



## Daily Compliance Activity Report

Trade Date: 01/29/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>170,000</b>	<b>9.60</b>	<b>n/a</b>	<b>9-Jan</b>	<b>5,100.00</b>	<b>3.0</b>
BALYASNY ASSET MGMT	044	ALV	SS	25,000	18.74	26-Nov	28-Jan	1,250.00	5.0
BRENCOURT	028	ALV	SS	25,000	18.72	26-Nov	28-Jan	1,250.00	5.0
CASEY CAPITAL	067	ALV	B	4,000	19.08	26-Nov	28-Jan	200.00	5.0
HIGHBRIDGE CAPITAL	038	ALV	S	55,000	19.24	26-Nov	28-Jan	1,650.00	3.0
ADALY INV MGMT	067	AN	SS	42,300	10.02	7-Nov	28-Jan	1,269.00	3.0
BRENCOURT	028	AN	SS	25,000	9.70	7-Nov	28-Jan	1,250.00	5.0
COUGAR TRADING	044	AN	SS	5,000	10.19	7-Nov	28-Jan	250.00	5.0
HARVEST MGMT	039	AN	B	40,000	10.00	7-Nov	28-Jan	2,000.00	5.0
HARVEST MGMT	039	AN	SS	40,000	10.19	7-Nov	28-Jan	2,000.00	5.0
MARINER/TRICADIA	041	AN	B	100,000	9.99	7-Nov	28-Jan	3,000.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>AN</b>	<b>B</b>	<b>5,000</b>	<b>10.02</b>	<b>7-Nov</b>	<b>28-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AN</b>	<b>SS</b>	<b>5,000</b>	<b>10.00</b>	<b>7-Nov</b>	<b>28-Jan</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	067	AXE	B	5,000	27.04	22-Dec	22-Dec	200.00	4.0
NEWLAND CAPITAL MGT	067	AZZ	B	5,000	22.67	n/a	n/a	200.00	4.0
STELLIAM INV ADV	040	BA	B	30,000	41.22	n/a	n/a	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWA</b>	<b>SS</b>	<b>50,000</b>	<b>17.98</b>	<b>27-Jan</b>	<b>27-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	BWA	SS	5,000	18.41	27-Jan	27-Jan	250.00	5.0
PRINCIPLE CAPITAL	040	CAJ	B	75,000	28.56	n/a	n/a	2,250.00	3.0
WASHINGTON ASSET	048	CB	S	10,000	43.68	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	CCK	S	1,000	18.89	n/a	n/a	180.00	18.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CEC</b>	<b>B</b>	<b>20,000</b>	<b>24.91</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
JAT CAPITAL MANAGEMENT	041	CETV	S	23,300	11.76	n/a	n/a	932.00	4.0
TRELLUS PARTNERS LP	028	CHD	SS	10,000	55.22	4-Sep	8-Dec	500.00	5.0
REICH AND TANG	067	CR	S	10,000	18.66	n/a	n/a	500.00	5.0
RAIL-SPLITTER	031	DLTR	SS	18,200	43.72	n/a	6-Jan	910.00	5.0
NEWLAND CAPITAL MGT	067	ETN	B	5,000	46.16	26-Jan	26-Jan	200.00	4.0
HOLDEN CAPITAL MGMT	035	EV	SS	10,000	19.76	9-Jan	27-Jan	500.00	5.0
CUMBERLAND	038	EXH	B	20,000	22.37	27-Jan	27-Jan	800.00	4.0
ROARING BLUE LION MGMT	012	FII	S	31,300	20.61	13-Nov	27-Jan	1,252.00	4.0
AVESTA CAP	229	FLR	S	10,000	40.55	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>SS</b>	<b>20,000</b>	<b>7.63</b>	<b>7-Oct</b>	<b>12-Dec</b>	<b>600.00</b>	<b>3.0</b>
SIGMA CAPITAL ASSOCIATES	237	GES	B	25,000	16.87	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	GE	S	2,500	12.81	n/a	n/a	275.00	11.0
PILOT ROCK	028	GLD	B	52,000	88.75	n/a	n/a	2,080.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTER OAK	033	GLW	SS	200,000	10.54	19-Nov	28-Jan	10,000.00	5.0
ADALY INV MGMT	067	GPI	B	42,700	10.00	n/a	23-Dec	1,281.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>GPI</b>	<b>B</b>	<b>5,000</b>	<b>9.99</b>	<b>n/a</b>	<b>23-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>GPI</b>	<b>S</b>	<b>5,000</b>	<b>9.99</b>	<b>n/a</b>	<b>23-Dec</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	HAR	SS	15,000	17.42	n/a	26-Nov	750.00	5.0
