



Daily Compliance Activity Report

Trade Date: 02/17/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	ALV	SS	15,000	18.56	30-Jan	4-Feb	600.00	4.0
WAGONHOUND/NIC	048	AMG	S	4,596	41.82	13-Nov	10-Feb	183.84	4.0
RBC CAPITAL MARKETS	034	AMZN	SS	5,000	61.37	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	034	ARO	B	10,000	21.85	n/a	6-Feb	400.00	4.0
RBC CAPITAL MARKETS	034	BBY	B	5,000	28.89	n/a	27-Jul	200.00	4.0
NEUBERGER BERMAN	036	BPO	S	142,000	5.66	n/a	n/a	4,260.00	3.0
COUGAR TRADING	044	BWA	SS	5,000	20.47	27-Jan	13-Feb	250.00	5.0
MARINER/TRICADIA	041	BWA	SS	50,000	20.16	27-Jan	13-Feb	2,000.00	4.0
MATRIX ASSET ADV.	036	DIS	B	12,900	17.89	n/a	n/a	387.00	3.0
PRINCIPLE CAPITAL	040	DIS	SS	54,100	17.89	n/a	n/a	1,623.00	3.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	84,300	34.20	10-Feb	10-Feb	2,529.00	3.0
SCOPUS FUND	041	DLTR	B	17,500	34.44	10-Feb	10-Feb	875.00	5.0
CATAPULT	040	DNR	SS	25,000	12.57	n/a	n/a	1,250.00	5.0
LISTED ERR	099	DNR	SS	25,000	12.57	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DRE	S	48,150	7.78	n/a	n/a	1,444.50	3.0
SCOPUS FUND	041	GPC	SS	5,000	31.69	n/a	n/a	250.00	5.0

