



Daily Compliance Activity Report

Trade Date: 03/30/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHALE ROCK CAP	030	AAPL	S	8,500	103.14	n/a	n/a	340.00	4.0
WHALE ROCK CAP	030	ADI	S	45,471	19.23	n/a	n/a	1,818.84	4.0
MTB INV ADV	034	AEO	S	15,918	12.41	n/a	12-Mar	795.90	5.0
BALYASNY ASSET MGMT	044	ALV	SS	10,000	17.83	12-Mar	12-Mar	500.00	5.0
BMO NESBITT BURNS	041	ALV	SS	25,000	17.68	12-Mar	12-Mar	1,250.00	5.0
TRELLUS PARTNERS LP	028	ALV	SS	15,000	17.53	12-Mar	12-Mar	750.00	5.0
MTB INV ADV	034	AM	S	18,900	4.86	n/a	n/a	567.00	3.0
MTB INV ADV	034	ANF	S	6,000	23.90	n/a	6-Feb	300.00	5.0
BALYASNY ASSET MGMT	044	AN	SS	15,000	13.68	30-Jan	30-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	AN	SS	100,000	13.59	30-Jan	30-Jan	4,000.00	4.0
MTB INV ADV	034	ARO	S	6,000	25.81	n/a	13-Mar	300.00	5.0
BUCK CAPITAL MGMT	001	AVP	B	40,000	18.79	25-Feb	30-Mar	1,600.00	4.0
UBS OCONNOR	031	BAC	C	200,000	6.07	2-Mar	23-Mar	6,000.00	3.0
WAGONHOUND/NIC	048	BGU	S	14,334	22.83	n/a	n/a	430.02	3.0
BUCK CAPITAL MGMT	001	BJ	SS	40,000	31.99	n/a	27-Jul	1,600.00	4.0
MTB INV ADV	034	BKS	S	9,700	21.68	n/a	n/a	485.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	BLC	S	18,700	0.82	n/a	n/a	374.00	2.0
BALYASNY ASSET MGMT	044	BWA	SS	15,000	20.36	12-Mar	19-Mar	750.00	5.0
BUCK CAPITAL MGMT	001	BWA	SS	30,000	20.21	12-Mar	19-Mar	1,200.00	4.0
COOPER CREEK PART	028	BWA	SS	5,000	20.42	12-Mar	19-Mar	200.00	4.0
MTB INV ADV	034	BWA	S	3,000	20.09	12-Mar	19-Mar	150.00	5.0
RESURGENCE ASSET MGMT	070	BWA	SS	25,000	20.22	12-Mar	19-Mar	1,250.00	5.0
SCOPUS FUND	041	BWA	SS	25,000	20.19	12-Mar	19-Mar	1,250.00	5.0
PRINCIPLE CAPITAL	040	COH	SS	131,200	16.33	9-Jan	22-Jan	3,936.00	3.0
MTB INV ADV	034	CSS	S	8,400	15.65	n/a	n/a	420.00	5.0
MTB INV ADV	034	CTR	S	11,600	17.20	n/a	n/a	580.00	5.0
ADAGE CAPITAL MGMT	030	DKS	B	128,373	14.21	24-Mar	24-Mar	5,134.92	4.0
MTB INV ADV	034	ELY	S	16,600	7.23	n/a	n/a	830.00	5.0
NEWCASTLE FUNDS	033	ETH	B	40,000	10.91	n/a	n/a	1,600.00	4.0
MTB INV ADV	034	FDO	S	2,000	33.02	5-Mar	6-Mar	100.00	5.0
NATIONAL BK OF CAN	031	FII	B	20,000	21.37	30-Mar	30-Mar	800.00	4.0
MTB INV ADV	034	FL	S	19,200	10.02	24-Mar	24-Mar	960.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	40,000	18.59	n/a	10-Jan	1,600.00	4.0
BUCK CAPITAL MGMT	001	GES	S	20,000	19.78	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	GES	S	10,238	19.75	n/a	n/a	511.90	5.0
MTB INV ADV	034	GME	S	5,000	26.44	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	GNTX	SS	20,000	9.75	30-Jan	12-Mar	800.00	4.0
MTB INV ADV	034	GRB	S	25,000	2.48	n/a	n/a	750.00	3.0
RESURGENCE ASSET MGMT	070	HAR	SS	20,000	13.18	12-Mar	12-Mar	1,000.00	5.0
MTB INV ADV	034	HHS	S	15,600	5.29	n/a	n/a	468.00	3.0
CENTURION PARTNERS	041	HNZ	S	50,000	33.04	n/a	n/a	2,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	HPQ	B	2,900	31.76	n/a	n/a	116.00	4.0
