

## **Daily Compliance Activity Report** Trade Date: 03/03/2009

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
HUNTER GLOBAL INVESTOR	067	ALV	SS	50,000	13.85	30-Jan	4-Feb	2,000.00	4.0
TRELLUS PARTNERS LP	028	ALV	С	21,600	13.65	30-Jan	4-Feb	1,080.00	5.0
CATAPULT	040	ARO	S	15,000	23.02	n/a	2-Mar	600.00	4.0
SCOPUS FUND	041	ASH	S	3,600	5.58	n/a	27-Jan	180.00	5.0
NEWLAND CAPITAL MGT	067	AXE	В	10,000	28.12	22-Dec	3-Mar	400.00	4.0
WAGONHOUND/NIC	048	AXE	В	2,332	27.77	22-Dec	3-Mar	93.28	4.0
DIAMONDBACK CAP MGMT	232	AXP	С	50,000	11.82	n/a	27-Feb	2,500.00	5.0
BUCK CAPITAL MGMT	001	BBY	SS	60,000	26.92	n/a	27-Jul	2,400.00	4.0
COUGAR TRADING	044	BIG	В	25,000	14.55	5-Dec	3-Mar	1,250.00	5.0
COUGAR TRADING	044	BIG	S	15,000	14.58	5-Dec	3-Mar	750.00	5.0
ENTRUST CAPITAL	040	BIG	В	97,800	14.63	5-Dec	3-Mar	4,890.00	5.0
FIRST NY SEC/CHRIS	041	BIG	S	10,000	14.64	5-Dec	3-Mar	600.00	6.0
SCHOTTENFELD ASSOC	041	BIG	В	6,500	14.22	5-Dec	3-Mar	195.00	3.0
LISTED ERR	099	BIG	В	1,300	14.32	5-Dec	3-Mar	0.00	0.0
LISTED ERR	099	BIG	S	1,300	14.39	5-Dec	3-Mar	0.00	0.0
ROARING BLUE LION MGMT	012	BLK	SS	2,850	93.35	11-Feb	3-Mar	114.00	4.0
JAT CAPITAL MANAGEMENT	041	BRCM	S	105,700	15.82	n/a	n/a	4,228.00	4.0
ACK ASSET	028	BWA	В	8,800	16.38	27-Jan	13-Feb	264.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
HUNTER GLOBAL INVES	STOR 067	BWA	SS	23,173	16.50	27-Jan	13-Feb	926.92	4.0
TRELLUS PARTNERS LE	028	BWA	С	38,500	16.37	27-Jan	13-Feb	1,925.00	5.0
CAMBIAR CAP	046	CHTT	В	5,090	59.19	16-Oct	23-Feb	203.60	4.0
ROARING BLUE LION N	MGMT 012	CKR	В	10,000	6.11	n/a	n/a	400.00	4.0
OMEGA ADVISORS	041	COF	В	322,800	10.58	n/a	27-Feb	9,684.00	3.0
DC CAPITAL	044	COST	В	15,000	40.87	n/a	27-Jul	750.00	5.0
BULL PATH CAPITAL	044	CPKI	SS	9,000	9.78	30-0ct	13-Feb	450.00	5.0
PRINCIPLE CAPITAL	040	CVS	В	43,679	25.05	n/a	n/a	1,310.37	3.0
MATRIX ASSET ADV.	036	DE	В	5,000	25.01	26-Jan	19-Feb	200.00	4.0
WAGONHOUND/NIC	048	DRI	В	394	26.23	19-Dec	26-Jan	15.76	4.0
BABSON/OFI/TRINITY	039	DXPE	В	9,800	10.32	n/a	n/a	392.00	4.0
SIGMA CAPITAL ASSOC	CIATES 237	EAT	В	25,000	10.65	n/a	24-Apr	1,250.00	5.0
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BABSON/OFI/TRINITY	039	EPAX	В	9,001	7.28	n/a	n/a	360.04	4.0
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BUCK CAPITAL MGMT	001	FDO	SS	20,000	26.30	7-Jan	2-Mar	800.00	4.0
SIGMA CAPITAL ASSOC	CIATES 237	FDO	В	25,000	26.42	7-Jan	2-Mar	1,250.00	5.0
UBS OCONNOR	031	FII	С	50,000	17.58	13-Nov	3-Mar	1,500.00	3.0
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STANDARD PACIFIC CA	APITAL 040	${ t FL}$	В	200,000	8.19	7-0ct	13-Feb	10,000.00	5.0