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COOPER CREEK PART	028	GT	B	20,000	6.10	n/a	n/a	1,000.00	5.0
HIGHBRIDGE/MS OLDS	041	HAS	B	30,000	23.50	n/a	n/a	1,500.00	5.0
RAINIER INV MGMT	035	IMA	B	102,100	25.73	n/a	n/a	4,084.00	4.0
FRIESS MGMT	033	JOSB	B	92,200	25.97	n/a	n/a	3,688.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	30,000	35.39	n/a	6-Feb	1,200.00	4.0
AVESTA CAP	229	K	B	75,000	40.40	n/a	n/a	3,750.00	5.0
AVESTA CAP	229	MO	SS	100,000	15.42	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	NKE	S	50,000	42.16	n/a	n/a	2,000.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	SS	45,000	56.02	14-Jan	17-Feb	2,250.00	5.0
NEUBERGER BERMAN	036	NVE	B	51,100	9.45	n/a	n/a	1,533.00	3.0
MATLIN PATTERSON	046	O	B	50,000	18.45	n/a	n/a	1,500.00	3.0
TRELLUS PARTNERS LP	028	PAG	C	36,400	6.04	n/a	13-Feb	1,092.00	3.0
FRIESS MGMT	033	PSUN	B	126,100	1.53	6-Feb	6-Feb	3,783.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	60,000	36.05	n/a	5-Feb	2,400.00	4.0
BUCK CAPITAL MGMT	001	RNT	B	20,000	24.16	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	B	100,000	7.09	n/a	13-Mar	3,000.00	3.0
ADALY INV MGMT	067	SPY	SS	16,600	79.54	n/a	n/a	830.00	5.0
LATEFF MGMT	035	TEVA	S	1,500	46.44	n/a	17-Feb	315.00	21.0
ELM RIDGE ADVISORS	044	TIN	B	176,800	4.48	5-Dec	28-Jan	5,304.00	3.0
KEEFE BRUYETTE WOODS A	045	WDR	SS	12,200	15.21	n/a	10-Feb	610.00	5.0
AVESTA CAP	229	WMT	B	25,000	47.99	10-Oct	10-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	WMT	S	63,200	47.97	10-Oct	10-Feb	2,528.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	63,800	21.55	7-Nov	27-Jan	2,552.00	4.0
TOTAL (Trade Date):								68,421.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/13	BAIRD INVESTMENT (BAIRJB473M)	031	CRR	B	1,600	39.03	5-Feb	5-Feb	0.00 0.0
AO,CRT	02/13	BAIRD INVESTMENT (BAIRJB473M)	031	CRR	B	1,600	39.03	5-Feb	5-Feb	80.00 5.0
AO,	02/13	MAMM (MAMMGR2033)	034	FII	B	820	21.53	13-Nov	10-Feb	24.60 3.0
AO,	02/13	MANNING & NAPIER (MANNCD6451)	034	FII	B	3,240	21.53	13-Nov	10-Feb	97.20 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ0378)	034	FII	B	170	21.53	13-Nov	10-Feb	5.10 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ5026)	034	FII	B	560	21.53	13-Nov	10-Feb	16.80 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ5025)	034	FII	B	220	21.53	13-Nov	10-Feb	6.60 3.0
AO,	02/13	MANNING & NAPIER (MANNOMNIBU)	034	FII	B	49,810	21.53	13-Nov	10-Feb	1494.30 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ6525)	034	FII	B	350	21.53	13-Nov	10-Feb	10.50 3.0
AO,	02/13	MANNING & NAPIER (MANNGR9856)	034	FII	B	2,630	21.53	13-Nov	10-Feb	78.90 3.0
AO,	02/13	MANNING & NAPIER (MANNMU4060)	034	FII	B	30,708	21.53	13-Nov	10-Feb	921.24 3.0
AO,	02/13	MANNING & NAPIER (MANNGR4332)	034	FII	B	130	21.53	13-Nov	10-Feb	3.90 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ2458)	034	FII	B	380	21.53	13-Nov	10-Feb	11.40 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ6145)	034	FII	B	3,160	21.53	13-Nov	10-Feb	94.80 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ8616)	034	FII	B	400	21.53	13-Nov	10-Feb	12.00 3.0
AO,	02/13	MANNING & NAPIER (MANNCD8585)	034	FII	B	240	21.53	13-Nov	10-Feb	7.20 3.0
AO,	02/13	MANNING & NAPIER (MANNGR2038)	034	FII	B	80	21.53	13-Nov	10-Feb	2.40 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0434)	034	FII	B	350	21.53	13-Nov	10-Feb	10.50 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ9460)	034	FII	B	120	21.53	13-Nov	10-Feb	3.60 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0041)	034	FII	B	960	21.53	13-Nov	10-Feb	28.80 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ7519)	034	FII	B	970	21.53	13-Nov	10-Feb	29.10 3.0
AO,	02/13	MANNING & NAPIER (MANNCD8550)	034	FII	B	250	21.53	13-Nov	10-Feb	7.50 3.0
AO,	02/13	MANNING & NAPIER (MANNJS5037)	034	FII	B	620	21.53	13-Nov	10-Feb	18.60 3.0
AO,	02/13	MANNING & NAPIER (MANNJS1091)	034	FII	B	840	21.53	13-Nov	10-Feb	25.20 3.0
AO,	02/13	MANNING & NAPIER (MANNGR2043)	034	FII	B	160	21.53	13-Nov	10-Feb	4.80 3.0