BMO NESBITT BURNS	041	HCN	B	42,000	37.00	n/a	n/a	1,260.00	3.0
AVESTA CAP	229	HD	SS	50,000	22.55	n/a	27-Jul	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOT</b>	<b>SS</b>	<b>50,000</b>	<b>16.93</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
LATEFF MGMT	035	INTC	S	2,500	13.39	n/a	n/a	275.00	11.0
CATAPULT	040	IP	SS	50,000	10.60	22-Sep	29-Jan	2,500.00	5.0
MILLENIUM PARTNERS	028	IP	B	15,000	10.77	22-Sep	29-Jan	600.00	4.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	B	104,800	11.74	9-Jan	27-Jan	4,192.00	4.0
SYSTEMATIC FINANCIAL MGT	035	LOW	S	169,500	19.62	n/a	27-Jul	5,932.50	3.5
LATEFF MGMT	035	MMM	S	750	56.81	8-Dec	29-Jan	262.50	35.0
CATAPULT	040	MON	SS	16,000	77.52	n/a	22-Jan	800.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>100,000</b>	<b>9.74</b>	<b>12-Aug</b>	<b>9-Jan</b>	<b>3,000.00</b>	<b>3.0</b>
NOMURA CAPITAL	045	OC	S	3,100	15.00	n/a	n/a	155.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	PAG	S	20,000	7.72	n/a	23-Dec	800.00	4.0
STADIA CAPITAL	035	PCAR	B	10,000	24.88	20-Nov	30-Dec	400.00	4.0
CATAPULT	040	PCL	S	31,000	32.56	n/a	20-Jan	1,550.00	5.0
SAXON WOODS ADVISORS	038	PFE	B	253,000	15.15	n/a	31-Mar	10,120.00	4.0
COLUMBIA PARTNERS	028	QDEL	B	57,068	12.41	n/a	n/a	2,282.72	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>50,000</b>	<b>41.35</b>	<b>n/a</b>	<b>20-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	RL	SS	12,100	41.32	n/a	20-Jan	605.00	5.0
KLEINHEINZ CAP PART	031	RL	S	150,000	41.20	n/a	20-Jan	7,500.00	5.0
MORGAN BANK /JPM	070	RL	B	13,300	41.40	n/a	20-Jan	399.00	3.0
VISIUM/DIV OF BALLY BOBBY	044	RL	B	10,000	41.48	n/a	20-Jan	500.00	5.0
WHALE ROCK CAP	030	RL	SS	24,200	41.01	n/a	20-Jan	968.00	4.0
SENVEST PART	045	RVI	B	36,300	2.64	n/a	n/a	1,089.00	3.0
KLEINHEINZ CAP PART	031	SBUX	B	100,000	9.80	n/a	29-Jan	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>10.40</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	SNE	B	75,000	20.45	n/a	n/a	2,250.00	3.0
STADIA CAPITAL	035	SPW	B	4,900	44.23	n/a	n/a	196.00	4.0
DENVER INST. ADV	046	SWN	B	58,000	31.74	19-Dec	19-Dec	2,320.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>SS</b>	<b>100,000</b>	<b>33.03</b>	<b>17-Nov</b>	<b>28-Jan</b>	<b>4,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	TIN	SS	25,000	5.69	5-Dec	28-Jan	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	S	25,000	5.81	5-Dec	28-Jan	1,250.00	5.0
NEWLAND CAPITAL MGT	067	TIN	S	30,000	5.73	5-Dec	28-Jan	900.00	3.0
SCOPUS FUND	041	TIN	S	50,000	5.76	5-Dec	28-Jan	2,500.00	5.0
STADIA CAPITAL	035	TROW	B	8,500	29.90	n/a	29-Jan	340.00	4.0
STADIA CAPITAL	035	TROW	SS	25,000	31.31	n/a	29-Jan	1,000.00	4.0
NEWLAND CAPITAL MGT	067	TXI	S	5,000	23.78	n/a	n/a	200.00	4.0
LAGRANGE CAP ADV	048	TXT	B	10,000	9.24	n/a	n/a	500.00	5.0
COUGAR TRADING	044	UA	B	5,000	18.98	n/a	15-Jan	250.00	5.0
TROUBH PART	067	UNG	S	125,000	18.42	n/a	n/a	6,250.00	5.0
MAIRS AND POWER INV	030	USB	B	20,000	15.15	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	WRC	B	5,000	23.01	7-Nov	27-Jan	250.00	5.0