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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
PROSPECTOR PARTNERS LLC	036	FOR	В	10,000	6.50	12-Feb	12-Feb	400.00	4.0	
SUN AMERICA ASSET MGMT	030	FO	В	107,300	22.42	n/a	n/a	4,292.00	4.0	
BUCK CAPITAL MGMT	001	GES	S	10,000	13.96	n/a	n/a	400.00	4.0	
BUCK CAPITAL MGMT	001	GIL	S	20,000	6.71	11-Dec	12-Feb	600.00	3.0	
SIGMA CAPITAL ASSOCIATES	237	HANS	SS	50,000	33.46	n/a	n/a	2,500.00	5.0	
CRAMER ROSENTHAL/SCOTT	012	HAR	В	33,400	10.01	5-Feb	5-Feb	1,336.00	4.0	
BABSON/OFI/TRINITY	039	HIBB	В	1,500	12.91	n/a	n/a	60.00	4.0	
KLEINHEINZ CAP PART	031	HRB	S	40,000	18.26	n/a	n/a	2,000.00	5.0	
BUCK CAPITAL MGMT	001	JCG	S	40,000	10.74	n/a	30-Jan	1,600.00	4.0	
EATON VANCE MGMT	039	JNJ	S	150,000	47.49	n/a	22-Apr	4,500.00	3.0	
FORD FDN.	032	JNJ	S	25 <b>,</b> 000	48.11	n/a	22-Apr	1,250.00	5.0	
BELLMAN WALTERSS CAP	091	JNS	В	25,000	4.14	2-Mar	3-Mar	1,250.00	5.0	
BUCK CAPITAL MGMT	001	KSS	В	20,000	34.64	n/a	2-Mar	800.00	4.0	
DECADE CAPITAL PARTNERS	040	LIZ	S	33 <b>,</b> 500	2.49	n/a	14-Jan	1,005.00	3.0	
FORD FDN.	032	LLY	S	20,000	28.39	n/a	n/a	1,000.00	5.0	
SIGMA CAPITAL ASSOCIATES	237	MAT	В	150,000	10.72	n/a	n/a	7,500.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
BRENCOURT	028	MGA	В	25,000	23.65	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	мнк	SS	40,000	20.72	n/a	n/a	1,600.00	4.0
NOMURA CAPITAL	045	MIR	S	10,000	10.50	n/a	n/a	500.00	5.0
FORD FDN.	032	MRK	S	40,000	23.74	n/a	n/a	2,000.00	5.0
DIAMONDBACK CAP MGMT	232	MS	В	25,000	18.22	18-Dec	26-Feb	1,250.00	5.0
COUGAR TRADING	044	М	S	5,000	7.23	n/a	2-Mar	200.00	4.0
THE BOSTON COMPANY	401	NKE	С	36,640	40.74	n/a	n/a	1,465.60	4.0
PROSPECTOR PARTNERS LLC	036	NP	В	25,000	5.11	16-Dec	20-Jan	1,000.00	4.0
RAMIUS CAP	040	PCH	В	50,000	20.36	n/a	26-Feb	2,000.00	4.0
FORD FDN.	032	PFE	S	35,000	12.02	n/a	31-Mar	1,750.00	5.0
MILLENIUM PARTNERS	028	PTV	S	25,000	12.30	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	s	20,000	15.61	22-Jan	22-Jan	800.00	4.0
NEUBERGER BERMAN	036	REG	S	21,500	24.11	n/a	n/a	967.50	4.5
BUCK CAPITAL MGMT	001	RL	SS	30,000	32.74	n/a	5-Feb	1,200.00	4.0
SUN AMERICA ASSET MGMT	030	ROK	В	126,800	18.93	n/a	n/a	5,072.00	4.0
	BRENCOURT  BUCK CAPITAL MGMT  NOMURA CAPITAL  FORD FDN.  DIAMONDBACK CAP MGMT  COUGAR TRADING  THE BOSTON COMPANY  PROSPECTOR PARTNERS LLC  RAMIUS CAP  FORD FDN.  