



Daily Compliance Activity Report

Trade Date: 03/27/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/MARK GRONET	030	AHPI	S	25,000	3.29	n/a	n/a	750.00	3.0
TRELLUS PARTNERS LP	028	ALV	SS	20,000	17.67	12-Mar	12-Mar	1,000.00	5.0
S.A.C. CAP/ORENSTEIN	044	BA	B	50,000	37.74	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	BBY	B	30,000	38.18	n/a	27-Jul	1,200.00	4.0
SENATOR INVESTMENT GROUP	036	BEZ	S	20,000	16.01	n/a	n/a	800.00	4.0
COUGAR TRADING	044	BIG	B	5,000	21.85	4-Mar	6-Mar	250.00	5.0
SANDLER O'NEILL ASSET	031	BK	B	25,000	28.08	21-Jan	27-Mar	1,250.00	5.0
NATIONAL BK OF CAN	031	BLK	B	5,000	129.74	4-Mar	27-Mar	200.00	4.0
STRAUSS ASSET MGMT	040	CIEN	B	3,500	8.04	n/a	22-Mar	140.00	4.0
BUCK CAPITAL MGMT	001	CMG	SS	20,000	69.45	23-Oct	12-Feb	800.00	4.0
DECADE CAPITAL PARTNERS	040	CRK	SS	20,000	31.72	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	CYN	C	5,000	35.10	n/a	n/a	250.00	5.0
DECADE CAPITAL PARTNERS	040	DO	SS	50,000	64.94	n/a	n/a	2,500.00	5.0
AVESTA CAP	229	DRI	S	100,000	36.18	19-Mar	19-Mar	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FO	SS	30,000	26.84	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	19.24	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	20.71	n/a	n/a	800.00	4.0
BENCHMARK	028	GHL	SS	5,000	73.47	n/a	n/a	250.00	5.0
FRONTPOINT/COPIA-ANDREW	031	HAL	SS	123,000	16.56	n/a	n/a	4,305.00	3.5
FINANCIAL STOCK LP	028	HOT	SS	50,000	14.19	n/a	n/a	2,000.00	4.0
FRONTPOINT/COPIA-ANDREW	031	HP	B	33,800	24.41	n/a	n/a	1,183.00	3.5
BALYASNY ASSET MGMT	044	IVZ	C	10,000	15.18	24-Mar	27-Mar	500.00	5.0
NATIONAL BK OF CAN	031	IVZ	S	45,000	15.19	24-Mar	27-Mar	1,800.00	4.0
CRAMER ROSENTHAL/SCOTT	012	JACK	B	1,100	23.57	n/a	n/a	44.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	10,000	42.83	17-Mar	17-Mar	400.00	4.0
THE JAY GOLDMAN	034	KSS	B	20,000	43.23	17-Mar	17-Mar	800.00	4.0
BUCK CAPITAL MGMT	001	MHK	SS	30,000	32.08	n/a	n/a	1,200.00	4.0
MATRIX ASSET ADV.	036	MHP	S	7,000	24.55	n/a	n/a	280.00	4.0
MOORE CAPITAL	036	MHP	B	196,824	24.74	n/a	n/a	7,872.96	4.0
TRELLUS PARTNERS LP	028	MTW	SS	30,000	4.64	n/a	17-Feb	900.00	3.0
DECADE CAPITAL PARTNERS	040	NE	B	100,000	24.99	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	NR	B	11,900	2.71	n/a	n/a	0.00	0.0
LISTED ERR	099	NR	S	11,900	2.70	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	S	10,000	3.35	n/a	30-Jan	500.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	5,500	10.01	n/a	18-Feb	165.00	3.0
COUGAR TRADING	044	PLCE	B	5,000	23.38	19-Mar	19-Mar	250.00	5.0
CADIAN CAPITAL	067	PVH	S	35,000	23.62	27-Mar	27-Mar	1,400.00	4.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	3,300	6.11	12-Feb	12-Feb	99.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	43.78	n/a	5-Feb	2,000.00	4.0
COUGAR TRADING	044	RL	B	7,500	43.84	n/a	5-Feb	375.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SJM	B	2,100	36.67	n/a	n/a	84.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	6.80	n/a	13-Mar	600.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SLM	B	100,000	4.13	27-Feb	25-Mar	5,000.00	5.0
