



Daily Compliance Activity Report

Trade Date: 01/08/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AAP	B	5,000	32.27	n/a	n/a	250.00	5.0
ADAGE CAPITAL MGMT	030	AEO	B	200,000	10.30	n/a	6-Jan	8,000.00	4.0
COUGAR TRADING	044	AEO	SS	5,000	10.10	n/a	6-Jan	250.00	5.0
SLS CAPITAL LLC	224	AEO	S	150,205	9.74	n/a	6-Jan	4,506.15	3.0
COLUMBIA PARTNERS	028	AMB	S	6,954	23.98	n/a	n/a	278.16	4.0
COUGAR TRADING	044	ANF	S	5,000	21.51	7-Aug	6-Jan	250.00	5.0
RAINIER INV MGMT	035	ARG	B	62,950	37.83	15-Dec	15-Dec	3,147.50	5.0
SERENGETI MGMT	030	BBT	B	20,000	23.28	n/a	n/a	1,000.00	5.0
THE BOSTON COMPANY	401	BEBE	S	140,750	6.23	n/a	n/a	5,630.00	4.0
SERENGETI MGMT	030	BPOP	B	50,000	5.37	n/a	n/a	2,500.00	5.0
COOPER CREEK PART	028	BWA	SS	2,800	23.27	16-Dec	16-Dec	112.00	4.0
RAMIUS CAP	040	BWA	SS	150,000	23.11	16-Dec	16-Dec	7,500.00	5.0
COUGAR TRADING	044	CAT	B	10,000	43.32	19-Sep	23-Dec	500.00	5.0
COUGAR TRADING	044	CAT	SS	10,000	42.99	19-Sep	23-Dec	500.00	5.0
HIGHBRIDGE/MS OLDS	041	CHRW	B	45,571	51.09	n/a	n/a	2,278.55	5.0
BUCK CAPITAL MGMT	001	CRI	B	50,000	18.59	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
POST ROAD CAP	045	CTV	S	4,200	16.51	n/a	n/a	126.00	3.0
SERENGETI MGMT	030	DB	B	10,000	35.19	n/a	n/a	500.00	5.0
POST ROAD CAP	045	DCP	S	11,978	15.69	n/a	n/a	359.34	3.0
COOPER CREEK PART	028	DSW	SS	5,000	11.05	14-Nov	19-Dec	200.00	4.0
HIGHBRIDGE/MS OLDS	041	DTV	B	34,500	22.62	n/a	4-Jan	1,725.00	5.0
POST ROAD CAP	045	DTV	B	900	22.60	n/a	4-Jan	27.00	3.0
POST ROAD CAP	045	DTV	S	2,600	22.65	n/a	4-Jan	78.00	3.0
SERENGETI MGMT	030	EV	B	35,000	20.67	26-Nov	5-Jan	1,750.00	5.0
BRIGADE CAPITAL MGMT	029	FCH	B	5,100	2.00	n/a	n/a	153.00	3.0
COOPER CREEK PART	028	GIL	B	10,000	11.98	11-Dec	12-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	HD	SS	140,000	23.95	n/a	27-Jul	5,600.00	4.0
KLEINHEINZ CAP PART	031	HRB	B	75,000	21.84	n/a	n/a	3,750.00	5.0
POST ROAD CAP	045	ICFI	S	5,700	24.25	n/a	n/a	171.00	3.0
BUCK CAPITAL MGMT	001	JCG	S	140,000	10.85	n/a	6-Jan	5,600.00	4.0
ADAGE CAPITAL MGMT	030	JCP	SS	100,000	21.41	17-Nov	6-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	200,000	21.39	17-Nov	6-Jan	8,000.00	4.0
COUGAR TRADING	044	JCP	B	20,000	22.13	17-Nov	6-Jan	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UBS OCONNOR	031	JEF	SS	40,000	14.50	n/a	n/a	1,200.00	3.0
EGS ASSOCIATES LP	091	JWN	B	5,000	14.14	14-Nov	6-Jan	300.00	6.0
SCOPUS FUND	041	JWN	B	18,800	14.00	14-Nov	6-Jan	940.00	5.0
1798 CAPITAL MGMT	040	KR	SS	10,000	25.13	n/a	n/a	500.00	5.0
UBS OCONNOR	031	LAZ	B	30,000	27.44	n/a	n/a	900.00	3.0
Õ Alice Longley		LLY	B	400	38.2700	n/a	n/a	0.00	0.0
POST ROAD CAP	045	LM DIA	S	13,800	18.40	n/a	n/a	414.00	3.0
BUCK CAPITAL MGMT	001	LTD	S	100,000	10.00	8-Jan	8-Jan	3,000.00	3.0
COUGAR TRADING	044	LTD	SS	5,000	9.85	8-Jan	8-Jan	200.00	4.0
