



Daily Compliance Activity Report

Trade Date: 03/12/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PHILADELPHIA FINANCIAL	033	AB	S	63,951	12.03	20-Feb	11-Mar	2,558.04	4.0
ACK ASSET	028	AEO	B	31,000	9.89	n/a	12-Mar	930.00	3.0
BUCK CAPITAL MGMT	001	AEO	B	120,000	10.00	n/a	12-Mar	3,600.00	3.0
COUGAR TRADING	044	ALV	SS	10,000	14.43	12-Mar	12-Mar	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	ALV	SS	10,000	14.33	12-Mar	12-Mar	400.00	4.0
TRELLUS PARTNERS LP	028	ALV	SS	15,000	14.65	12-Mar	12-Mar	750.00	5.0
BALYASNY ASSET MGMT	044	AMG	S	7,500	35.90	13-Nov	9-Mar	375.00	5.0
1798 CAPITAL MGMT	040	ANF	S	25,000	20.27	n/a	6-Feb	1,250.00	5.0
COUGAR TRADING	044	AN	SS	5,000	11.52	30-Jan	30-Jan	250.00	5.0
ASCEND PARTNERS	033	BBY	S	25,000	28.73	n/a	27-Jul	1,250.00	5.0
FRONTPOINT/COPIA-ANDREW	031	BJS	SS	128,800	9.68	n/a	n/a	4,508.00	3.5
SOLARIS INV MGMT	029	BRCM	B	113,000	18.99	n/a	n/a	5,650.00	5.0
CATAPULT	040	BWA	SS	20,000	16.25	12-Mar	12-Mar	1,000.00	5.0
COUGAR TRADING	044	BWA	B	10,000	17.36	12-Mar	12-Mar	500.00	5.0
COUGAR TRADING	044	BWA	SS	15,000	16.24	12-Mar	12-Mar	750.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BWA	SS	10,000	16.16	12-Mar	12-Mar	400.00	4.0
MARINER/TRICADIA	041	BWA	SS	25,000	16.28	12-Mar	12-Mar	1,250.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	15,000	16.75	12-Mar	12-Mar	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAPITAL MGMT	040	BYI	C	30,000	17.30	n/a	n/a	1,500.00	5.0
CATAPULT	040	CAKE	B	75,000	9.55	n/a	13-Feb	3,000.00	4.0
STERLING JOHNSTON	035	CAKE	S	50,000	9.29	n/a	13-Feb	2,000.00	4.0
BMO NESBITT BURNS	041	CMI	S	25,000	22.99	14-Nov	4-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	COH	B	50,000	14.50	9-Jan	22-Jan	2,000.00	4.0
BLUE HARBOR	036	CRL	B	50,000	26.96	n/a	n/a	2,500.00	5.0
PRINCIPLE CAPITAL	040	CVS	B	40,000	26.04	n/a	n/a	1,200.00	3.0
COUGAR TRADING	044	DAI	SS	5,000	27.12	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	DAI	SS	10,000	27.26	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DAL	C	100,000	5.26	n/a	n/a	5,000.00	5.0
FORD FDN.	032	DE	B	80,000	28.77	26-Jan	19-Feb	4,000.00	5.0
TRUSTCO/SUNTRUST	040	DKS	S	20,000	13.01	n/a	10-Mar	640.00	3.2
ROARING BLUE LION MGMT	012	EV	SS	6,900	17.60	9-Mar	9-Mar	276.00	4.0
CUMBERLAND	038	EXH	B	11,984	16.19	27-Jan	26-Feb	359.52	3.0
BUCK CAPITAL MGMT	001	GCO	B	75,000	14.87	n/a	10-Jan	3,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	39,000	14.06	n/a	n/a	1,560.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	GS	SS	15,000	97.14	n/a	26-Feb	600.00	4.0
WASHINGTON ASSET	048	GS	B	6,000	94.79	n/a	26-Feb	300.00	5.0
COUGAR TRADING	044	HAR	SS	5,000	10.87	12-Mar	12-Mar	250.00	5.0
BLUE HARBOR	036	HBI	B	46,766	7.24	n/a	n/a	1,402.98	3.0
DC CAPITAL	044	IP	B	50,000	5.77	n/a	29-Jan	1,500.00	3.0
SCOPUS FUND	041	ITW	SS	40,000	28.09	30-Jan	17-Feb	2,000.00	5.0
KENNEDY CAPITAL	046	JAH	S	35,050	11.22	n/a	n/a	1,402.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	57,800	10.92	n/a	30-Jan	2,312.00	4.0
BMO NESBITT BURNS	041	JCI	B	50,000	8.96	26-Jan	20-Feb	2,500.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	16.56	6-Feb	6-Mar	2,000.00	4.0
DC CAPITAL	044	JCP	B	50,000	16.24	6-Feb	6-Mar	2,000.00	4.0
TRELLUS PARTNERS LP	028	JWN	SS	15,000	14.59	20-Feb	6-Mar	750.00	5.0
CATAPULT	040	KBR	B	50,000	14.45	n/a	n/a	2,500.00	5.0
NEWCASTLE FUNDS	033	KSS	B	50,000	37.28	n/a	6-Mar	2,000.00	4.0
PORTER-ORLIN-FELDMAN	044	LH	B	2,000	54.98	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	7.84	8-Jan	30-Jan	900.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	MMM	B	45,000	47.63	8-Dec	29-Jan	2,250.00	5.0
WYPER CAPITAL	044	MON	B	40,000	82.10	n/a	22-Jan	1,600.00	4.0
NATIONAL BK OF CAN	031	MS	SS	60,000	24.17	18-Dec	26-Feb	2,400.00	4.0
NATIONAL BK OF CAN	031	MS	S	45,000	24.18	18-Dec	26-Feb	1,800.00	4.0
SANDLER O'NEILL ASSET	031	MS	SS	25,000	23.52	18-Dec	26-Feb	1,250.00	5.0
BMO NESBITT BURNS	041	NCX	S	20,000	5.75	n/a	n/a	600.00	3.0
FRONTPOINT/COPIA-ANDREW	031	OXY	SS	21,700	55.13	n/a	n/a	759.50	3.5
ASCEND PARTNERS	033	PLCE	SS	25,000	21.07	6-Jan	6-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	130,000	16.32	22-Jan	22-Jan	5,200.00	4.0
COUGAR TRADING	044	PVH	S	5,000	16.70	22-Jan	22-Jan	250.00	5.0
SAC CAP/ROSEN FOR BOBBY	044	QSII	B	23,200	41.13	n/a	n/a	1,160.00	5.0
BLUE HARBOR	036	RBA	B	25,000	15.55	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	35.10	n/a	5-Feb	800.00	4.0
BAIRD INVESTMENT	031	SII	B	8,675	21.03	n/a	n/a	433.75	5.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	5.38	n/a	13-Mar	300.00	3.0
WYPER CAPITAL	044	STT	B	150,000	23.63	n/a	n/a	6,000.00	4.0
MILLRACE FUND LP	028	SUP	SS	10,000	10.26	27-Feb	27-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	THI	B	20,000	24.86	n/a	24-Apr	800.00	4.0
BMO NESBITT BURNS	041	TIN	B	8,300	3.30	5-Dec	28-Jan	415.00	5.0
SCOPUS FUND	041	TIN	B	50,000	3.34	5-Dec	28-Jan	2,500.00	5.0
BENCHMARK	028	TJX	B	15,000	24.15	n/a	6-Mar	750.00	5.0
COUGAR TRADING	044	TM	SS	5,000	59.76	n/a	n/a	250.00	5.0
COUGAR TRADING	044	UA	S	5,000	15.23	n/a	13-Feb	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	URBN	SS	25,000	16.99	n/a	30-Jan	1,250.00	5.0
WAGONHOUND/NIC	048	UYG	B	25,000	2.09	n/a	n/a	750.00	3.0
WYPER CAPITAL	044	V	B	40,000	52.90	n/a	13-Feb	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	237	WAG	B	25,000	22.98	n/a	n/a	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	WEC	S	4,000	36.78	n/a	n/a	160.00	4.0
BUCK CAPITAL MGMT	001	WEN	B	20,000	4.93	n/a	24-Apr	600.00	3.0
TROUBH PART	067	WEN	S	50,000	4.65	n/a	24-Apr	2,500.00	5.0
THIRD POINT MGMT	044	WFC	SS	150,000	13.81	n/a	n/a	6,000.00	4.0
BUCK CAPITAL MGMT	001	WSM	SS	150,000	9.48	n/a	n/a	4,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	WU	S	19,400	11.54	n/a	n/a	776.00	4.0