SOUTH POINT CAP	067	TCK	B	50,000	6.14	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	TGT	SS	10,000	33.70	25-Feb	20-Mar	500.00	5.0
BMO NESBITT BURNS	041	TIN	SS	50,000	5.36	5-Dec	20-Mar	2,500.00	5.0
SCOPUS FUND	041	TIN	S	50,000	5.36	5-Dec	20-Mar	2,500.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	70,000	3.56	n/a	30-Jan	1,400.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	VAL	S	20,000	20.33	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	VNO	S	100,000	34.98	n/a	n/a	4,000.00	4.0
MOORE CAPITAL	036	WMT	B	100,000	52.75	10-Oct	6-Mar	4,000.00	4.0
COUGAR TRADING	044	WRC	B	5,000	24.64	27-Mar	27-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	100,000	1.33	12-Mar	12-Mar	2,000.00	2.0
TOTAL (Trade Date):								77,597.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/26	FARALLON CAP MGMT (FARABULK F)	040	AMTD	B	62,500	14.59	n/a	n/a	2500.00 4.0
AO,CRT	03/26	FARALLON CAP MGMT (FARABULK F)	040	AMTD	B	62,500	14.59	n/a	n/a	1875.00 3.0
AO,	03/26	LISTED ERR (LISTED ERR)	099	BK	SS	25,000	28.30	21-Jan	27-Mar	0.00 0.0
AO,	03/26	BMO NESBITT BURNS (BMONFLIP)	041	BK	SS	25,000	28.30	21-Jan	27-Mar	1250.00 5.0
AO,	03/26	LISTED ERR (LISTED ERR)	099	BWA	SS	5,900	21.66	12-Mar	19-Mar	0.00 0.0
AO,CRT	03/26	LISTED ERR (LISTED ERR)	097	BWA	SS	5,900	21.40	12-Mar	19-Mar	0.00 0.0
AO,	03/26	MANNING & NAPIER (MANNMJ0405)	034	PCAR	S	190	27.19	25-Mar	25-Mar	5.70 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ4472)	034	PCAR	S	11,620	27.19	25-Mar	25-Mar	348.60 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ0413)	034	PCAR	S	1,330	27.19	25-Mar	25-Mar	39.90 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ6268)	034	PCAR	S	60	27.19	25-Mar	25-Mar	1.80 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3898)	034	PCAR	S	110	27.19	25-Mar	25-Mar	3.30 3.0
AO,	03/26	MANNING & NAPIER (MANNCD1828)	034	PCAR	S	70	27.19	25-Mar	25-Mar	2.10 3.0
AO,	03/26	MANNING & NAPIER (MANNMU5158)	034	PCAR	S	450	27.19	25-Mar	25-Mar	13.50 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2370)	034	PCAR	S	390	27.19	25-Mar	25-Mar	11.70 3.0
AO,	03/26	MANNING & NAPIER (MANNCD6493)	034	PCAR	S	140	27.19	25-Mar	25-Mar	4.20 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2371)	034	PCAR	S	260	27.19	25-Mar	25-Mar	7.80 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ9899)	034	PCAR	S	190	27.19	25-Mar	25-Mar	5.70 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ9898)	034	PCAR	S	690	27.19	25-Mar	25-Mar	20.70 3.0
AO,	03/26	MANNING & NAPIER (MANNCD1219)	034	PCAR	S	150	27.19	25-Mar	25-Mar	4.50 3.0
AO,	03/26	MANNING & NAPIER (MANNJS0196)	034	PCAR	S	70	27.19	25-Mar	25-Mar	2.10 3.0