WHALE ROCK CAP	030	HPQ	S	27,810	31.61	n/a	n/a	1,112.40	4.0
DECADE CAPITAL PARTNERS	040	IBKR	B	25,000	16.48	n/a	n/a	1,250.00	5.0
MTB INV ADV	034	IMN	S	7,800	7.42	n/a	n/a	390.00	5.0
FORD FDN.	032	ITW	B	30,000	30.07	30-Jan	17-Feb	1,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	3,000	13.95	24-Mar	27-Mar	120.00	4.0
WHALE ROCK CAP	030	JCG	B	109,951	13.23	n/a	30-Jan	4,398.04	4.0
DECADE CAPITAL PARTNERS	040	JEF	SS	50,000	13.12	n/a	n/a	2,500.00	5.0
NATIONAL BK OF CAN	031	JNS	SS	70,000	6.26	2-Mar	27-Mar	2,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	JRN	S	47,300	0.66	n/a	n/a	946.00	2.0
MTB INV ADV	034	KND	S	9,300	14.42	n/a	n/a	465.00	5.0
BUCK CAPITAL MGMT	001	LOW	SS	20,000	18.16	23-Feb	23-Feb	800.00	4.0
MTB INV ADV	034	LRN	S	8,622	13.34	n/a	n/a	431.10	5.0
NEWCASTLE FUNDS	033	LTM	B	51,700	12.82	n/a	n/a	2,068.00	4.0
BUCK CAPITAL MGMT	001	MW	SS	100,000	15.15	n/a	n/a	4,000.00	4.0
DE SHAW	040	M	SS	100,000	8.87	n/a	6-Mar	4,000.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	B	50,000	57.99	14-Jan	23-Mar	2,500.00	5.0
SCOPUS FUND	041	PAG	SS	25,000	8.99	n/a	18-Feb	1,250.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	20,000	9.17	n/a	18-Feb	600.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	22.61	27-Mar	27-Mar	800.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	42.40	n/a	5-Feb	2,000.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	6.57	n/a	13-Mar	300.00	3.0
KARSCH CAPITAL	034	SPY	B	135,000	78.45	n/a	n/a	2,700.00	2.0
PROSPECTOR PARTNERS LLC	036	STFC	S	10,000	17.19	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	SYK	B	2,900	33.59	n/a	n/a	116.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHALE ROCK CAP	030	TGT	B	79,712	33.32	25-Feb	20-Mar	3,188.48	4.0
BUCK CAPITAL MGMT	001	TLB	B	60,000	3.33	n/a	30-Jan	1,800.00	3.0
WAGONHOUND/NIC	048	TNA	S	350,000	16.41	n/a	n/a	10,500.00	3.0
PROSPECTOR PARTNERS LLC	036	TR	S	10,000	21.35	n/a	n/a	400.00	4.0
DALTON GREINER	012	TTC	S	19,886	23.96	n/a	n/a	994.30	5.0
UBS OCONNOR	031	TTC	C	41,600	23.94	n/a	n/a	1,248.00	3.0
DECADE CAPITAL PARTNERS	040	WFD	B	7,900	8.40	n/a	n/a	395.00	5.0
PRINCIPLE CAPITAL	040	WHR	S	25,800	29.17	n/a	n/a	774.00	3.0
AVESTA CAP	229	WMT	B	25,000	51.84	10-Oct	6-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	WMT	S	30,000	51.35	10-Oct	6-Mar	1,200.00	4.0
CHART WELL ADV	028	WRC	B	20,125	23.53	27-Mar	27-Mar	805.00	4.0
LISTED ERR	028	WRC	B	50	23.53	27-Mar	27-Mar	2.00	4.0
TOTAL (Trade Date):								109,320.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/25	STELLIAM INV ADV (STLLGSBULK)	040	CLW	B	15,000	7.21	n/a	n/a	600.00 4.0
AO,CRT	03/25	STELLIAM INV ADV (STLLGSBULK)	040	CLW	B	15,000	7.21	n/a	n/a	450.00 3.0
