



## Daily Compliance Activity Report

Trade Date: 02/24/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DC CAPITAL	044	AA	B	100,000	6.32	n/a	n/a	3,000.00	3.0
BABSON/OFI/TRINITY	039	AEO	B	600	9.48	n/a	6-Feb	24.00	4.0
BMO NESBITT BURNS	041	ALV	B	25,000	16.11	30-Jan	4-Feb	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ALV</b>	<b>SS</b>	<b>50,000</b>	<b>15.56</b>	<b>30-Jan</b>	<b>4-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BELLMAN WALTERSS CAP</b>	<b>091</b>	<b>AMP</b>	<b>B</b>	<b>30,000</b>	<b>16.58</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>5.0</b>
CASTLE ARK	031	AMZN	B	72,240	65.67	n/a	n/a	4,334.40	6.0
1798 CAPITAL MGMT	040	ANF	B	15,000	22.40	n/a	6-Feb	750.00	5.0
BALYASNY ASSET MGMT	044	ANN	SS	20,000	6.43	n/a	30-Jan	800.00	4.0
BMO NESBITT BURNS	041	AN	B	49,458	10.12	30-Jan	30-Jan	2,472.90	5.0
<b>ROTHSCHILD ASSET</b>	<b>098</b>	<b>AOC</b>	<b>S</b>	<b>14,830</b>	<b>39.44</b>	<b>n/a</b>	<b>n/a</b>	<b>667.35</b>	<b>4.5</b>
1798 CAPITAL MGMT	040	ARO	B	35,000	22.99	n/a	6-Feb	1,750.00	5.0
BALYASNY ASSET MGMT	044	ARO	S	15,000	23.48	n/a	6-Feb	750.00	5.0
THE BOSTON COMPANY	401	ARO	B	32,000	23.05	n/a	6-Feb	1,280.00	4.0
STELLIAM INV ADV	040	ATVI	SS	25,000	9.93	n/a	n/a	750.00	3.0
WHITE PINE CAPITAL	030	BEBE	S	5,800	5.71	n/a	n/a	290.00	5.0
RBC CAPITAL MARKETS	034	BKC	B	10,000	20.34	6-Feb	6-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JAT CAPITAL MANAGEMENT	041	BRCM	S	107,700	15.87	n/a	n/a	4,308.00	4.0
CATAPULT	040	BUCY	B	50,000	13.23	n/a	24-Feb	2,500.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	5,000	17.38	27-Jan	13-Feb	250.00	5.0
1798 CAPITAL MGMT	040	BYI	C	10,000	20.04	n/a	n/a	500.00	5.0
MERRILL ASSET	032	CBI	S	21,000	7.44	n/a	n/a	945.00	4.5
OPPENHEIMER MGMT.	231	CIT	B	5,000	1.92	22-Jan	24-Feb	200.00	4.0
BUCK CAPITAL MGMT	001	CLX	B	21,900	48.69	10-Feb	23-Feb	876.00	4.0
BUCK CAPITAL MGMT	001	COH	B	200,000	13.99	9-Jan	22-Jan	8,000.00	4.0
AVESTA CAP	229	CVS	S	100,000	26.72	n/a	n/a	5,000.00	5.0
CENTURION PARTNERS	041	DAI	B	20,000	23.36	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	DIS	B	50,000	17.51	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	DRI	SS	56,100	28.17	19-Dec	26-Jan	2,244.00	4.0
ROTHSCHILD ASSET	040	EPR	S	38,930	15.79	n/a	n/a	1,751.85	4.5
UBS OCONNOR	031	EV	C	26,610	15.52	9-Jan	20-Feb	798.30	3.0
ADALY INV MGMT	067	EWZ	S	12,600	32.28	n/a	n/a	630.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	038	EXH	B	10,000	18.92	27-Jan	3-Feb	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>B</b>	<b>130,000</b>	<b>27.34</b>	<b>7-Jan</b>	<b>4-Feb</b>	<b>5,200.00</b>	<b>4.0</b>