AO,	03/26	MANNING & NAPIER (MANNCD0740)	034	PCAR	S	60	27.19	25-Mar	25-Mar	1.80 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ0287)	034	PCAR	S	120	27.19	25-Mar	25-Mar	3.60 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ4227)	034	PCAR	S	170	27.19	25-Mar	25-Mar	5.10 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ8750)	034	PCAR	S	250	27.19	25-Mar	25-Mar	7.50 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/26	MANNING & NAPIER (MANNGR1891)	034	PCAR	S	50	27.19	25-Mar	25-Mar	1.50 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ1979)	034	PCAR	S	2,960	27.19	25-Mar	25-Mar	88.80 3.0
AO,	03/26	MANNING & NAPIER (MANNCD0119)	034	PCAR	S	890	27.19	25-Mar	25-Mar	26.70 3.0
AO,	03/26	MANNING & NAPIER (MANNCD0118)	034	PCAR	S	190	27.19	25-Mar	25-Mar	5.70 3.0
AO,	03/26	MANNING & NAPIER (MANNGR3017)	034	PCAR	S	370	27.19	25-Mar	25-Mar	11.10 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3875)	034	PCAR	S	13,390	27.19	25-Mar	25-Mar	401.70 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ1203)	034	PCAR	S	570	27.19	25-Mar	25-Mar	17.10 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ0125)	034	PCAR	S	200	27.19	25-Mar	25-Mar	6.00 3.0
AO,	03/26	MANNING & NAPIER (MANNGR4755)	034	PCAR	S	180	27.19	25-Mar	25-Mar	5.40 3.0
AO,	03/26	MANNING & NAPIER (MANNJS0027)	034	PCAR	S	180	27.19	25-Mar	25-Mar	5.40 3.0
AO,	03/26	MANNING & NAPIER (MANNCD0094)	034	PCAR	S	170	27.19	25-Mar	25-Mar	5.10 3.0
AO,	03/26	MANNING & NAPIER (MANNCD0092)	034	PCAR	S	950	27.19	25-Mar	25-Mar	28.50 3.0
AO,	03/26	MANNING & NAPIER (MANNCD5790)	034	PCAR	S	30	27.19	25-Mar	25-Mar	0.90 3.0
AO,	03/26	MANNING & NAPIER (MANNCD5801)	034	PCAR	S	170	27.19	25-Mar	25-Mar	5.10 3.0
AO,	03/26	MANNING & NAPIER (MANNCD8515)	034	PCAR	S	60	27.19	25-Mar	25-Mar	1.80 3.0
AO,	03/26	MANNING & NAPIER (MANNGR6850)	034	PCAR	S	640	27.19	25-Mar	25-Mar	19.20 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ4591)	034	PCAR	S	50	27.19	25-Mar	25-Mar	1.50 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3477)	034	PCAR	S	100	27.19	25-Mar	25-Mar	3.00 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3474)	034	PCAR	S	520	27.19	25-Mar	25-Mar	15.60 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3466)	034	PCAR	S	420	27.19	25-Mar	25-Mar	12.60 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3465)	034	PCAR	S	410	27.19	25-Mar	25-Mar	12.30 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3464)	034	PCAR	S	410	27.19	25-Mar	25-Mar	12.30 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3463)	034	PCAR	S	410	27.19	25-Mar	25-Mar	12.30 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3462)	034	PCAR	S	410	27.19	25-Mar	25-Mar	12.30 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3461)	034	PCAR	S	410	27.19	25-Mar	25-Mar	12.30 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ0122)	034	PCAR	S	260	27.19	25-Mar	25-Mar	7.80 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ0119)	034	PCAR	S	90	27.19	25-Mar	25-Mar	2.70 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ0101)	034	PCAR	S	170	27.19	25-Mar	25-Mar	5.10 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ1882)	034	PCAR	S	150	27.19	25-Mar	25-Mar	4.50 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ1877)	034	PCAR	S	14,050	27.19	25-Mar	25-Mar	421.50 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/26	MANNING & NAPIER (MANNCD6433)	034	PCAR	S	340	27.19	25-Mar	25-Mar	10.20 3.0