AO,CRT	03/26	STELLIAM INV ADV (STLLGSBULK)	040	CLW	B	6,200	7.89	n/a	n/a	186.00 3.0
AO,CXL	03/26	STELLIAM INV ADV (STLLMSEXEC)	040	CLW	B	6,200	7.89	n/a	n/a	186.00 3.0
AO,CXL	03/27	COUGAR TRADING (COUGPB MS)	044	NWY	S	10,000	3.35	n/a	30-Jan	500.00 5.0
AO,CRT	03/27	COUGAR TRADING (COUGPB MS)	044	NWY	S	10,000	3.35	n/a	30-Jan	300.00 3.0
AO,CXL	03/26	MANNING & NAPIER (MANNOMNIBU)	034	PCAR	S	549,589	27.19	25-Mar	25-Mar	16487.67 3.0
AO,	03/26	MANNING & NAPIER (MANNOMNIBU)	034	PCAR	S	549,539	27.19	25-Mar	25-Mar	16486.17 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2328)	034	PCAR	S	50	27.19	25-Mar	25-Mar	1.50 3.0
AO,	03/27	MANNING & NAPIER (MANNCD1997)	034	PCAR	S	80	27.02	25-Mar	25-Mar	2.40 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7586)	034	PCAR	S	70	27.02	25-Mar	25-Mar	2.10 3.0
AO,	03/27	MANNING & NAPIER (MANNGR4670)	034	PCAR	S	130	27.02	25-Mar	25-Mar	3.90 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2668)	034	PCAR	S	140	27.02	25-Mar	25-Mar	4.20 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ5411)	034	PCAR	S	270	27.02	25-Mar	25-Mar	8.10 3.0
AO,	03/27	MANNING & NAPIER (MANNGR6257)	034	PCAR	S	160	27.02	25-Mar	25-Mar	4.80 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7581)	034	PCAR	S	130	27.02	25-Mar	25-Mar	3.90 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7587)	034	PCAR	S	60	27.02	25-Mar	25-Mar	1.80 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ4118)	034	PCAR	S	120	27.02	25-Mar	25-Mar	3.60 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7588)	034	PCAR	S	70	27.02	25-Mar	25-Mar	2.10 3.0
AO,	03/27	MANNING & NAPIER (MANNJS4583)	034	PCAR	S	320	27.02	25-Mar	25-Mar	9.60 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2673)	034	PCAR	S	250	27.02	25-Mar	25-Mar	7.50 3.0
AO,	03/27	MANNING & NAPIER (MANNJS5000)	034	PCAR	S	150	27.02	25-Mar	25-Mar	4.50 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ1425)	034	PCAR	S	2,680	27.02	25-Mar	25-Mar	80.40 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7589)	034	PCAR	S	60	27.02	25-Mar	25-Mar	1.80 3.0
AO,	03/27	MANNING & NAPIER (MANNJS0197)	034	PCAR	S	1,010	27.02	25-Mar	25-Mar	30.30 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/27	MANNING & NAPIER (MANNCD072)	034	PCAR	S	1,050	27.02	25-Mar	25-Mar	31.50 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ0316)	034	PCAR	S	2,790	27.02	25-Mar	25-Mar	83.70 3.0
AO,	03/27	MANNING & NAPIER (MANNJS0213)	034	PCAR	S	330	27.02	25-Mar	25-Mar	9.90 3.0
AO,	03/27	MANNING & NAPIER (MANNCD0168)	034	PCAR	S	60	27.02	25-Mar	25-Mar	1.80 3.0
AO,	03/27	MANNING & NAPIER (MANNCD6345)	034	PCAR	S	310	27.02	25-Mar	25-Mar	9.30 3.0
AO,	03/27	MANNING & NAPIER (MANNGR1353)	034	PCAR	S	190	27.02	25-Mar	25-Mar	5.70 3.0
AO,	03/27	MANNING & NAPIER (MANNGR0513)	034	PCAR	S	260	27.02	25-Mar	25-Mar	7.80 3.0