HOOVER INV. MGMT	033	FDS	B	5,000	38.88	n/a	n/a	200.00	4.0
HOOVER INV. MGMT	033	FII	B	13,900	20.47	13-Nov	20-Feb	556.00	4.0
1798 CAPITAL MGMT	040	FLO	SS	15,000	22.36	n/a	n/a	750.00	5.0
COUGAR TRADING	044	FL	S	10,000	7.71	7-Oct	13-Feb	400.00	4.0
NUMERIC	060	FL	S	52,700	7.89	7-Oct	13-Feb	1,581.00	3.0
DC CAPITAL	044	GE	B	50,000	9.18	n/a	n/a	1,500.00	3.0
WHITE PINE CAPITAL	030	GGG	S	1,500	17.96	n/a	n/a	75.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>35,000</b>	<b>6.75</b>	<b>11-Dec</b>	<b>12-Feb</b>	<b>1,050.00</b>	<b>3.0</b>
WHITE PINE CAPITAL	030	GIL	S	3,000	7.13	11-Dec	12-Feb	150.00	5.0
WHITE PINE CAPITAL	030	GIS	S	1,000	55.43	n/a	n/a	50.00	5.0
MATLIN PATTERSON	046	GST	B	65,900	0.50	n/a	n/a	659.00	1.0
BMO NESBITT BURNS	041	HAR	B	33,800	10.40	5-Feb	5-Feb	1,690.00	5.0
BENNETT LAWRENCE	045	HIG	SS	55,850	6.35	n/a	n/a	2,513.25	4.5
WHITE PINE CAPITAL	030	HON	S	1,100	29.02	n/a	30-Jan	55.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	HRL	S	1,800	31.97	n/a	n/a	90.00	5.0
WHITE PINE CAPITAL	030	IFF	S	750	26.68	21-Jan	5-Feb	37.50	5.0
BABSON/OFI/TRINITY	039	IGT	B	1,300	9.35	n/a	23-Jan	52.00	4.0
DC CAPITAL	044	IP	B	100,000	6.47	22-Sep	29-Jan	3,000.00	3.0
MILLENIUM PARTNERS	028	IP	SS	15,000	6.04	22-Sep	29-Jan	750.00	5.0
SONTERRA CAP	041	IP	SS	50,000	6.08	22-Sep	29-Jan	1,500.00	3.0
SANDLER O'NEILL ASSET	031	IVZ	B	20,000	11.23	9-Jan	20-Feb	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	B	50,000	11.31	9-Jan	20-Feb	1,750.00	3.5
CENTURION GLOBAL MGMT LL	041	JCG	B	9,900	10.85	n/a	30-Jan	297.00	3.0
CAXTON PART	040	JPM	B	22,352	20.30	16-Jan	24-Feb	782.34	3.5
TRELLUS PARTNERS LP	028	JWN	SS	15,000	13.04	20-Feb	24-Feb	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>30,000</b>	<b>35.48</b>	<b>n/a</b>	<b>6-Feb</b>	<b>1,200.00</b>	<b>4.0</b>
WHITE PINE CAPITAL	030	KSS	S	2,650	35.63	n/a	6-Feb	132.50	5.0
MERRILL ASSET	032	LEN	S	211,000	7.61	n/a	n/a	9,495.00	4.5
FORD FDN.	032	LLY	S	70,000	32.69	n/a	n/a	3,500.00	5.0
BABSON/OFI/TRINITY	039	LL	B	3,600	8.86	n/a	n/a	144.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LVS</b>	<b>B</b>	<b>20,000</b>	<b>2.59</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>2.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	MCO	S	23,336	17.91	n/a	n/a	816.76	3.5
BARROW HANLEY MEWHINNEY	031	MJN	B	69,500	27.53	n/a	n/a	2,780.00	4.0
FORD FDN.	032	MRK	S	45,000	27.80	n/a	n/a	2,250.00	5.0
PZENA INV ADV	044	MSFT	S	88,300	17.14	n/a	3-Apr	3,090.50	3.5
