



Daily Compliance Activity Report

Trade Date: 04/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	40,000	13.72	8-Apr	13-Apr	1,600.00	4.0
NATIONAL BK OF CAN	031	AMTD	B	25,000	15.99	n/a	n/a	1,000.00	4.0
PRINCIPLE CAPITAL	040	AVP	SS	76,400	20.82	25-Feb	30-Mar	2,292.00	3.0
LOCUS WOOD CAPITAL MGMT	044	BBBY	SS	15,000	30.11	n/a	n/a	600.00	4.0
1798 CAPITAL MGMT	040	BBY	SS	15,000	37.37	n/a	27-Jul	750.00	5.0
WHITE PINE CAPITAL	030	BBY	S	10,050	37.35	n/a	27-Jul	502.50	5.0
NATIONAL BK OF CAN	031	BK	B	15,000	31.85	21-Jan	13-Apr	600.00	4.0
RAINIER INV MGMT	035	BYI	S	110,090	22.98	n/a	n/a	4,403.60	4.0
SIGMA CAPITAL ASSOCIATES	041	DELL	B	25,000	10.33	n/a	n/a	1,250.00	5.0
T. ROWE PRICE	033	DLTR	B	232,600	42.33	10-Feb	6-Apr	9,304.00	4.0
ADALY INV MGMT	067	EBAY	S	25,000	14.31	n/a	n/a	1,000.00	4.0
LISTED ERR	099	GBL	B	1	39.00	n/a	7-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	20.40	n/a	10-Jan	800.00	4.0
ROYCE TRADING	216	GY	S	10,000	2.30	n/a	n/a	300.00	3.0
PZENA INV ADV	044	HD	S	101,300	25.42	n/a	25-Feb	3,545.65	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	IP	SS	50,000	8.81	n/a	8-Apr	2,500.00	5.0
SCOPUS FUND	041	IP	SS	25,000	8.80	n/a	8-Apr	1,250.00	5.0
SOUTH POINT CAP	067	IYH	SS	21,000	49.40	n/a	n/a	1,050.00	5.0
BUCK CAPITAL MGMT	001	JNY	S	100,000	5.94	n/a	11-Feb	3,000.00	3.0
NATIONAL BK OF CAN	031	JPM	S	10,000	32.30	16-Jan	13-Apr	400.00	4.0
MILLENIUM PARTNERS	028	MCD	B	12,350	53.73	n/a	13-Apr	494.00	4.0
PRINCIPLE CAPITAL	040	MHK	SS	23,000	33.16	n/a	n/a	690.00	3.0
BUCK CAPITAL MGMT	001	M	S	200,000	11.70	n/a	13-Apr	8,000.00	4.0
STADIA CAPITAL	035	M	B	20,000	11.30	n/a	13-Apr	800.00	4.0
WOOSTER CAPITAL	035	M	B	100,000	11.50	n/a	13-Apr	5,000.00	5.0
DARUMA ASSET MGMT INC	034	NP	S	46,200	3.62	13-Mar	13-Mar	2,310.00	5.0
TRELLUS PARTNERS LP	028	PCAR	SS	10,000	30.96	25-Mar	25-Mar	500.00	5.0
WHITE PINE CAPITAL	030	PH	SS	2,000	35.96	n/a	5-Mar	100.00	5.0
ROYCE TRADING	216	PMC	S	5,000	17.30	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	10.20	n/a	n/a	2,000.00	4.0
SENATOR INVESTMENT GROUP	036	RAH	B	15,000	54.02	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	RNT	S	50,000	29.14	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWCASTLE FUNDS	033	SMG	B	20,000	34.79	5-Feb	15-Apr	800.00	4.0
SOUTH POINT CAP	067	SPY	B	12,300	84.26	n/a	n/a	615.00	5.0
NATIONAL BK OF CAN	031	STT	B	30,000	35.07	n/a	n/a	1,200.00	4.0
OVERLAND PARK CAP	041	TGT	S	24,000	38.05	25-Feb	9-Apr	960.00	4.0
RBC CAPITAL MARKETS	034	TGT	B	30,000	38.13	25-Feb	9-Apr	1,200.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	130,000	3.33	n/a	30-Jan	3,900.00	3.0
ROSEDALE CAPITAL	046	VDSI	S	15,000	6.42	n/a	n/a	600.00	4.0
CATAPULT	040	WBC	S	20,000	15.00	5-Feb	18-Mar	1,000.00	5.0
OVERLAND PARK CAP	041	WMT	B	20,000	51.12	n/a	9-Apr	800.00	4.0
TOTAL (Trade Date):								70,116.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/14	ROSEDALE CAPITAL (ROSEGS)	046	CIT	S	25,000	4.30	22-Jan	15-Apr	1250.00 5.0
AO,CRT	04/14	ROSEDALE CAPITAL (ROSEGS)	046	CIT	S	25,000	4.30	22-Jan	15-Apr	750.00 3.0
AO,	04/14	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	FII	S	100	24.00	30-Mar	7-Apr	5.00 5.0
AO,CXL	04/14	IRONBOUND CAPITAL (IROBGS)	012	PX	SS	82,700	68.41	30-Mar	30-Mar	4135.00 5.0
AO,CRT	04/14	IRONBOUND CAPITAL (IROBGS)	012	PX	SS	82,700	68.41	30-Mar	30-Mar	1654.00 2.0

TOTAL (AO, CXL, CRT) :	-2,976.00
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TOTAL (Trade Date) :	70,116.75
TOTAL (AO, CXL, CRT) :	-2,976.00

TOTAL (RUN DATE) / NFS :	67,140.75
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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