



Daily Compliance Activity Report

Trade Date: 02/27/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	ANN	SS	100,000	6.47	n/a	30-Jan	3,000.00	3.0
PECONIC PARTNERS	036	AN	S	300,000	10.19	30-Jan	30-Jan	15,000.00	5.0
CASTLE ARK	031	APC	B	115,000	35.41	3-Feb	11-Feb	6,900.00	6.0
RBC CAPITAL MARKETS	034	ARO	S	20,000	23.31	n/a	6-Feb	800.00	4.0
MERRILL ASSET	032	BKC	B	14,200	21.55	6-Feb	27-Feb	639.00	4.5
PRINCIPLE CAPITAL	040	BLK	SS	29,400	98.17	11-Feb	26-Feb	1,176.00	4.0
RAIL-SPLITTER	031	BLK	SS	13,400	99.32	11-Feb	26-Feb	670.00	5.0
MARINER/TRICADIA	041	BWA	B	10,000	17.10	27-Jan	13-Feb	400.00	4.0
WASHINGTON ASSET	048	COST	B	4,000	42.90	n/a	27-Jul	200.00	5.0
AMBER CAPITAL	046	C	B	25,000	1.53	n/a	27-Feb	375.00	1.5
AVESTA CAP	229	EIX	SS	100,000	26.82	n/a	29-Jun	5,000.00	5.0
CUMBERLAND	038	EXH	B	5,000	17.76	27-Jan	26-Feb	200.00	4.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	27.19	7-Jan	4-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	GES	S	180,000	16.03	n/a	n/a	7,200.00	4.0
US BANCORP	030	GOOG	B	19,353	339.99	n/a	n/a	967.65	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	GS	B	40,560	91.44	15-Sep	26-Feb	2,433.60	6.0
US BANCORP	030	IBM	B	49,095	92.02	n/a	n/a	2,454.75	5.0
BUCK CAPITAL MGMT	001	JNY	B	100,000	2.78	n/a	11-Feb	3,000.00	3.0
HIGHBRIDGE CAPITAL	038	JOYG	S	65,000	17.60	26-Jan	26-Jan	3,250.00	5.0
COUGAR TRADING	044	KSS	S	5,000	34.55	n/a	27-Feb	250.00	5.0
HIGHFIELDS CAP MGMT	039	MOT	B	150,000	3.55	n/a	n/a	3,000.00	2.0
BUCK CAPITAL MGMT	001	MVL	SS	20,000	25.48	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	5.32	16-Dec	20-Jan	400.00	4.0
MATRIX ASSET ADV.	036	OMC	S	10,000	24.42	n/a	n/a	400.00	4.0
OZ MGMT	040	PDE	S	250,000	17.33	n/a	n/a	7,500.00	3.0
JP MORGAN VENTURES	046	PLCE	B	30,000	18.19	6-Jan	6-Feb	1,500.00	5.0
US BANCORP	030	QCOM	B	47,080	33.96	n/a	n/a	2,354.00	5.0
EPOCH INV MGMT	030	SCG	B	4,450	30.25	n/a	n/a	178.00	4.0
EPOCH INV MGMT	030	SIMG	B	14,950	2.39	n/a	n/a	598.00	4.0
BABSON/OFI/TRINITY	039	SKX	B	2,100	6.53	n/a	13-Mar	84.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	B	40,000	6.48	n/a	13-Mar	1,200.00	3.0
EPOCH INV MGMT	030	SLGN	B	3,200	49.19	n/a	n/a	128.00	4.0
OZ MGMT	040	SLM	B	350,000	5.16	27-Feb	27-Feb	7,000.00	2.0
EPOCH INV MGMT	030	SPY	B	10,850	74.17	n/a	n/a	434.00	4.0
EPOCH INV MGMT	030	SUG	B	7,200	13.48	n/a	n/a	288.00	4.0
COUGAR TRADING	044	SUP	SS	15,000	10.18	27-Feb	27-Feb	750.00	5.0
MILLRACE FUND LP	028	SUP	SS	700	10.27	27-Feb	27-Feb	28.00	4.0
EPOCH INV MGMT	030	SWY	B	1,000	18.60	n/a	n/a	40.00	4.0
STG INVESTORS	041	TGT	B	25,000	28.56	25-Feb	25-Feb	1,000.00	4.0
PRINCIPLE CAPITAL	040	TIF	SS	97,600	19.23	n/a	30-Jan	2,928.00	3.0
EPOCH INV MGMT	030	TMO	B	2,150	36.54	n/a	n/a	86.00	4.0
EPOCH INV MGMT	030	VTR	B	800	21.49	n/a	n/a	32.00	4.0
EPOCH INV MGMT	030	WFR	B	900	14.96	n/a	n/a	36.00	4.0
EPOCH INV MGMT	030	WFT	B	900	10.69	n/a	n/a	36.00	4.0
EPOCH INV MGMT	030	WMI	B	3,700	27.05	n/a	n/a	148.00	4.0
MATRIX ASSET ADV.	036	WMT	S	5,000	49.88	10-Oct	18-Feb	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	WRC	S	7,800	21.96	27-Feb	27-Feb	390.00	5.0
BUCK CAPITAL MGMT	001	WYN	B	50,000	3.81	n/a	n/a	1,000.00	2.0
MERRILL ASSET	032	XRX	S	400,000	5.17	n/a	n/a	18,000.00	4.5
LISTED ERR	099	XRX	B	200	5.17	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	YHOO	B	51,350	13.00	n/a	n/a	2,054.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	1.32	19-Dec	27-Jan	500.00	1.0
TOTAL (Trade Date):								107,808.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/26	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	DTV	SS	6,000	21.16	n/a	4-Jan	300.00 5.0
