



Daily Compliance Activity Report

Trade Date: 03/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	AAI	B	50,000	4.00	n/a	n/a	1,000.00	2.0
ACK ASSET	028	AEO	B	15,000	10.36	n/a	12-Mar	450.00	3.0
TRELLUS PARTNERS LP	028	ALV	SS	15,000	15.63	12-Mar	12-Mar	750.00	5.0
DAWSON SANBERG & CO	041	AMR	S	170,500	3.64	n/a	n/a	5,115.00	3.0
WINSLOW CAPITAL	030	APOL	B	1,500	66.33	n/a	n/a	60.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	25.14	n/a	13-Mar	800.00	4.0
MATLIN PATTERSON	046	AVB	S	80,564	49.72	n/a	n/a	2,416.92	3.0
JAT CAPITAL MANAGEMENT	041	BRCM	S	127,000	18.90	n/a	n/a	5,080.00	4.0
PROSPECTOR PARTNERS LLC	036	BWA	SS	15,000	18.26	12-Mar	12-Mar	600.00	4.0
TRELLUS PARTNERS LP	028	BWA	SS	14,700	18.13	12-Mar	12-Mar	735.00	5.0
MATLIN PATTERSON	046	CIT	B	12,200	2.46	22-Jan	11-Mar	366.00	3.0
BUCK CAPITAL MGMT	001	CMG	B	50,000	55.67	23-Oct	12-Feb	2,000.00	4.0
PRINCIPLE CAPITAL	040	CVS	B	40,000	26.53	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	DRI	B	50,000	28.19	19-Dec	12-Mar	2,000.00	4.0
NEUBERGER BERMAN	036	FCX	S	24,600	37.09	n/a	n/a	1,107.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	45,400	15.37	n/a	10-Jan	1,816.00	4.0
COUGAR TRADING	044	GYMB	B	15,000	18.38	5-Mar	5-Mar	750.00	5.0
TRUST CO/COWEN/CALF.	040	IPG	S	61,000	4.02	n/a	n/a	2,440.00	4.0
DOWNTOWN ASSOC	028	IWM	B	150,000	39.40	n/a	n/a	5,250.00	3.5
BUCK CAPITAL MGMT	001	JWN	SS	20,000	15.48	20-Feb	6-Mar	800.00	4.0
BALYASNY ASSET MGMT	044	KR	B	25,000	21.23	n/a	n/a	1,250.00	5.0
AVESTA CAP	229	KSS	S	60,000	38.18	n/a	6-Mar	3,000.00	5.0
BALYASNY ASSET MGMT	044	KSS	S	15,000	38.07	n/a	6-Mar	750.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	8.07	8-Jan	30-Jan	1,200.00	4.0
PENNANT CAP MGMT	029	MASI	SS	68,700	26.88	n/a	n/a	2,061.00	3.0
NEUBERGER BERMAN	036	MCD	S	123,022	52.05	13-Oct	9-Mar	5,536.00	4.5
ROSEDALE CAPITAL	046	MSFT	B	15,000	16.72	n/a	3-Apr	750.00	5.0
SIGMA CAPITAL ASSOCIATES	237	NKE	S	25,000	44.08	n/a	n/a	1,250.00	5.0
HOTCHKIS & WILEY	035	NOC	B	100,000	36.50	n/a	n/a	5,000.00	5.0
WINSLOW CAPITAL	030	ORCL	B	2,100	15.48	n/a	n/a	84.00	4.0
BALYASNY ASSET MGMT	044	ROST	S	15,000	32.82	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	SCHW	B	2,900	13.74	n/a	n/a	116.00	4.0
BALYASNY ASSET MGMT	044	TJX	SS	20,000	24.85	n/a	6-Mar	1,000.00	5.0
BALYASNY ASSET MGMT	044	TROW	SS	15,000	26.41	n/a	12-Mar	750.00	5.0
SCOPUS FUND	041	TYC	B	20,000	18.99	12-Nov	3-Feb	1,000.00	5.0
COUGAR TRADING	044	UA	S	10,000	16.36	n/a	13-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	VFC	B	20,000	53.15	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	WMS	B	30,000	19.64	n/a	n/a	1,200.00	4.0
ASCEND PARTNERS	033	WMT	C	60,000	48.96	10-Oct	6-Mar	3,000.00	5.0
CAMBIAR CAP	046	WRC	B	16,660	19.74	27-Feb	27-Feb	666.40	4.0
JP MORGAN VENTURES	046	WRC	B	50,000	19.85	27-Feb	27-Feb	2,500.00	5.0
BUCK CAPITAL MGMT	001	WSM	SS	100,000	9.49	n/a	n/a	3,000.00	3.0
TOTAL (Trade Date):								71,299.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/12	CUMBERLAND (CUMBMS04)	038	EXH	B	11,984	16.19	27-Jan	26-Feb	359.52 3.0
AO,CRT	03/12	CUMBERLAND (CUMBMS04)	038	EXH	B	11,984	16.19	27-Jan	26-Feb	479.36 4.0
AO,CXL	03/12	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	QSII	B	23,200	41.13	n/a	n/a	1160.00 5.0
AO,CRT	03/12	SAC CAP/ROSEN FOR BOBBY (SACROSEN4C)	044	QSII	B	23,200	41.13	n/a	n/a	928.00 4.0
TOTAL (AO, CXL, CRT) :										-112.16

TOTAL (Trade Date) :	71,299.32
TOTAL (AO, CXL, CRT) :	-112.16

TOTAL (RUN DATE) / NFS :	71,187.16
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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