AO,	03/27	MANNING & NAPIER (MANNCD1952)	034	PCAR	S	70	27.02	25-Mar	25-Mar	2.10 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ2947)	034	PCAR	S	190	27.02	25-Mar	25-Mar	5.70 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ2953)	034	PCAR	S	30	27.02	25-Mar	25-Mar	0.90 3.0
AO,	03/27	MANNING & NAPIER (MANNGR3355)	034	PCAR	S	1,981	27.02	25-Mar	25-Mar	59.43 3.0
AO,	03/27	MANNING & NAPIER (MANN4704)	034	PCAR	S	90	27.02	25-Mar	25-Mar	2.70 3.0
AO,	03/27	MANNING & NAPIER (MANNJS0113)	034	PCAR	S	240	27.02	25-Mar	25-Mar	7.20 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ1950)	034	PCAR	S	110	27.02	25-Mar	25-Mar	3.30 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ8940)	034	PCAR	S	30	27.02	25-Mar	25-Mar	0.90 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ0199)	034	PCAR	S	1,240	27.02	25-Mar	25-Mar	37.20 3.0
AO,	03/27	MANNING & NAPIER (MANNCD1884)	034	PCAR	S	90	27.02	25-Mar	25-Mar	2.70 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ0201)	034	PCAR	S	610	27.02	25-Mar	25-Mar	18.30 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2787)	034	PCAR	S	700	27.02	25-Mar	25-Mar	21.00 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ6045)	034	PCAR	S	90	27.02	25-Mar	25-Mar	2.70 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7591)	034	PCAR	S	40	27.02	25-Mar	25-Mar	1.20 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ3135)	034	PCAR	S	280	27.02	25-Mar	25-Mar	8.40 3.0
AO,	03/27	MANNING & NAPIER (MANNCD9638)	034	PCAR	S	480	27.02	25-Mar	25-Mar	14.40 3.0
AO,	03/27	MANNING & NAPIER (MANNGR4689)	034	PCAR	S	190	27.02	25-Mar	25-Mar	5.70 3.0
AO,	03/27	MANNING & NAPIER (MANNGR8770)	034	PCAR	S	40	27.02	25-Mar	25-Mar	1.20 3.0
AO,	03/27	MANNING & NAPIER (MANNCD0064)	034	PCAR	S	210	27.02	25-Mar	25-Mar	6.30 3.0
AO,	03/27	MANNING & NAPIER (MANNCD1311)	034	PCAR	S	170	27.02	25-Mar	25-Mar	5.10 3.0
AO,	03/27	MANNING & NAPIER (MANNCD1310)	034	PCAR	S	430	27.02	25-Mar	25-Mar	12.90 3.0
AO,	03/27	MANNING & NAPIER (MANNCD1121)	034	PCAR	S	720	27.02	25-Mar	25-Mar	21.60 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ0032)	034	PCAR	S	220	27.02	25-Mar	25-Mar	6.60 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/27	MANNING & NAPIER (MANNMJ0183)	034	PCAR	S	90	27.02	25-Mar	25-Mar	2.70 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ0180)	034	PCAR	S	220	27.02	25-Mar	25-Mar	6.60 3.0
AO,	03/27	MANNING & NAPIER (MANNGR4580)	034	PCAR	S	50	27.02	25-Mar	25-Mar	1.50 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ3210)	034	PCAR	S	230	27.02	25-Mar	25-Mar	6.90 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2501)	034	PCAR	S	400	27.02	25-Mar	25-Mar	12.00 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7580)	034	PCAR	S	340	27.02	25-Mar	25-Mar	10.20 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7590)	034	PCAR	S	30	27.02	25-Mar	25-Mar	0.90 3.0