AO,CRT	02/26	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	DTV	SS	6,000	21.16	n/a	4-Jan	240.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR22)	036	KR	S	216	20.44	n/a	n/a	8.64 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR21)	036	KR	S	300	20.44	n/a	n/a	12.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCALL01)	036	KR	S	131	20.44	n/a	n/a	5.24 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4470)	036	KR	S	380	20.44	n/a	n/a	15.20 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR19)	036	KR	S	407	20.44	n/a	n/a	16.28 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR18)	036	KR	S	226	20.44	n/a	n/a	9.04 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR17)	036	KR	S	237	20.44	n/a	n/a	9.48 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCBKON12)	036	KR	S	72	20.44	n/a	n/a	2.88 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCBKON8)	036	KR	S	99	20.44	n/a	n/a	3.96 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCBKON7)	036	KR	S	81	20.44	n/a	n/a	3.24 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC6800)	036	KR	S	1,061	20.44	n/a	n/a	42.44 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR14)	036	KR	S	130	20.44	n/a	n/a	5.20 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR11)	036	KR	S	723	20.44	n/a	n/a	28.92 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR8)	036	KR	S	258	20.44	n/a	n/a	10.32 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR7)	036	KR	S	417	20.44	n/a	n/a	16.68 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR5)	036	KR	S	327	20.44	n/a	n/a	13.08 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCBKON2)	036	KR	S	216	20.44	n/a	n/a	8.64 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4460)	036	KR	S	36,301	20.44	n/a	n/a	1452.04 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4430)	036	KR	S	12,574	20.44	n/a	n/a	502.96 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC2100)	036	KR	S	54,348	20.44	n/a	n/a	2173.92 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC1540)	036	KR	S	454	20.44	n/a	n/a	18.16 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC3950)	036	KR	S	163	20.44	n/a	n/a	6.52 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR2)	036	KR	S	960	20.44	n/a	n/a	38.40 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC6600)	036	KR	S	35,337	20.44	n/a	n/a	1413.48 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR1)	036	KR	S	143	20.44	n/a	n/a	5.72 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCATLT03)	036	KR	S	212	20.44	n/a	n/a	8.48 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC5370)	036	KR	S	13,344	20.44	n/a	n/a	533.76 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR69)	036	KR	S	179	20.44	n/a	n/a	7.16 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4690)	036	KR	S	560	20.44	n/a	n/a	22.40 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCATLT4)	036	KR	S	846	20.44	n/a	n/a	33.84 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4680)	036	KR	S	2,638	20.44	n/a	n/a	105.52 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR70)	036	KR	S	158	20.44	n/a	n/a	6.32 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4700)	036	KR	S	2,500	20.44	n/a	n/a	100.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR71)	036	KR	S	377	20.44	n/a	n/a	15.08 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4051)	036	KR	S	12,131	20.44	n/a	n/a	485.24 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR78)	036	KR	S	150	20.44	n/a	n/a	6.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC1681)	036	KR	S	3,970	20.44	n/a	n/a	158.80 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR64)	036	KR	S	538	20.44	n/a	n/a	21.52 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC1400)	036	KR	S	1,662	20.44	n/a	n/a	66.48 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR65)	036	KR	S	152	20.44	n/a	n/a	6.08 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC6630)	036	KR	S	2,057	20.44	n/a	n/a	82.28 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR66)	036	KR	S	237	20.44	n/a	n/a	9.48 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLNC01)	036	KR	S	1,978	20.44	n/a	n/a	79.12 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR68)	036	KR	S	158	20.44	n/a	n/a	6.32 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLNC02)	036	KR	S	1,075	20.44	n/a	n/a	43.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCATLT02)	036	KR	S	275	20.44	n/a	n/a	11.