



Daily Compliance Activity Report

Trade Date: 03/25/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	120,000	12.09	n/a	12-Mar	4,800.00	4.0
LOCUS WOOD CAPITAL MGMT	044	ALV	B	20,000	16.20	12-Mar	12-Mar	800.00	4.0
CHILTON CAPITAL MGMT.	036	AMCC	B	25,700	4.87	n/a	n/a	771.00	3.0
LISTED ERR	099	AOS	S	100	25.26	25-Mar	25-Mar	0.00	0.0
KINGDON ASSET MGMT	041	AVT	B	200,000	18.15	n/a	n/a	8,000.00	4.0
BALYASNY ASSET MGMT	044	BLK	C	2,500	129.72	4-Mar	24-Mar	125.00	5.0
BRENCOURT	028	BWA	SS	50,000	22.87	12-Mar	19-Mar	2,500.00	5.0
COUGAR TRADING	044	BWA	B	15,000	22.31	12-Mar	19-Mar	750.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	15,000	22.22	12-Mar	19-Mar	750.00	5.0
STELLIAM INV ADV	040	CLW	B	15,000	7.21	n/a	n/a	600.00	4.0
SOUTH POINT CAP	067	CMP	S	4,800	58.31	n/a	n/a	240.00	5.0
BUCK CAPITAL MGMT	001	COH	B	30,000	17.36	9-Jan	22-Jan	1,200.00	4.0
COOPER CREEK PART	028	DSW	SS	14,900	9.53	24-Mar	25-Mar	447.00	3.0
SENVEST PART	045	DSW	SS	8,600	9.31	24-Mar	25-Mar	430.00	5.0
BUCK CAPITAL MGMT	001	EL	B	20,000	25.52	20-Jan	9-Feb	800.00	4.0
BALYASNY ASSET MGMT	044	EV	C	10,000	21.75	9-Mar	24-Mar	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	EXH	B	10,000	17.17	27-Jan	17-Mar	400.00	4.0
BALYASNY ASSET MGMT	044	FII	B	25,000	22.39	13-Nov	24-Mar	1,250.00	5.0
CAMBIAR CAP	046	FII	S	11,360	22.42	13-Nov	24-Mar	454.40	4.0
NEWCASTLE FUNDS	033	FO	SS	18,100	25.17	n/a	n/a	724.00	4.0
DIAMONDBACK CAP MGMT	232	GE	C	50,000	10.35	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	GE	SS	50,000	10.83	n/a	n/a	2,500.00	5.0
LATEFF MGMT	035	GIS	B	1,000	48.77	n/a	n/a	260.00	26.0
ASCEND PARTNERS	033	GYMB	B	20,000	20.55	5-Mar	5-Mar	1,000.00	5.0
NEUBERGER BERMAN	036	HAL	S	28,700	17.16	n/a	n/a	1,291.50	4.5
COUGAR TRADING	044	HAR	B	5,000	13.56	12-Mar	12-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	HD	B	50,000	23.62	n/a	25-Feb	2,000.00	4.0
PECONIC PARTNERS	036	HD	SS	200,000	23.33	n/a	25-Feb	10,000.00	5.0
GARDNER LEWIS ASSET MGMT	028	HOT	B	61,870	13.78	n/a	n/a	3,093.50	5.0
MFP INVESTORS	032	HOT	S	30,000	14.24	n/a	n/a	1,200.00	4.0
CASTLE ARK	031	ICE	B	54,995	76.82	n/a	n/a	3,299.70	6.0
DC CAPITAL	044	IP	S	50,000	9.04	n/a	20-Mar	2,500.00	5.0
NEWCASTLE FUNDS	033	ITT	B	30,000	39.12	n/a	5-Feb	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWCASTLE FUNDS	033	ITW	SS	45,200	30.37	30-Jan	17-Feb	1,808.00	4.0
BALYASNY ASSET MGMT	044	IVZ	C	5,000	12.90	24-Mar	24-Mar	250.00	5.0
PERSHING SQUARE	029	IYR	S	600,000	25.88	n/a	n/a	18,000.00	3.0
DECADE CAPITAL PARTNERS	040	JBHT	B	21,000	24.01	n/a	n/a	1,050.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	350,000	19.95	6-Feb	6-Mar	14,000.00	4.0
WHITE PINE CAPITAL	030	JCP	B	24,075	19.26	6-Feb	6-Mar	1,203.75	5.0
AELTUS/ING IVESTMENT MGT	215	JNJ	B	2,390	53.08	n/a	22-Apr	83.75	3.5
AVESTA CAP	229	KSS	B	25,000	40.42	17-Mar	17-Mar	1,250.00	5.0
DECADE CAPITAL PARTNERS	040	KSS	SS	14,000	40.74	17-Mar	17-Mar	420.00	3.0
BALYASNY ASSET MGMT	044	LM	C	55,000	16.05	29-Jan	24-Mar	2,750.00	5.0