AO,	02/13	MANNING & NAPIER (MANNGR2042)	034	FII	B	1,080	21.53	13-Nov	10-Feb	32.40 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/13	MANNING & NAPIER (MANN2041)	034	FII	B	160	21.53	13-Nov	10-Feb	4.80 3.0
AO,	02/13	MANNING & NAPIER (MANNGR2038)	034	FII	B	80	21.53	13-Nov	10-Feb	2.40 3.0
AO,	02/13	MANNING & NAPIER (MANNGR2036)	034	FII	B	150	21.53	13-Nov	10-Feb	4.50 3.0
AO,	02/13	MANNING & NAPIER (MANNGR0133)	034	FII	B	580	21.53	13-Nov	10-Feb	17.40 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ0318)	034	FII	B	180	21.53	13-Nov	10-Feb	5.40 3.0
AO,	02/13	MANNING & NAPIER (MANNCD7845)	034	FII	B	640	21.53	13-Nov	10-Feb	19.20 3.0
AO,	02/13	MANNING & NAPIER (MANNGR1044)	034	FII	B	212,370	21.53	13-Nov	10-Feb	6371.10 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ9459)	034	FII	B	60	21.53	13-Nov	10-Feb	1.80 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ6211)	034	FII	B	340	21.53	13-Nov	10-Feb	10.20 3.0
AO,	02/13	MANNING & NAPIER (MANNCD2041)	034	FII	B	170	21.53	13-Nov	10-Feb	5.10 3.0
AO,	02/13	MANNING & NAPIER (MANNGR1039)	034	FII	B	1,020	21.53	13-Nov	10-Feb	30.60 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0028)	034	FII	B	1,320	21.53	13-Nov	10-Feb	39.60 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0027)	034	FII	B	1,100	21.53	13-Nov	10-Feb	33.00 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0019)	034	FII	B	1,310	21.53	13-Nov	10-Feb	39.30 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0026)	034	FII	B	1,180	21.53	13-Nov	10-Feb	35.40 3.0
AO,	02/13	MANNING & NAPIER (MANNGR4348)	034	FII	B	720	21.53	13-Nov	10-Feb	21.60 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ0037)	034	FII	B	320	21.53	13-Nov	10-Feb	9.60 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0099)	034	FII	B	170	21.53	13-Nov	10-Feb	5.10 3.0
AO,	02/13	MANNING & NAPIER (MANNGR9862)	034	FII	B	240	21.53	13-Nov	10-Feb	7.20 3.0
AO,	02/13	MANNING & NAPIER (MANNCD0073)	034	FII	B	2,750	21.53	13-Nov	10-Feb	82.50 3.0
AO,	02/13	MANNING & NAPIER (MANNCD2185)	034	FII	B	2,770	21.53	13-Nov	10-Feb	83.10 3.0
AO,	02/13	MANNING & NAPIER (MANNCD1921)	034	FII	B	340	21.53	13-Nov	10-Feb	10.20 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ7547)	034	FII	B	110	21.53	13-Nov	10-Feb	3.30 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ4916)	034	FII	B	1,410	21.53	13-Nov	10-Feb	42.30 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ7362)	034	FII	B	13,790	21.53	13-Nov	10-Feb	413.70 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ6154)	034	FII	B	2,000	21.53	13-Nov	10-Feb	60.00 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ6195)	034	FII	B	280	21.53	13-Nov	10-Feb	8.40 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ5555)	034	FII	B	110	21.53	13-Nov	10-Feb	3.30 3.0
AO,	02/13	MANNING & NAPIER (MANNMJ2594)	034	FII	B	240	21.53	13-Nov	10-Feb	7.20 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ9730)	034	FII	B	1,090	21.53	13-Nov	10-Feb	32.70 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/13	MANNING & NAPIER (MANNMJ6590)	034	FII	B	2,230	21.53	13-Nov	10-Feb	66.90 3.0
AO,	02/13	MANNING & NAPIER (MANNEQ8032)	034	FII	B	100	21.53	13-Nov	10-Feb	3.00 3.0
AO,	02/13	MANNING & NAPIER (MANNCD6346)	034	FII	B	500	21.53	13-Nov	10-Feb	15.00 3.0
AO,	02/13	MANNING & NAPIER (MANNGR0288)	034	FII	B	260	21.53	13-Nov	10-Feb	7.80 3.0
AO,	02/13	MANNING & NAPIER (MANNCD6450)	034	FII	B	7,080	21.53	13-Nov	10-Feb	212.40 3.0
AO,	02/13	MANNING & NAPIER (MANNCD6455)	034	FII	B	7,650	21.53	13-Nov	10-Feb	229.50 3.0
AO,	02/13	MANNING & NAPIER (MANNCD6454)	034	FII	B	2,520	21.53	13-Nov	10-Feb	75.60 3.0
AO,	02/13	MANNING & NAPIER (MANNCD6453)	034	FII	B	530	21.53	13-Nov	10-Feb	15.90 3.0

TOTAL (AO, CXL, CRT) :	11,063.54
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TOTAL (Trade Date) :	68,421.34
TOTAL (AO, CXL, CRT) :	11,063.54

TOTAL (RUN DATE) / NFS :	79,484.88
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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