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR26)	036	KR	S	296	20.44	n/a	n/a	11.84 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC3940)	036	KR	S	354	20.44	n/a	n/a	14.16 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC6810)	036	KR	S	407	20.44	n/a	n/a	16.28 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCLBR60)	036	KR	S	221	20.44	n/a	n/a	8.84 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR28)	036	KR	S	433	20.44	n/a	n/a	17.32 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR61)	036	KR	S	174	20.44	n/a	n/a	6.96 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR29)	036	KR	S	287	20.44	n/a	n/a	11.48 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCBRO062)	036	KR	S	147	20.44	n/a	n/a	5.88 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR31)	036	KR	S	142	20.44	n/a	n/a	5.68 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR59)	036	KR	S	261	20.44	n/a	n/a	10.44 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR24)	036	KR	S	157	20.44	n/a	n/a	6.28 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCL0058)	036	KR	S	306	20.44	n/a	n/a	12.24 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR25)	036	KR	S	354	20.44	n/a	n/a	14.16 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB052)	036	KR	S	117	20.44	n/a	n/a	4.68 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR30)	036	KR	S	386	20.44	n/a	n/a	15.44 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB053)	036	KR	S	143	20.44	n/a	n/a	5.72 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB054)	036	KR	S	120	20.44	n/a	n/a	4.80 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB051)	036	KR	S	185	20.44	n/a	n/a	7.40 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCLB050)	036	KR	S	145	20.44	n/a	n/a	5.80 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLNC04)	036	KR	S	6,410	20.44	n/a	n/a	256.40 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC4026)	036	KR	S	3,671	20.44	n/a	n/a	146.84 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB039)	036	KR	S	374	20.44	n/a	n/a	14.96 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB040)	036	KR	S	300	20.44	n/a	n/a	12.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB042)	036	KR	S	152	20.44	n/a	n/a	6.08 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB043)	036	KR	S	152	20.44	n/a	n/a	6.08 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB044)	036	KR	S	200	20.44	n/a	n/a	8.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB045)	036	KR	S	101	20.44	n/a	n/a	4.04 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB046)	036	KR	S	101	20.44	n/a	n/a	4.04 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB047)	036	KR	S	101	20.44	n/a	n/a	4.04 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB048)	036	KR	S	101	20.44	n/a	n/a	4.04 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB049)	036	KR	S	189	20.44	n/a	n/a	7.56 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB038)	036	KR	S	200	20.44	n/a	n/a	8.00 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB037)	036	KR	S	168	20.44	n/a	n/a	6.72 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLB035)	036	KR	S	258	20.44	n/a	n/a	10.32 4.0
AO,	02/26	COLUMBUS CIRCLE (COLC0260)	036	KR	S	7,543	20.44	n/a	n/a	301.72 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR33)	036	KR	S	129	20.44	n/a	n/a	5.16 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR34)	036	KR	S	174	20.44	n/a	n/a	6.96 4.0
AO,	02/26	COLUMBUS CIRCLE (COLCCLBR23)	036	KR	S	226	20.44	n/a	n/a	9.04 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MVL	SS	900	25.48	n/a	n/a	36.00 4.0
AO,CXL	02/26	JP MORGAN VENTURES (JPMVJPM)	046	SD	S	200,000	6.61	n/a	n/a	10000.00 5.0
AO,CRT	02/26	JP MORGAN VENTURES (JPMVJPM)	046	SD	S	200,000	6.61	n/a	n/a	6000.00 3.0
CRT	02/27	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	WYN	B	2,500	3.81	n/a	n/a	50.00 2.0
TOTAL (AO, CXL, CRT) :										4,663.72
TOTAL (Trade Date) :										107,808.00
TOTAL (AO, CXL, CRT) :										4,663.72
TOTAL (RUN DATE) / NFS:										112,471.72

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