AVESTA CAP	229	MCD	B	50,000	60.31	13-Oct	8-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	MCD	B	150,000	60.05	13-Oct	8-Jan	6,000.00	4.0
COUGAR TRADING	044	MCD	B	3,000	60.09	13-Oct	8-Jan	150.00	5.0
AVESTA CAP	229	NUE	B	15,000	44.68	n/a	n/a	750.00	5.0
COUGAR TRADING	044	NWY	B	10,000	2.23	n/a	6-Jan	200.00	2.0
STRAUSS ASSET MGMT	040	ORA	B	10,000	31.55	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	PAG	SS	10,000	9.01	n/a	23-Dec	400.00	4.0
BMO NESBITT BURNS	041	PAG	SS	25,000	8.91	n/a	23-Dec	1,250.00	5.0
BENCHMARK	028	PCL	S	10,000	32.31	n/a	18-Dec	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	PFCB	SS	43,900	20.81	8-Jan	8-Jan	2,195.00	5.0
SAC TRADING HOWARD	038	PFCB	B	15,000	20.62	8-Jan	8-Jan	750.00	5.0
MILLENIUUM PARTNERS	028	PKG	B	30,000	13.73	5-Dec	5-Dec	1,500.00	5.0
COUGAR TRADING	044	PLCE	B	5,000	23.39	6-Jan	8-Jan	250.00	5.0
FIRST NY SEC/CHRIS	041	PLCE	B	10,000	23.40	6-Jan	8-Jan	600.00	6.0
SERENGETI MGMT	030	PNC	S	10,000	48.73	n/a	n/a	500.00	5.0
SERENGETI MGMT	030	PRU	S	40,000	32.06	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	50,000	20.14	18-Dec	18-Dec	2,000.00	4.0
COUGAR TRADING	044	PVH	B	5,000	20.16	18-Dec	18-Dec	250.00	5.0
REINHART & MAHONEY	031	PVH	S	18,000	20.07	18-Dec	18-Dec	900.00	5.0
COUGAR TRADING	044	RL	B	5,000	44.30	n/a	6-Nov	250.00	5.0
POST ROAD CAP	045	SAI	S	9,950	19.56	n/a	n/a	298.50	3.0
JMP ASSET MGMT	210	SBUX	B	2,350	9.78	n/a	8-Jan	117.50	5.0
HUNTER GLOBAL INVESTOR	067	SO	S	28,700	35.75	n/a	n/a	1,435.00	5.0
COUGAR TRADING	044	SSI	S	15,000	8.16	n/a	7-Jan	600.00	4.0
BUCK CAPITAL MGMT	001	VFC	SS	50,000	53.70	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	WMT	B	63,200	51.70	10-Oct	8-Jan	2,528.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	WMT	B	50,500	51.19	10-Oct	8-Jan	2,020.00	4.0
CATAPULT	040	WRC	B	20,000	19.29	7-Nov	7-Nov	800.00	4.0
SCOPUS FUND	041	WSM	B	4,400	8.71	n/a	n/a	220.00	5.0
CASTLE ARK	031	XTO	S	387,750	38.13	n/a	n/a	23,265.00	6.0
BUCK CAPITAL MGMT	001	ZLC	B	50,000	3.74	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date):								137,724.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/08	COUGAR TRADING (COUGPB MS)	044	AEO	SS	5,000	10.10	n/a	6-Jan	250.00 5.0
AO,	01/07	LOCUS WOOD CAPITAL MGMT (LOCOMSLOCU)	044	KBR	B	25,000	16.74	n/a	n/a	1250.00 5.0
AO,CRT	01/07	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	LNN	B	13,800	36.37	n/a	n/a	690.00 5.0
AO,CXL	01/07	HUNTER GLOBAL INVESTOR (HUNTMS P)	067	LNN	B	13,800	36.37	n/a	n/a	690.00 5.0
CRT	01/08	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WMT	B	62,700	51.70	10-Oct	8-Jan	2508.00 4.0
AO,CRT	01/07	MILLENIUUM PARTNERS (MILPOMNIST)	028	WMT	B	19,000	55.64	10-Oct	8-Jan	950.00 5.0
AO,CXL	01/07	MILLENIUUM PARTNERS (&MILPCLOSE)	028	WMT	B	19,000	55.64	10-Oct	8-Jan	950.00 5.0
TOTAL (AO, CXL, CRT) :										4,008.00

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