LAGRANGE CAP ADV	048	MAT	B	30,000	12.03	n/a	n/a	1,500.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	15,000	28.92	n/a	n/a	750.00	5.0
NEUBERGER BERMAN	036	NLY	S	25,800	13.88	n/a	n/a	1,161.00	4.5
TRELLUS PARTNERS LP	028	PAG	SS	5,000	10.03	n/a	18-Feb	250.00	5.0
MANNING & NAPIER	034	PCAR	S	3,500	27.00	25-Mar	25-Mar	105.00	3.0
WEINTRAUB CAPITAL MGT.	040	PCAR	SS	20,000	26.46	25-Mar	25-Mar	800.00	4.0
NEWCASTLE FUNDS	033	PFCB	C	17,000	23.00	8-Jan	12-Feb	680.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PII	B	20,000	23.64	n/a	n/a	800.00	4.0
NEWCASTLE FUNDS	033	PNRA	C	17,800	53.52	n/a	13-Feb	712.00	4.0
SOUTH POINT CAP	067	POT	S	25,000	83.19	n/a	n/a	1,250.00	5.0
SANDLER CAPITAL	038	PPG	B	75,100	37.78	n/a	13-Mar	4,506.00	6.0
BUCK CAPITAL MGMT	001	RL	B	170,000	42.05	n/a	5-Feb	6,800.00	4.0
SENVEST PART	045	RVI	S	67,900	2.01	n/a	n/a	2,037.00	3.0
WOOSTER CAPITAL	035	SLM	B	75,000	3.58	27-Feb	25-Mar	3,750.00	5.0
SOUTH POINT CAP	067	TCK	B	150,000	5.92	n/a	n/a	7,500.00	5.0
CAXTON PART	040	TIN	B	10,000	5.42	5-Dec	20-Mar	350.00	3.5
KENNEDY CAPITAL	046	TIN	B	30,000	5.55	5-Dec	20-Mar	900.00	3.0
SCOPUS FUND	041	TIN	B	25,000	5.50	5-Dec	20-Mar	1,250.00	5.0
LISTED ERR	099	TIN	S	25,000	5.40	5-Dec	20-Mar	0.00	0.0
BALYASNY ASSET MGMT	044	TROW	C	2,500	27.03	n/a	24-Mar	125.00	5.0
SANDLER O'NEILL ASSET	031	TROW	B	25,000	27.14	n/a	24-Mar	1,250.00	5.0
PZENA INV ADV	044	TYC	S	9,400	20.27	12-Nov	3-Feb	329.00	3.5
HOOVER INV. MGMT	033	URBN	S	91,100	15.90	n/a	30-Jan	3,644.00	4.0
BALYASNY ASSET MGMT	044	WDR	C	35,000	19.00	n/a	24-Mar	1,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	WEC	S	6,125	40.63	n/a	n/a	214.38	3.5
PZENA INV ADV	044	WHR	S	7,050	30.97	n/a	n/a	246.75	3.5
PZENA INV ADV	044	WLP	S	4,450	36.46	n/a	n/a	155.75	3.5
BUCK CAPITAL MGMT	001	WMT	S	80,000	51.49	10-Oct	6-Mar	3,200.00	4.0
COUGAR TRADING	044	WRC	B	5,000	22.10	27-Feb	27-Feb	250.00	5.0
SCOPUS FUND	041	WY	B	36,100	29.66	9-Feb	9-Feb	1,805.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	100,000	1.22	12-Mar	12-Mar	2,000.00	2.0
TOTAL (Trade Date) :								147,522.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/23	LISTED ERR (LISTED ERR)	099	AOS	B	100	24.17	25-Mar	25-Mar	0.00 0.0
AO,CXL	03/24	SCOPUS FUND (SCOPBANC O)	041	DSW	B	3,600	10.03	24-Mar	25-Mar	180.00 5.0
AO,CRT	03/24	SCOPUS FUND (SCOPBANC O)	041	DSW	B	1,500	10.03	24-Mar	25-Mar	75.00 5.0
AO,CXL	03/24	SCOPUS FUND (SCOPUBS)	041	DSW	B	11,400	10.03	24-Mar	25-Mar	570.00 5.0
AO,CRT	03/24	SCOPUS FUND (SCOPUBS)	041	DSW	B	13,500	10.03	24-Mar	25-Mar	675.00 5.0
AO,	03/24	JANA CAPITAL (JANAJPMS)	044	GE	C	237,400	10.39	n/a	n/a	9496.00 4.0
AO,	03/24	JANA CAPITAL (JANAGOLDMA)	044	GE	C	6,500	10.39	n/a	n/a	260.00 4.0
AO,	03/24	JANA CAPITAL (JANAABN AM)	044	GE	C	600	10.39	n/a	n/a	24.00 4.0

TOTAL (AO, CXL, CRT) :**9,780.00**

TOTAL (Trade Date) :**147,522.48****TOTAL (AO, CXL, CRT) :****9,780.00**

TOTAL (RUN DATE) / NFS:**157,302.48**

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