<b>MKT MAKER</b>	<b>099</b>	<b>MSFT</b>	<b>S</b>	<b>1</b>	<b>16.72</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>50,000</b>	<b>7.71</b>	<b>n/a</b>	<b>6-Feb</b>	<b>1,500.00</b>	<b>3.0</b>
NEWCASTLE FUNDS	033	M	SS	38,700	7.93	n/a	6-Feb	1,548.00	4.0
HOOVER INV. MGMT	033	NITE	B	18,200	18.03	n/a	n/a	728.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NKE</b>	<b>B</b>	<b>20,000</b>	<b>42.41</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	NP	B	15,000	5.51	16-Dec	20-Jan	600.00	4.0
WHITE PINE CAPITAL	030	NWY	S	20,200	2.32	n/a	30-Jan	404.00	2.0
GRANITE CAPITAL	045	OCN	S	50,000	9.10	n/a	n/a	2,500.00	5.0
OPPENHEIMER MGMT.	231	OMX	S	10,000	3.93	n/a	15-Apr	200.00	2.0
HOOVER INV. MGMT	033	ORLY	B	4,800	32.75	n/a	n/a	192.00	4.0
WHITE PINE CAPITAL	030	PEP	S	2,850	51.38	n/a	n/a	142.50	5.0
BENCHMARK	028	PETM	B	10,000	19.07	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BELLMAN WALTERSS CAP</b>	<b>091</b>	<b>PFG</b>	<b>SS</b>	<b>50,000</b>	<b>9.61</b>	<b>n/a</b>	<b>n/a</b>	<b>2,500.00</b>	<b>5.0</b>
NEUBERGER BERMAN	036	PLD	S	110,000	6.38	n/a	n/a	3,300.00	3.0
T. ROWE PRICE	033	PM	B	51,200	34.78	n/a	n/a	2,048.00	4.0
BULL PATH CAPITAL	044	QQQQ	S	150,000	28.66	n/a	n/a	3,000.00	2.0
ROTHSCHILD ASSET	040	Q	B	130,120	3.36	n/a	n/a	5,855.40	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>20,000</b>	<b>34.70</b>	<b>n/a</b>	<b>5-Feb</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	RL	B	25,000	34.93	n/a	5-Feb	1,250.00	5.0
COUGAR TRADING	044	ROST	S	5,000	30.32	n/a	n/a	250.00	5.0
HOOVER INV. MGMT	033	ROST	B	7,000	30.37	n/a	n/a	280.00	4.0
WHITE PINE CAPITAL	030	SGP	S	1,950	17.99	n/a	n/a	97.50	5.0
COUGAR TRADING	044	SHW	B	10,000	45.50	24-Feb	24-Feb	500.00	5.0
COUGAR TRADING	044	SHW	S	5,000	44.33	24-Feb	24-Feb	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>40,000</b>	<b>7.09</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,600.00</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	040	SLM	B	72,122	7.63	22-Jan	19-Feb	3,606.10	5.0
DECADE CAPITAL PARTNERS	040	STZ	SS	14,500	13.72	n/a	n/a	435.00	3.0
TRELLUS PARTNERS LP	028	SUP	C	3,000	8.59	23-Dec	12-Jan	90.00	3.0
1798 CAPITAL MGMT	040	SWY	C	50,000	20.38	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOOVER INV. MGMT	033	TAP	B	17,600	36.06	n/a	n/a	704.00	4.0
BMO NESBITT BURNS	041	TIN	SS	50,000	4.97	5-Dec	28-Jan	2,500.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	172,100	4.24	5-Dec	28-Jan	5,163.00	3.0
MILLENIUM PARTNERS	028	TIN	B	15,000	4.24	5-Dec	28-Jan	750.00	5.0
THE JAY GOLDMAN	034	TJX	B	25,000	21.09	n/a	6-Feb	1,000.00	4.0
SENATOR INVESTMENT GROUP	036	TRA	S	30,000	24.88	n/a	n/a	1,200.00	4.0