TOTAL (Trade Date):

130,277.79

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	ABX	B	72,000	26.53	n/a	n/a	3600.00 5.0
AO,CRT	03/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	ABX	B	72,000	26.53	n/a	n/a	2880.00 4.0
AO,CXL	03/10	LISTED ERR (LISTED ERR)	012	AMX	S	1,200	25.31	n/a	n/a	60.00 5.0
AO,	03/10	EVERCORE WEALTH MGMT (EVER835085)	012	AMX	S	1,200	25.31	n/a	n/a	60.00 5.0
AO,	03/10	LISTED ERR (LISTED ERR)	099	BA	B	16,200	31.76	n/a	n/a	0.00 0.0
AO,CXL	03/10	EPOCH INV MGMT (EPOCEPERR)	099	BA	B	16,200	31.76	n/a	n/a	0.00 0.0
AO,CXL	03/11	JP MORGAN VENTURES (JPMVJPM)	046	CHIC	B	40,000	6.55	n/a	n/a	2000.00 5.0
AO,	03/11	JP MORGAN VENTURES (JPMVJPM)	046	CHIC	B	40,000	6.55	n/a	n/a	1200.00 3.0
AO,CXL	03/10	OTC ERROR (OTC ERROR)	099	SLGN	B	17,700	47.39	n/a	n/a	0.00 0.0
AO,CRT	03/10	LISTED ERR (LISTED ERR)	099	SLGN	B	17,700	47.39	n/a	n/a	0.00 0.0
AO,CXL	03/10	OTC ERROR (OTC ERROR)	099	SLGN	S	17,700	47.08	n/a	n/a	0.00 0.0
AO,CRT	03/10	LISTED ERR (LISTED ERR)	099	SLGN	S	17,700	47.08	n/a	n/a	0.00 0.0
AO,CXL	03/11	SOUTH POINT CAP (SOPOUBS MA)	067	TCK	SS	100,000	3.55	n/a	n/a	4000.00 4.0
AO,CRT	03/11	SOUTH POINT CAP (SOPOUBS MA)	067	TCK	SS	100,000	3.55	n/a	n/a	5000.00 5.0
AO,CXL	03/10	MTB INV ADV (MTBISMCAP)	034	UA	S	45,000	13.78	n/a	13-Feb	1800.00 4.0
AO,CRT	03/10	MTB INV ADV (MTBISMCAP)	034	UA	S	45,000	13.78	n/a	13-Feb	2250.00 5.0
TOTAL (AO, CXL, CRT) :										-70.00

TOTAL (Trade Date) :

130,277.79

TOTAL (AO, CXL, CRT):

-70.00

TOTAL (RUN DATE) / NFS:

130,207.79

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