AO,	03/26	MANNING & NAPIER (MANNGR6379)	034	PCAR	S	210	27.19	25-Mar	25-Mar	6.30 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ6400)	034	PCAR	S	310	27.19	25-Mar	25-Mar	9.30 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2040)	034	PCAR	S	100	27.19	25-Mar	25-Mar	3.00 3.0
AO,	03/26	MANNING & NAPIER (MANNCD1282)	034	PCAR	S	580	27.19	25-Mar	25-Mar	17.40 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ1875)	034	PCAR	S	2,480	27.19	25-Mar	25-Mar	74.40 3.0
AO,CXL	03/26	MANNING & NAPIER (MANNOMNIBU)	034	PCAR	S	750,000	27.19	25-Mar	25-Mar	22500.00 3.0
AO,	03/26	MANNING & NAPIER (MANNOMNIBU)	034	PCAR	S	549,589	27.19	25-Mar	25-Mar	16487.67 3.0
AO,	03/26	MANNING & NAPIER (MANNMU2030)	034	PCAR	S	101,160	27.19	25-Mar	25-Mar	3034.80 3.0
AO,	03/26	MANNING & NAPIER (MANNMU2020)	034	PCAR	S	29,901	27.19	25-Mar	25-Mar	897.03 3.0
AO,	03/26	MANNING & NAPIER (MANNGR5293)	034	PCAR	S	2,430	27.19	25-Mar	25-Mar	72.90 3.0
AO,	03/26	MANNING & NAPIER (MANNGR1890)	034	PCAR	S	250	27.19	25-Mar	25-Mar	7.50 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2372)	034	PCAR	S	180	27.19	25-Mar	25-Mar	5.40 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ8326)	034	PCAR	S	150	27.19	25-Mar	25-Mar	4.50 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ0418)	034	PCAR	S	80	27.19	25-Mar	25-Mar	2.40 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ0286)	034	PCAR	S	130	27.19	25-Mar	25-Mar	3.90 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ0447)	034	PCAR	S	20	27.19	25-Mar	25-Mar	0.60 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2307)	034	PCAR	S	130	27.19	25-Mar	25-Mar	3.90 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2389)	034	PCAR	S	180	27.19	25-Mar	25-Mar	5.40 3.0
AO,	03/26	MANNING & NAPIER (MANNCD2305)	034	PCAR	S	120	27.19	25-Mar	25-Mar	3.60 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3892)	034	PCAR	S	3,450	27.19	25-Mar	25-Mar	103.50 3.0
AO,	03/26	MANNING & NAPIER (MANNCD7190)	034	PCAR	S	940	27.19	25-Mar	25-Mar	28.20 3.0
AO,	03/26	MANNING & NAPIER (MANNMJ3894)	034	PCAR	S	1,550	27.19	25-Mar	25-Mar	46.50 3.0
AO,	03/26	MANNING & NAPIER (MANNGR4985)	034	PCAR	S	190	27.19	25-Mar	25-Mar	5.70 3.0
AO,	03/26	MANNING & NAPIER (MANNJS0191)	034	PCAR	S	220	27.19	25-Mar	25-Mar	6.60 3.0
AO,	03/26	MANNING & NAPIER (MANNEQ0285)	034	PCAR	S	130	27.19	25-Mar	25-Mar	3.90 3.0

TOTAL (AO, CXL, CRT) :

625.00

TOTAL (Trade Date):	77,597.96
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TOTAL (AO, CXL, CRT):	625.00
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TOTAL (RUN DATE) / NFS:	78,222.96
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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