5-Dec	5-Dec	1500.00 5.0
AO,CXL	01/08	MILLENIUМ PARTNERS (MILPOMNIST)	028	PKG	B	30,000	13.73	5-Dec	5-Dec	1500.00 5.0
AO,CXL	01/06	JMP ASSET MGMT (JMPAGS)	210	WSM	B	10,000	8.90	n/a	n/a	300.00 3.0
AO,CRT	01/06	JMP ASSET MGMT (JMPAGS)	210	WSM	B	10,000	8.90	n/a	n/a	400.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>100.00</b>

TOTAL (Trade Date) :	102,649.94
TOTAL (AO, CXL, CRT) :	100.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>102,749.94</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