



Daily Compliance Activity Report

Trade Date: 04/02/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	036	AEP	S	50,000	26.17	n/a	n/a	2,000.00	4.0
EPOCH INV MGMT	030	AET	B	6,500	24.43	n/a	n/a	260.00	4.0
TRELLUS PARTNERS LP	028	ALV	SS	5,000	21.75	12-Mar	12-Mar	250.00	5.0
EPOCH INV MGMT	030	AMP	S	3,050	21.98	n/a	n/a	122.00	4.0
NEWLAND CAPITAL MGT	067	AOS	S	25,000	26.32	25-Mar	25-Mar	1,000.00	4.0
EPOCH INV MGMT	030	ARB	S	20,000	15.75	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	27.41	n/a	13-Mar	2,000.00	4.0
SAXON WOODS ADVISORS	038	AVP	B	244,400	21.22	25-Feb	30-Mar	9,776.00	4.0
WHITE PINE CAPITAL	030	BEBE	B	225	7.37	n/a	n/a	11.25	5.0
BUCK CAPITAL MGMT	001	BIG	B	198,374	22.30	4-Mar	6-Mar	7,934.96	4.0
COUGAR TRADING	044	BIG	B	10,000	22.09	4-Mar	6-Mar	500.00	5.0
BRENCOURT	028	BWA	SS	50,000	24.12	12-Mar	19-Mar	2,500.00	5.0
HOLLIS CAPITAL	033	BWA	SS	7,000	24.10	12-Mar	19-Mar	0.00	0.0
TRELLUS PARTNERS LP	028	BWA	SS	20,000	23.50	12-Mar	19-Mar	1,000.00	5.0
WHITE PINE CAPITAL	030	CASY	B	75	27.64	n/a	n/a	3.75	5.0
WHITE PINE CAPITAL	030	CERN	B	50	43.34	n/a	n/a	2.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWCASTLE FUNDS	033	CHD	S	150,000	54.02	n/a	20-Mar	6,000.00	4.0
WHITE PINE CAPITAL	030	CHS	B	150	5.96	5-Dec	30-Jan	7.50	5.0
EPOCH INV MGMT	030	CMCSK	B	11,450	13.50	n/a	n/a	458.00	4.0
BUCK CAPITAL MGMT	001	COH	S	30,000	18.11	9-Jan	22-Jan	1,200.00	4.0
MORGENS WATERFALL	040	CRR	SS	16,200	29.35	5-Feb	17-Mar	486.00	3.0
TROUBH PART	067	DELL	S	50,000	9.74	n/a	n/a	2,500.00	5.0
PRINCIPLE CAPITAL	040	DIS	B	80,158	19.95	n/a	n/a	2,404.74	3.0
SENVEST PART	045	DSW	SS	20,000	10.49	24-Mar	25-Mar	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	FDO	S	50,000	32.42	5-Mar	6-Mar	2,500.00	5.0
EPOCH INV MGMT	030	FISV	B	25,000	36.37	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	FL	B	10,000	11.22	24-Mar	24-Mar	500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	10,000	22.21	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	GPI	B	26,005	16.22	n/a	20-Feb	832.16	3.2
SIGMA CAPITAL ASSOCIATES	041	GPS	S	75,000	14.27	n/a	30-Jan	3,750.00	5.0
ARAGON GLOBAL	041	GYMB	S	60,509	22.45	5-Mar	5-Mar	3,025.45	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	GYMB	B	1,827	22.00	5-Mar	5-Mar	73.08	4.0
WHITE PINE CAPITAL	030	HALL	B	600	6.65	n/a	n/a	30.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	1,900	14.95	24-Mar	2-Apr	95.00	5.0
BUCK CAPITAL MGMT	001	JCG	SS	50,000	14.39	n/a	30-Jan	2,000.00	4.0
CASTLE ARK	031	JCI	B	697,900	15.10	13-Mar	27-Mar	41,874.00	6.0
BUCK CAPITAL MGMT	001	JCP	S	50,000	21.95	30-Mar	30-Mar	2,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	SS	20,000	18.38	20-Feb	6-Mar	800.00	4.0
PILOT ROCK	028	JWN	B	150,475	18.69	20-Feb	6-Mar	6,019.00	4.0
MFP INVESTORS	032	KIM	S	52,700	7.56	n/a	n/a	2,108.00	4.0
CASTLEROCK	040	KSS	S	47,186	45.43	30-Mar	30-Mar	1,887.44	4.0
BMO NESBITT BURNS	041	LM	S	33,000	18.25	29-Jan	2-Apr	1,650.00	5.0
SENVEST PART	045	LM	B	10,000	18.22	29-Jan	2-Apr	500.00	5.0
PZENA INV ADV	044	MSFT	B	28,225	19.32	n/a	3-Apr	987.88	3.5
COLUMBIA PARTNERS	028	MS	B	66,138	23.32	18-Dec	23-Mar	2,645.52	4.0