HOOVER INV. MGMT	033	WRC	B	74,400	22.94	7-Nov	27-Jan	2,976.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>134,751.72</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/28	BACKBAY (BACKJEFF)	041	AN	SS	25,000	9.23	7-Nov	28-Jan	750.00 3.0
AO,CRT	01/28	BACKBAY (BACKJEFF)	041	AN	SS	25,000	9.23	7-Nov	28-Jan	1250.00 5.0
AO,CXL	01/28	GRANITE CAPITAL (GRANBULK)	045	ANN	B	12,700	5.90	n/a	6-Jan	381.00 3.0
AO,CRT	01/28	GRANITE CAPITAL (GRANBULK)	045	ANN	B	12,700	5.90	n/a	6-Jan	635.00 5.0
AO,	01/28	BUCK CAPITAL MGMT (BUCKJPMBS)	001	BKC	B	19,000	22.97	27-Oct	8-Jan	760.00 4.0
AO,CXL	01/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BKC	B	20,000	22.97	27-Oct	8-Jan	800.00 4.0
AO,CRT	01/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BKC	B	1,000	22.97	27-Oct	8-Jan	40.00 4.0
AO,CXL	01/28	ARAGON GLOBAL (ARAGGS)	041	CHS	S	100,000	4.38	5-Dec	9-Jan	3000.00 3.0
AO,CRT	01/28	BALYASNY ASSET MGMT (BALYGS)	044	CHS	S	100,000	4.38	5-Dec	9-Jan	3000.00 3.0
AO,CXL	01/28	BREEDEN CAP MGMT (BREEUBSPB)	080	DST	S	50,000	33.62	n/a	n/a	2000.00 4.0
AO,CRT	01/28	BREEDEN CAP MGMT (BREEUBSPB)	080	DST	S	50,000	33.62	n/a	n/a	2500.00 5.0
AO,CXL	01/28	MILLENIUUM PARTNERS (MILPUSE)	028	GYMB	B	40,000	26.44	7-Nov	14-Jan	2000.00 5.0
AO,CRT	01/28	MILLENIUUM PARTNERS (MILPUSE)	028	GYMB	B	40,000	26.44	7-Nov	14-Jan	1600.00 4.0
AO,CRT	01/28	CR INTRINIC INVESTMENT (CRINGSPB)	044	HGSI	B	150,000	2.13	n/a	n/a	7500.00 5.0
AO,CXL	01/28	PIONEER OAKRIDGE (PIOO149)	031	HGSI	B	150,000	2.13	n/a	n/a	7500.00 5.0
AO,CXL	01/26	MILLENIUUM PARTNERS (MILPUSE)	028	JWN	SS	16,540	13.37	9-Jan	9-Jan	827.00 5.0
AO,CRT	01/26	MILLENIUUM PARTNERS (MILPUSE)	028	JWN	SS	16,540	13.37	9-Jan	9-Jan	661.60 4.0
AO,CXL	01/28	MILLENIUUM PARTNERS (MILPUSE)	028	KSS	SS	20,500	38.72	n/a	9-Jan	1025.00 5.0
AO,CRT	01/28	MILLENIUUM PARTNERS (MILPUSE)	028	KSS	SS	20,500	38.72	n/a	9-Jan	820.00 4.0
AO,CXL	01/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LL	B	3,681	9.73	n/a	n/a	110.43 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/28	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LL	B	3,681	9.73	n/a	n/a	147.24 4.0
AO,CXL	01/28	BACKBAY (BACKJEFF)	041	LPX	S	25,000	2.34	5-Nov	23-Jan	1250.00 5.0
AO,CRT	01/28	BACKBAY (BACKJEFF)	041	LPX	S	25,000	2.34	5-Nov	23-Jan	750.00 3.0
AO,CXL	01/26	MILLENIU M PARTNERS (MILPUSE)	028	LTD	SS	17,830	8.60	8-Jan	9-Jan	891.50 5.0
AO,CRT	01/26	MILLENIU M PARTNERS (MILPUSE)	028	LTD	SS	17,830	8.60	8-Jan	9-Jan	713.20 4.0
AO,CXL	01/28	MAGNETAR FINANCIAL (MAGNCSFB)	031	RWT	S	44,000	14.39	n/a	n/a	1760.00 4.0
AO,CRT	01/28	MAGNETAR FINANCIAL (MAGNCSFB)	031	RWT	S	44,000	14.39	n/a	n/a	1320.00 3.0
AO,CXL	01/28	NEWLAND CAPITAL MGT (NEWLGS)	067	TIN	S	40,000	5.47	5-Dec	28-Jan	1600.00 4.0
AO,CRT	01/28	NEWLAND CAPITAL MGT (NEWLGS)	067	TIN	S	40,000	5.47	5-Dec	28-Jan	1200.00 3.0
AO,CXL	01/28	SUTTONBROOK CAPITAL (SUTTDB)	067	TIN	S	107,606	5.41	5-Dec	28-Jan	4304.24 4.0
AO,CRT	01/28	SUTTONBROOK CAPITAL (SUTTFB04)	067	TIN	S	107,606	5.41	5-Dec	28-Jan	4304.24 4.0

<b>TOTAL (AO, CXL, CRT) :</b>	<b>-997.89</b>
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TOTAL (Trade Date) :	134,751.72
TOTAL (AO, CXL, CRT) :	-997.89

<b>TOTAL (RUN DATE) / NFS :</b>	<b>133,753.83</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