S.A.C.HABER/BOBBY	044	TROW	B	38,500	22.88	n/a	20-Feb	1,925.00	5.0
DIAMONDBACK CAP MGMT	232	TYC	S	35,000	20.93	12-Nov	3-Feb	1,750.00	5.0
SANDELL ADV	040	UYG	S	250,000	2.39	n/a	n/a	7,500.00	3.0
DAVIDSON KEMPNER ADVISOR	040	VAL	SS	20,000	17.80	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>B</b>	<b>50,000</b>	<b>51.80</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
1798 CAPITAL MGMT	040	WAG	S	5,000	24.14	n/a	n/a	250.00	5.0
HIGHBRIDGE/MS OLDS	041	WFC	B	50,000	12.98	n/a	n/a	2,000.00	4.0
GALT INVESTMENT	041	WRC	B	20,000	20.74	7-Nov	27-Jan	1,000.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>XOM</b>	<b>S</b>	<b>920</b>	<b>69.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION GLOBAL MGMT LL	041	XRX	B	11,600	5.65	n/a	n/a	348.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	YUM	B	30,000	28.09	n/a	5-Feb	1,200.00	4.0
POST ROAD CAP	045	YUM	S	18,260	28.00	n/a	5-Feb	547.80	3.0
COUGAR TRADING	044	ZQK	S	10,000	1.44	19-Dec	27-Jan	200.00	2.0
<b>TOTAL (Trade Date) :</b>								<b>172,182.95</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/23	LISTED ERR (LISTED ERR)	099	AXP	S	400	12.25	n/a	24-Feb	0.00 0.0
AO,	02/23	LISTED ERR (LISTED ERR)	099	AXP	SS	400	12.25	n/a	24-Feb	0.00 0.0
AO,CXL	02/23	LISTED ERR (LISTED ERR)	099	AXP	SS	400	12.31	n/a	24-Feb	0.00 0.0
AO,CRT	02/20	VIKING GLOBAL (VIKIMERR)	030	FII	SS	206,700	19.64	13-Nov	20-Feb	10335.00 5.0
AO,CXL	02/20	VIKING GLOBAL (VIKIGOLDPB)	030	FII	SS	206,700	19.64	13-Nov	20-Feb	10335.00 5.0
AO,CXL	02/23	PERRY PARTNERS (PERRGOLDMA)	041	NOK	SS	195,000	10.32	n/a	n/a	9750.00 5.0
AO,CRT	02/23	PERRY PARTNERS (PERRGOLDMA)	041	NOK	SS	195,000	10.32	n/a	n/a	7800.00 4.0
AO,CXL	02/23	CUMBERLAND (CUMBMS04)	038	TBT	B	10,000	46.02	n/a	n/a	400.00 4.0
AO,CRT	02/23	CUMBERLAND (CUMBMS04)	038	TBT	B	10,000	46.02	n/a	n/a	300.00 3.0
AO,	02/20	LISTED ERR (LISTED ERR)	040	XOM	B	290	71.40	n/a	n/a	0.00 0.0
AO,	02/20	LISTED ERR (LISTED ERR)	040	XOM	B	370	71.40	n/a	n/a	0.00 0.0
AO,	02/20	LISTED ERR (LISTED ERR)	040	XOM	B	260	71.40	n/a	n/a	0.00 0.0
AO,CXL	02/20	ROTHSCHILD ASSET (ROTH100170)	040	XOM	B	370	71.40	n/a	n/a	16.65 4.5
AO,CXL	02/20	ROTHSCHILD ASSET (ROTH100150)	040	XOM	B	260	71.40	n/a	n/a	11.70 4.5
AO,CXL	02/20	ROTHSCHILD ASSET (ROTH100160)	040	XOM	B	290	71.40	n/a	n/a	13.05 4.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,091.40</b>

TOTAL (Trade Date):	172,182.95
TOTAL (AO, CXL, CRT):	-2,091.40

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

**170,091.55**

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