NATIONAL BK OF CAN	031	MS	S	35,000	24.37	18-Dec	23-Mar	1,400.00	4.0
NICOLAS APPLGATE	048	MYGN	S	12,200	45.04	n/a	n/a	488.00	4.0
SUFFOLK CAPITAL MGMT	040	MYL	S	97,600	13.84	n/a	31-Mar	3,904.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	M	S	50,000	10.23	n/a	6-Mar	2,000.00	4.0
SCOPUS FUND	041	M	SS	75,000	10.10	n/a	6-Mar	3,750.00	5.0
BUCK CAPITAL MGMT	001	NKE	S	30,000	50.74	n/a	n/a	1,200.00	4.0
DARUMA ASSET MGMT INC	034	NP	S	50,000	3.55	13-Mar	13-Mar	2,500.00	5.0
NATIONAL BK OF CAN	031	NTRS	B	25,000	60.70	14-Jan	23-Mar	1,000.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	B	50,000	59.98	14-Jan	23-Mar	2,500.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	10,000	10.41	n/a	18-Feb	300.00	3.0
WAGONHOUND/NIC	048	PCLN	B	563	82.39	n/a	n/a	22.52	4.0
COUGAR TRADING	044	PVH	S	2,500	24.65	27-Mar	27-Mar	125.00	5.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	1,800	6.42	12-Feb	12-Feb	54.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	40,000	46.36	n/a	5-Feb	1,600.00	4.0
MILLENIUM PARTNERS	028	ROST	S	40,000	37.63	n/a	n/a	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ROST	S	100,000	37.06	n/a	n/a	5,000.00	5.0
KLEINHEINZ CAP PART	031	SCHW	B	200,000	16.05	n/a	n/a	10,000.00	5.0
CADIAN CAPITAL	067	SHW	B	15,000	53.00	31-Mar	31-Mar	750.00	5.0
NEWCASTLE FUNDS	033	SHW	B	70,000	53.17	31-Mar	31-Mar	2,800.00	4.0
MISG	041	SLB	B	10,000	43.99	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TGT	B	100,000	35.52	25-Feb	20-Mar	4,000.00	4.0
MOORE CAPITAL	036	TYC	S	25,000	20.73	n/a	3-Feb	1,000.00	4.0
WAGONHOUND/NIC	048	URBN	B	1,509	15.66	n/a	30-Jan	60.36	4.0
BMO NESBITT BURNS	041	WDR	B	26,800	18.89	n/a	2-Apr	1,340.00	5.0
HIGHBRIDGE/MS OLDS	041	WLT	B	49,200	24.28	n/a	n/a	1,968.00	4.0
RDK CAPITAL MGMT	034	WMT	B	18,000	54.23	10-Oct	6-Mar	720.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	S	25,000	54.24	10-Oct	6-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	WSM	SS	40,000	10.98	n/a	n/a	1,600.00	4.0
TOTAL (Trade Date):								170,126.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/01	VINIK ASSET MGMT. (VINIMS OMI)	030	BJ	S	65,000	31.67	n/a	27-Jul	1950.00 3.0
AO,CRT	04/01	VINIK ASSET MGMT. (VINIMS OMI)	030	BJ	S	65,000	31.67	n/a	27-Jul	2600.00 4.0
AO,CXL	04/01	STRAUSS ASSET MGMT (STRAJEFUSE)	040	CRNT	S	15,000	4.47	n/a	n/a	600.00 4.0
AO,CRT	04/01	STRAUSS ASSET MGMT (STRAJEFUSE)	040	CRNT	S	15,000	4.47	n/a	n/a	450.00 3.0
AO,CXL	04/01	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	LAZ	SS	12,600	28.68	n/a	1-Apr	504.00 4.0
AO,CRT	04/01	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	LAZ	SS	12,600	28.68	n/a	1-Apr	630.00 5.0
AO,CXL	04/01	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	LAZ	SS	2,400	28.68	n/a	1-Apr	96.00 4.0
AO,CRT	04/01	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	LAZ	SS	2,400	28.68	n/a	1-Apr	120.00 5.0
TOTAL (AO, CXL, CRT) :										650.00

TOTAL (Trade Date):	170,126.11
TOTAL (AO, CXL, CRT):	650.00

TOTAL (RUN DATE) / NFS:	170,776.11
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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