MILLENIUM PARTNERS  BUCK CAPITAL MGMT  NEUBERGER BERMAN  BUCK CAPITAL MGMT	BRENCOURT 028  BUCK CAPITAL MGMT 001  NOMURA CAPITAL 045  FORD FDN. 032  DIAMONDBACK CAP MGMT 232  COUGAR TRADING 044  THE BOSTON COMPANY 401  PROSPECTOR PARTNERS LLC 036  RAMIUS CAP 040  FORD FDN. 032  MILLENIUM PARTNERS 028  BUCK CAPITAL MGMT 001  NEUBERGER BERMAN 036  BUCK CAPITAL MGMT 001	BRENCOURT 028 MGA  BUCK CAPITAL MGMT 001 MHK  NOMURA CAPITAL 045 MIR  FORD FDN. 032 MRK  DIAMONDBACK CAP MGMT 232 MS  COUGAR TRADING 044 M  THE BOSTON COMPANY 401 NKE  PROSPECTOR PARTNERS LLC 036 NP  RAMIUS CAP 040 PCH  FORD FDN. 032 PFE  MILLENIUM PARTNERS 028 PTV  BUCK CAPITAL MGMT 001 PVH  NEUBERGER BERMAN 036 REG  BUCK CAPITAL MGMT 001 RL	BRENCOURT  BUCK CAPITAL MGMT  NOMURA CAPITAL  FORD FDN.  DIAMONDBACK CAP MGMT  COUGAR TRADING  THE BOSTON COMPANY  PROSPECTOR PARTNERS LLC  PROSPECTOR PARTNERS LLC  MILLENIUM PARTNERS  BUCK CAPITAL MGMT  O11  NE  BUCK CAPITAL MGMT  O12  PVH  S  BUCK CAPITAL MGMT  O13  REG  S  BUCK CAPITAL MGMT  O01  RL  SS  BUCK CAPITAL MGMT  O01  BUCK CAPITAL MGMT	BRENCOURT 028 MGA B 25,000  BUCK CAPITAL MGMT 001 MHK SS 40,000  NOMURA CAPITAL 045 MIR S 10,000  FORD FDN. 032 MRK S 40,000  DIAMONDBACK CAP MGMT 232 MS B 25,000  COUGAR TRADING 044 M S 5,000  THE BOSTON COMPANY 401 NKE C 36,640  PROSPECTOR PARTNERS LLC 036 NP B 25,000  RAMIUS CAP 040 PCH B 50,000  FORD FDN. 032 PFE S 35,000  MILLENIUM PARTNERS 028 PTV S 25,000  BUCK CAPITAL MGMT 001 PVH S 20,000  NEUBERGER BERMAN 036 REG S 21,500  BUCK CAPITAL MGMT 001 RL SS 30,000	BRENCOURT 028 MGA B 25,000 23.65  BUCK CAPITAL MGMT 001 MHK SS 40,000 20.72  NOMURA CAPITAL 045 MIR S 10,000 10.50  FORD FDN. 032 MRK S 40,000 23.74  DIAMONDBACK CAP MGMT 232 MS B 25,000 18.22  COUGAR TRADING 044 M S 5,000 7.23  THE BOSTON COMPANY 401 NKE C 36,640 40.74  PROSPECTOR PARTNERS LLC 036 NP B 25,000 5.11  RAMIUS CAP 040 PCH B 50,000 20.36  FORD FDN. 032 PFE S 35,000 12.02  MILLENIUM PARTNERS 028 PTV S 25,000 12.30  BUCK CAPITAL MGMT 001 PVH S 20,000 15.61  NEUBERGER BERMAN 036 REG S 21,500 24.11  BUCK CAPITAL MGMT 001 RL SS 30,000 32.74	BRENCOURT 028 MGA B 25,000 23.65 n/a  BUCK CAPITAL MGMT 001 MHK SS 40,000 20.72 n/a  NOMURA CAPITAL 045 MIR S 10,000 10.50 n/a  FORD FDN. 032 MRK S 40,000 23.74 n/a  DIAMONDBACK CAP MGMT 232 MS B 25,000 18.22 18-Dec  COUGAR TRADING 044 M S 5,000 7.23 n/a  THE BOSTON COMPANY 401 NKE C 36,640 40.74 n/a  PROSPECTOR PARTNERS LLC 036 NP B 25,000 5.11 16-Dec  RAMIUS CAP 040 PCH B 50,000 20.36 n/a  FORD FDN. 032 PFE S 35,000 12.02 n/a  MILLENIUM PARTNERS 028 PTV S 25,000 12.30 n/a  BUCK CAPITAL MGMT 001 PVH S 20,000 15.61 22-Jan  NEUBERGER BERMAN 036 REG S 21,500 24.11 n/a  BUCK CAPITAL MGMT 001 RL SS 30,000 32.74 n/a	BRENCOURT 028 MGA B 25,000 23.65 n/a n/a  BUCK CAPITAL MGMT 001 MHK SS 40,000 20.72 n/a n/a  NOMURA CAPITAL  045 MIR S 10,000 10.50 n/a n/a  FORD FDN. 032 MRK S 40,000 23.74 n/a n/a  DIAMONDBACK CAP MGMT 232 MS B 25,000 18.22 18-Dec 