



## Daily Compliance Activity Report

Trade Date: 01/16/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	ADS	B	5,900	41.83	n/a	n/a	295.00	5.0
COUGAR TRADING	044	AEO	SS	10,000	10.18	n/a	9-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>20.46</b>	<b>7-Aug</b>	<b>9-Jan</b>	<b>800.00</b>	<b>4.0</b>
BULL PATH CAPITAL	044	BAC	S	32,500	8.83	16-Jan	16-Jan	1,625.00	5.0
MILLRACE FUND LP	028	BWA	B	10,600	18.68	16-Dec	12-Jan	424.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>20,000</b>	<b>17.44</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
TRUST CO/COWEN/CALF.	040	EL	B	136,000	25.58	n/a	29-Oct	6,800.00	5.0
CAVU CAP ADV	028	ETN	SS	12,500	48.11	7-Jan	7-Jan	625.00	5.0
CUMBERLAND	038	EXH	B	11,900	22.74	n/a	16-Dec	476.00	4.0
FIRST NY SEC/CHRIS	041	FMCN	B	10,000	7.98	n/a	n/a	600.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>80,000</b>	<b>16.48</b>	<b>n/a</b>	<b>n/a</b>	<b>3,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	GIL	S	10,000	12.21	11-Dec	12-Dec	500.00	5.0
BALYASNY ASSET MGMT	044	HAR	SS	10,000	19.19	n/a	26-Nov	500.00	5.0
COOPER CREEK PART	028	HAR	SS	5,000	18.30	n/a	26-Nov	200.00	4.0
HOLDEN CAPITAL MGMT	035	HAR	SS	58,000	18.78	n/a	26-Nov	2,900.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	HAR	SS	59,400	18.44	n/a	26-Nov	2,970.00	5.0
HIGHBRIDGE/MS OLDS	041	HAS	SS	50,000	26.77	n/a	n/a	2,500.00	5.0
POST ROAD CAP	045	ICFI	S	20,000	24.47	n/a	n/a	600.00	3.0
SOROS	036	IYR	SS	200,000	33.57	n/a	n/a	6,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>100,000</b>	<b>9.74</b>	<b>n/a</b>	<b>9-Jan</b>	<b>3,000.00</b>	<b>3.0</b>
COUGAR TRADING	044	JCI	B	15,000	15.84	9-Jan	9-Jan	750.00	5.0
TRELLUS PARTNERS LP	028	JCI	SS	40,000	15.73	9-Jan	9-Jan	2,000.00	5.0
COUGAR TRADING	044	JCP	S	17,500	19.06	9-Jan	9-Jan	875.00	5.0
HARVEST MGMT	039	JWN	SS	25,000	12.98	9-Jan	9-Jan	1,250.00	5.0
THE BOSTON COMPANY	401	KCP	B	13,602	6.59	n/a	28-Sep	544.08	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>50,000</b>	<b>37.52</b>	<b>n/a</b>	<b>9-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NDN</b>	<b>B</b>	<b>50,000</b>	<b>9.65</b>	<b>31-Oct</b>	<b>9-Jan</b>	<b>1,500.00</b>	<b>3.0</b>
SIGMA CAPITAL ASSOCIATES	237	NVDA	S	25,000	7.88	n/a	n/a	1,250.00	5.0
CENTURION GLOBAL MGMT LL	041	NVLS	B	16,700	13.89	n/a	n/a	501.00	3.0
FIRST NY SEC/CHRIS	041	NWSA	B	50,000	7.94	n/a	n/a	2,500.00	5.0
S.A.C. CAP/ORENSTEIN	044	PHM	S	100,000	10.91	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PLCE	B	5,000	19.79	6-Jan	9-Jan	250.00	5.0
SERENGETI MGMT	030	PLCE	B	65,000	20.34	6-Jan	9-Jan	3,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>140,000</b>	<b>18.80</b>	<b>18-Dec</b>	<b>18-Dec</b>	<b>5,600.00</b>	<b>4.0</b>
CATAPULT	040	PXD	SS	31,200	16.00	5-Nov	20-Nov	1,560.00	5.0
STERLING JOHNSTON	035	RDEN	S	45,600	6.95	7-Nov	7-Nov	1,824.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>120,000</b>	<b>40.98</b>	<b>n/a</b>	<b>6-Nov</b>	<b>4,800.00</b>	<b>4.0</b>
COUGAR TRADING	044	ROST	S	9,472	30.79	n/a	n/a	473.60	5.0
POST ROAD CAP	045	SAI	S	4,400	19.45	n/a	n/a	132.00	3.0
WASHINGTON ASSET	048	SWN	B	10,000	28.54	19-Dec	19-Dec	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	TEL	B	12,800	15.92	n/a	n/a	512.00	4.0
BMO NESBITT BURNS	041	TIN	S	50,000	3.75	5-Dec	5-Dec	2,500.00	5.0
HIGHBRIDGE/MS OLDS	041	TWC	SS	75,000	18.97	n/a	4-Jan	3,750.00	5.0
NATIONAL BK OF CAN	031	USB	S	20,000	17.86	n/a	n/a	800.00	4.0
PNC/MERCANTILE	028	WMT	S	124,592	51.48	10-Oct	8-Jan	6,229.60	5.0
WASHINGTON ASSET	048	XLE	SS	6,000	46.44	n/a	n/a	300.00	5.0