AO,	03/27	MANNING & NAPIER (MANNGR6170)	034	PCAR	S	920	27.02	25-Mar	25-Mar	27.60 3.0
AO,	03/27	MANNING & NAPIER (MANNCD0061)	034	PCAR	S	310	27.02	25-Mar	25-Mar	9.30 3.0
AO,	03/27	MANNING & NAPIER (MANNCD0059)	034	PCAR	S	1,210	27.02	25-Mar	25-Mar	36.30 3.0
AO,	03/27	MANNING & NAPIER (MANNCD0070)	034	PCAR	S	1,410	27.02	25-Mar	25-Mar	42.30 3.0
AO,	03/27	MANNING & NAPIER (MANNMU2020)	034	PCAR	S	20,459	27.02	25-Mar	25-Mar	613.77 3.0
AO,	03/27	MANNING & NAPIER (MANNGR4159)	034	PCAR	S	580	27.02	25-Mar	25-Mar	17.40 3.0
AO,	03/27	MANNING & NAPIER (MANNGR4169)	034	PCAR	S	1,000	27.02	25-Mar	25-Mar	30.00 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ6129)	034	PCAR	S	750	27.02	25-Mar	25-Mar	22.50 3.0
AO,	03/27	MANNING & NAPIER (MANNCD5007)	034	PCAR	S	330	27.02	25-Mar	25-Mar	9.90 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ6126)	034	PCAR	S	1,010	27.02	25-Mar	25-Mar	30.30 3.0
AO,	03/27	MANNING & NAPIER (MANNGR1354)	034	PCAR	S	30	27.02	25-Mar	25-Mar	0.90 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ6124)	034	PCAR	S	14,650	27.02	25-Mar	25-Mar	439.50 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2671)	034	PCAR	S	710	27.02	25-Mar	25-Mar	21.30 3.0
AO,	03/27	MANNING & NAPIER (MANNCD4706)	034	PCAR	S	50	27.02	25-Mar	25-Mar	1.50 3.0
AO,	03/27	MANNING & NAPIER (MANNGR6057)	034	PCAR	S	160	27.02	25-Mar	25-Mar	4.80 3.0
AO,	03/27	MANNING & NAPIER (MANNCD2295)	034	PCAR	S	220	27.02	25-Mar	25-Mar	6.60 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ7585)	034	PCAR	S	570	27.02	25-Mar	25-Mar	17.10 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ4177)	034	PCAR	S	60	27.02	25-Mar	25-Mar	1.80 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2650)	034	PCAR	S	980	27.02	25-Mar	25-Mar	29.40 3.0
AO,	03/27	MANNING & NAPIER (MANNCD6338)	034	PCAR	S	6,610	27.02	25-Mar	25-Mar	198.30 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2646)	034	PCAR	S	1,350	27.02	25-Mar	25-Mar	40.50 3.0
AO,	03/27	MANNING & NAPIER (MANNEQ3241)	034	PCAR	S	580	27.02	25-Mar	25-Mar	17.40 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2619)	034	PCAR	S	80	27.02	25-Mar	25-Mar	2.40 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/27	MANNING & NAPIER (MANNCD8664)	034	PCAR	S	530	27.02	25-Mar	25-Mar	15.90 3.0
AO,	03/27	MANNING & NAPIER (MANNMJ2651)	034	PCAR	S	740	27.02	25-Mar	25-Mar	22.20 3.0
AO,	03/27	DELTEC ASSET MGMT. (DELTMAIN)	040	SMH	B	5,300	19.44	n/a	n/a	265.00 5.0

TOTAL (AO, CXL, CRT) :	2,183.00
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TOTAL (Trade Date):	109,320.90
TOTAL (AO, CXL, CRT):	2,183.00

TOTAL (RUN DATE) / NFS:	111,503.90
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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