



# Daily Compliance Activity Report

Trade Date: 02/23/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ADM	SS	50,000	27.42	5-Jan	3-Feb	2,000.00	4.0
COUGAR TRADING	044	ALV	SS	10,000	15.78	30-Jan	4-Feb	500.00	5.0
OZ MGMT	040	AXP	SS	288,970	12.31	n/a	19-Feb	8,669.10	3.0
LISTED ERR	099	AXP	SS	400	12.31	n/a	19-Feb	0.00	0.0
RBC CAPITAL MARKETS	034	BBBY	B	10,000	20.71	n/a	n/a	400.00	4.0
ASCEND PARTNERS	033	BBY	B	25,000	28.22	n/a	27-Jul	1,250.00	5.0
SEMINOLE CAP	036	BWA	SS	70,000	17.03	27-Jan	13-Feb	3,500.00	5.0
CAXTON PART	040	CL	B	11,026	59.76	n/a	23-Feb	385.91	3.5
BUCK CAPITAL MGMT	001	COH	B	140,000	13.78	9-Jan	22-Jan	5,600.00	4.0
ROSEDALE CAPITAL	046	CSCO	B	19,500	15.20	n/a	22-Mar	975.00	5.0
COBALT	041	CVS	B	135,525	28.25	n/a	n/a	6,776.25	5.0
DAVIDSON KEMPNER ADVISOR	040	GDX	C	100,000	36.34	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	GE	SS	50,000	8.87	n/a	n/a	1,500.00	3.0
CASTLE ARK	031	HPQ	B	174,390	29.71	n/a	n/a	10,463.40	6.0
HUNTER GLOBAL INVESTOR	067	HYG	S	32,500	70.60	n/a	n/a	975.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	S	30,000	10.23	n/a	30-Jan	1,200.00	4.0
HUNTER GLOBAL INVESTOR	067	JNK	S	50,000	29.35	n/a	n/a	1,500.00	3.0
DECADE CAPITAL PARTNERS	040	JWN	S	25,000	11.71	20-Feb	20-Feb	750.00	3.0
BUCK CAPITAL MGMT	001	KIM	B	20,000	9.81	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	33.99	n/a	6-Feb	400.00	4.0
HUNTER GLOBAL INVESTOR	067	LEN	S	190,000	6.21	n/a	n/a	5,700.00	3.0
AVESTA CAP	229	LOW	B	50,000	15.23	23-Feb	23-Feb	2,500.00	5.0
BARROW HANLEY MEWHINNEY	031	MSFT	B	500,000	17.55	n/a	3-Apr	20,000.00	4.0
WAGONHOUND/NIC	048	MYL	S	2,287	13.18	n/a	20-Feb	91.48	4.0
BUCK CAPITAL MGMT	001	M	B	20,000	7.41	n/a	6-Feb	600.00	3.0
BMO NESBITT BURNS	041	NCX	B	20,000	5.31	n/a	n/a	1,000.00	5.0
PERRY PARTNERS	041	NOK	SS	195,000	10.32	n/a	n/a	9,750.00	5.0
HUNTER GLOBAL INVESTOR	067	PX	B	15,000	59.49	4-Feb	4-Feb	750.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	100,000	34.35	n/a	5-Feb	4,000.00	4.0
WEISS PECK	040	SKX	B	75,780	6.82	n/a	13-Mar	3,031.20	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	038	TBT	B	10,000	46.02	n/a	n/a	400.00	4.0
THE JAY GOLDMAN	034	TGT	S	20,000	29.00	5-Feb	20-Feb	800.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	4,400	4.20	5-Dec	28-Jan	132.00	3.0
MILLENIUM PARTNERS	028	TIN	B	35,000	4.21	5-Dec	28-Jan	1,400.00	4.0
BARCLEYS CAP (OLD LEHM)	041	WDC	B	100,000	13.94	n/a	n/a	4,000.00	4.0
MILLENIUM PARTNERS	028	WY	S	10,000	24.21	9-Feb	9-Feb	400.00	4.0
<b>TOTAL (Trade Date):</b>							<b>106,999.34</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/20	ROYCE TRADING (ROYC169)	216	CAB	S	400	6.85	n/a	n/a	20.00 5.0
AO,CXL	02/20	ROYCE TRADING (ROYC59)	216	CAB	S	3,600	6.85	n/a	n/a	180.00 5.0
AO,	02/20	ROYCE TRADING (ROYC59)	216	CAB	S	3,300	6.85	n/a	n/a	165.00 5.0
AO,CXL	02/20	ROYCE TRADING (ROYC33)	216	CAB	S	1,400	6.85	n/a	n/a	70.00 5.0
AO,	02/20	ROYCE TRADING (ROYC33)	216	CAB	S	1,300	6.85	n/a	n/a	65.00 5.0
AO,CRT	02/20	MILLENIU PARTNERS (MILPCREDSU)	028	IP	SS	30,000	6.00	22-Sep	29-Jan	1500.00 5.0
AO,CXL	02/20	MILLENIU PARTNERS (MILPUSE)	028	IP	SS	30,000	6.00	22-Sep	29-Jan	1500.00 5.0
AO,CXL	02/20	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	SWY	SS	12,000	20.90	n/a	n/a	0.00 0.0
AO,CRT	02/20	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	SWY	SS	12,000	20.90	n/a	n/a	480.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>480.00</b>
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TOTAL (Trade Date) :	106,999.34
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TOTAL (AO, CXL, CRT) :	480.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>107,479.34</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