26-Feb  COUGAR TRADING 044 M S 5,000 7.23 n/a 2-Mar  THE BOSTON COMPANY 401 NKE C 36,640 40.74 n/a n/a  PROSPECTOR PARTNERS LLC 036 NP B 25,000 5.11 16-Dec 20-Jan  RAMIUS CAP 040 PCH B 50,000 20.36 n/a 26-Feb  FORD FDN. 032 PFE S 35,000 12.02 n/a 31-Mar  MILLENIUM PARTNERS 028 PTV S 25,000 12.30 n/a n/a  BUCK CAPITAL MGMT 001 PVH S 20,000 15.61 22-Jan  NEUBERGER BERMAN 036 REG S 21,500 24.11 n/a n/a  BUCK CAPITAL MGMT 001 RL SS 30,000 32.74 n/a 5-Feb	BRENCOURT 028 MGA B 25,000 23.65 n/a n/a 1,250.00  BUCK CAPITAL MGMT 001 MHK SS 40,000 20.72 n/a n/a 1,600.00  NOMURA CAPITAL MGMT 045 MIR S 10,000 10.50 n/a n/a 500.00  FORD FDN. 032 MRK S 40,000 23.74 n/a n/a 2,000.00  DIAMONDBACK CAP MGMT 232 MS B 25,000 18.22 18-Dec 26-Feb 1,250.00  COUGAR TRADING 044 M S 5,000 7.23 n/a 2-Mar 200.00  THE BOSTON COMPANY 401 NKE C 36,640 40.74 n/a n/a n/a 1,465.60  PROSPECTOR PARTNERS LLC 036 NP B 25,000 5.11 16-Dec 20-Jan 1,000.00  RAMIUS CAP 040 PCH B 50,000 20.36 n/a 26-Feb 2,000.00  FORD FDN. 032 PFE S 35,000 12.02 n/a 31-Mar 1,750.00  MILLENIUM PARTNERS 028 PTV S 25,000 12.30 n/a n/a 1,000.00  BUCK CAPITAL MGMT 001 PVH S 20,000 15.61 22-Jan 800.00  NEUBERGER BERMAN 036 REG S 21,500 24.11 n/a n/a 967.50  BUCK CAPITAL MGMT 001 RL SS 30,000 32.74 n/a 5-Feb 1,200.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
SUN AMERICA ASSET MGMT	030	RRD	В	327,200	7.53	n/a	n/a	13,088.00	4.0
COUGAR TRADING	044	SHW	S	5,000	45.33	24-Feb	27-Feb	250.00	5.0
BUCK CAPITAL MGMT	001	SKX	В	30,000	5.99	n/a	13-Mar	900.00	3.0
BUCK CAPITAL MGMT	001	SPG	S	32,900	29.27	n/a	n/a	1,316.00	4.0
NEUBERGER BERMAN	036	SSS	S	52,400	18.97	n/a	n/a	2,358.00	4.5
PILOT ROCK	028	STJ	В	150,000	32.33	n/a	n/a	6,000.00	4.0
HUNTER GLOBAL INVESTOR	067	SUN	SS	65 <b>,</b> 259	31.07	n/a	n/a	3,262.95	5.0
BUCK CAPITAL MGMT	001	TIN	В	112,000	3.19	5-Dec	28-Jan	3,360.00	3.0
ROBX	302	TLM	В	31,000	8.43	n/a	n/a	1,240.00	4.0
BUCK CAPITAL MGMT	001	WRC	s	30,000	19.24	27-Feb	27-Feb	1,200.00	4.0
BUCK CAPITAL MGMT	001	WSM	SS	40,000	8.49	n/a	n/a	1,200.00	3.0

TOTAL (Trade Date): 139,685.02

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
NO CVI	02/02	METNEDAUD CADITAL MCT. (HELIMAIN A)	0.4.0	7. NINI	0.0	100 000	C 16	- /-	20 7	4000 00	4.0
AO, CXL	03/02	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	ANN	SS	100,000	6.46	n/a	30-Jan	4000.00	4.0
AO,CRT	03/02	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	ANN	SS	100,000	6.46	n/a	30-Jan	3000.00	3.0
AO,	03/02	APEX CAPITAL MGMT. (APEXUBS)	091	СОН	s	8,400	13.50	9-Jan	22-Jan	336.00	4.0
AO,	03/02	APEX CAPITAL MGMT. (APEXMORGAN)	091	СОН	S	65,600	13.50	9-Jan	22-Jan	2624.00	4.0