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**TOTAL (Trade Date):**

**85,966.28**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/14	TRUSTCO/SUNTRUST (TRUS10238)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.50	3.5
AO,	01/14	TRUSTCO/SUNTRUST (TRUS10238)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.20	3.2
AO,CXL	01/14	TRUSTCO/SUNTRUST (TRUS5093)	040	ALV	B	200	19.82	26-Nov	16-Dec	7.00	3.5
AO,	01/14	TRUSTCO/SUNTRUST (TRUS5093)	040	ALV	B	200	19.82	26-Nov	16-Dec	6.40	3.2
AO,CXL	01/14	TRUSTCO/SUNTRUST (TRUS9062)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.50	3.5
AO,	01/14	TRUSTCO/SUNTRUST (TRUS9062)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.20	3.2
AO,CXL	01/14	TRUSTCO/SUNTRUST (TRUS9056)	040	ALV	B	17,600	19.82	26-Nov	16-Dec	616.00	3.5
AO,	01/14	TRUSTCO/SUNTRUST (TRUS9056)	040	ALV	B	17,600	19.82	26-Nov	16-Dec	563.20	3.2
AO,CXL	01/14	TRUSTCO/SUNTRUST (TRUS9061)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.50	3.5
AO,	01/14	TRUSTCO/SUNTRUST (TRUS9061)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.20	3.2
AO,CXL	01/14	TRUSTCO/SUNTRUST (TRUS30000)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.50	3.5
AO,	01/14	TRUSTCO/SUNTRUST (TRUS30000)	040	ALV	B	100	19.82	26-Nov	16-Dec	3.20	3.2
AO,	01/15	OZ MGMT (OZFFJPMBS)	040	BAC	B	685,526	8.82	16-Jan	16-Jan	20565.78	3.0
AO,	01/15	OZ MGMT (OZFFCSFB)	040	BAC	B	21,519	8.82	16-Jan	16-Jan	645.57	3.0
AO,	01/15	OZ MGMT (OZFFCSFB)	040	BAC	B	10,798	8.82	16-Jan	16-Jan	323.94	3.0
AO,	01/15	OZ MGMT (OZFFCSFB)	040	BAC	B	65,678	8.82	16-Jan	16-Jan	1970.34	3.0
AO,	01/15	OZ MGMT (OZFFMS)	040	BAC	B	16,479	8.82	16-Jan	16-Jan	494.37	3.0
AO,	01/15	ROTHSCHILD ASSET (ROTH3793)	040	BAC	S	780	8.35	16-Jan	16-Jan	35.10	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH3762)	040	BAC	S	2,540	8.35	16-Jan	16-Jan	114.30	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100230)	040	BAC	S	770	8.35	16-Jan	16-Jan	34.65	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100250)	040	BAC	S	1,060	8.35	16-Jan	16-Jan	47.70	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100260)	040	BAC	S	2,020	8.35	16-Jan	16-Jan	90.90	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100200)	040	BAC	S	2,730	8.35	16-Jan	16-Jan	122.85	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100170)	040	BAC	S	1,520	8.35	16-Jan	16-Jan	68.40	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100150)	040	BAC	S	990	8.35	16-Jan	16-Jan	44.55	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100120)	040	BAC	S	270	8.35	16-Jan	16-Jan	12.15	4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100100)	040	BAC	S	160	8.35	16-Jan	16-Jan	7.20	4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/15	ROTHSCHILD ASSET (ROTH316)	040	BAC	S	5,860	8.35	16-Jan	16-Jan	263.70 4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100160)	040	BAC	S	1,170	8.35	16-Jan	16-Jan	52.65 4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100110)	040	BAC	S	1,090	8.35	16-Jan	16-Jan	49.05 4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH357)	040	BAC	S	3,830	8.35	16-Jan	16-Jan	172.35 4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH100180)	040	BAC	S	52,140	8.35	16-Jan	16-Jan	2346.30 4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH000328)	040	BAC	S	1,460	8.35	16-Jan	16-Jan	65.70 4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH3841)	040	BAC	S	1,460	8.35	16-Jan	16-Jan	65.70 4.5
AO,	01/15	ROTHSCHILD ASSET (ROTH384)	040	BAC	S	3,450	8.35	16-Jan	16-Jan	155.25 4.5
AO,CXL	01/15	GREENLIGHT CAPITAL (GRELGS)	041	CPN	B	153,100	7.46	n/a	n/a	6124.00 4.0
AO,	01/15	GREENLIGHT CAPITAL (GRELCITI)	041	CPN	B	153,100	7.46	n/a	n/a	6124.00 4.0
AO,	01/15	OZ MGMT (OZFFJPMBS)	040	GT	S	100,000	6.19	n/a	n/a	3000.00 3.0
AO,	01/15	OZ MGMT (OZFFCSFB)	040	GT	S	3,139	6.19	n/a	n/a	94.17 3.0
AO,	01/15	OZ MGMT (OZFFCSFB)	040	GT	S	1,575	6.19	n/a	n/a	47.25 3.0
AO,	01/15	OZ MGMT (OZFFCSFB)	040	GT	S	9,581	6.19	n/a	n/a	287.43 3.0
AO,	01/15	OZ MGMT (OZFFMS)	040	GT	S	2,404	6.19	n/a	n/a	72.12 3.0
AO,	01/15	COLUMBUS CIRCLE (COLC4400)	036	MS	B	142,000	16.43	18-Dec	14-Jan	5680.00 4.0
AO,CRT	01/15	CAVU CAP ADV (CAVUBSMERL)	028	UNP	S	1,375	41.23	n/a	n/a	68.75 5.0
AO,CXL	01/15	CAVU CAP ADV (CAVU)	028	UNP	S	1,375	41.23	n/a	n/a	68.75 5.0

**TOTAL (AO, CXL, CRT) :**

**36,874.87**

TOTAL (Trade Date) :

85,966.28

TOTAL (AO, CXL, CRT):

36,874.87

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**TOTAL (RUN DATE) / NFS:**

**122,841.15**

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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