AO,	03/02	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	НСР	S	99 <b>,</b> 559	17.69	n/a	n/a	1991.18	2.0
AO,CXL	03/02	DC CAPITAL (DCCAGOLDMA)	044	IP	В	100,000	5.22	22-Sep	29-Jan	5000.00	5.0
AO,CRT	03/02	DC CAPITAL (DCCAGOLDMA)	044	IP	В	100,000	5.22	22-Sep	29-Jan	3000.00	3.0
70 011	02/00	WT6WDDTDGT 61DTTDT (WT6DWD6WW)	0.2.0		<b>.</b>	00 071	1 20	2 14	2. 14	0760 10	2 0
AO,CXL	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	LPX	В	92 <b>,</b> 071	1.30	3-Mar	3-Mar	2762.13	3.0
AO,CRT	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	LPX	В	92 <b>,</b> 071	1.30	3-Mar	3-Mar	1841.42	2.0
AO,CXL	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PM	SS	30,000	33.19	n/a	n/a	1500.00	5.0
AO,CRT	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PM	SS	30,000	33.19	n/a	n/a	1200.00	4.0
AO,CXL	03/02	FORWARD MGMT (FORWLGCPGW)	033	RHI	В	1,300	14.67	n/a	n/a	65.00	5.0
AO, CRT		FORWARD MGMT (FORWMIDVAL)	033	RHI	В	1,300	14.67	n/a	n/a	65.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGWORLDW)	039	TIF	SS	3,000	18.32	n/a	30-Jan	150.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGGUGGEN)	039	TIF	SS	2,000	18.32	n/a	30-Jan	100.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGSCOGCP)	039	TIF	SS	25,000	18.32	n/a	30-Jan	1250.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGINTERN)	039	TIF	SS	36,000	18.32	n/a	30-Jan	1800.00	5.0
AO,CXL	03/02	FORWARD MGMT (FORWLGCPGW)	033	TROW	В	3,800	21.99	n/a	3-Mar	190.00	5.0
AO, CRT	03/02	FORWARD MGMT (FORWMIDVAL)	033	TROW	В	3,800	21.99	n/a	3-Mar	190.00	5.0
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Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	TROW	SS	3,400	22.78	n/a	3-Mar	136.00	4.0
AO,CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	TROW	SS	3,400	22.78	n/a	3-Mar	170.00	5.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	TROW	SS	700	22.78	n/a	3-Mar	28.00	4.0
AO, CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	TROW	SS	700	22.78	n/a	3-Mar	35.00	5.0
AO,CXL	03/02	CASTLEROCK (CASTMS)	040	UPS	В	838	38.90	n/a	n/a	0.00	0.0
AO, CRT	03/02	CASTLEROCK (CASTMS)	040	UPS	В	838	38.90	n/a	n/a	33.52	4.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	WDR	SS	4,300	13.73	n/a	3-Mar	172.00	4.0
AO, CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	WDR	SS	4,300	13.73	n/a	3-Mar	215.00	5.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	WDR	SS	800	13.73	n/a	3-Mar	32.00	4.0
AO, CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	WDR	SS	800	13.73	n/a	3-Mar	40.00	5.0

TOTAL (RUN DATE) / NFS:	143,841.01
TOTAL (AO, CXL, CRT):	4,155.99
TOTAL (Trade Date):	139,685.02

## Legend:

O: 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