



Daily Compliance Activity Report

Trade Date: 01/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STADIA CAPITAL	035	ACE	S	11,300	48.81	n/a	n/a	452.00	4.0
BALYASNY ASSET MGMT	044	ALV	SS	25,000	19.84	26-Nov	28-Jan	1,250.00	5.0
BMO NESBITT BURNS	041	ALV	SS	25,000	19.52	26-Nov	28-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	150,000	19.56	n/a	9-Jan	6,000.00	4.0
GRANITE CAPITAL	045	ANN	B	12,700	5.90	n/a	6-Jan	381.00	3.0
BACKBAY	041	AN	SS	25,000	9.23	7-Nov	28-Jan	750.00	3.0
BALYASNY ASSET MGMT	044	AN	SS	75,000	9.19	7-Nov	28-Jan	3,000.00	4.0
BAYPOINT CRIT/B COLBURN	033	AN	SS	84,000	9.20	7-Nov	28-Jan	3,360.00	4.0
BMO NESBITT BURNS	041	AN	SS	50,000	9.17	7-Nov	28-Jan	2,500.00	5.0
BRENCOURT	028	AN	SS	25,000	9.21	7-Nov	28-Jan	1,250.00	5.0
COUGAR TRADING	044	AN	SS	10,000	9.22	7-Nov	28-Jan	400.00	4.0
FIRST NY SEC/CHRIS	041	AN	SS	25,000	9.20	7-Nov	28-Jan	1,250.00	5.0
MARINER/TRICADIA	041	AN	SS	150,000	9.21	7-Nov	28-Jan	4,500.00	3.0
SCOPUS FUND	041	AN	SS	50,000	9.18	7-Nov	28-Jan	2,500.00	5.0
CAVU CAP ADV	028	APC	S	5,000	38.25	n/a	8-Jan	250.00	5.0
LISTED ERR	099	ASH	B	100	9.52	n/a	27-Jan	0.00	0.0
CATAPULT	040	ATK	B	15,000	83.58	n/a	n/a	750.00	5.0
BASIX	033	AXE	B	18,000	27.66	22-Dec	22-Dec	540.00	3.0
WAGONHOUND/NIC	048	AXE	B	3,422	26.99	22-Dec	22-Dec	136.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AXP	B	72,200	17.75	n/a	28-Jan	2,888.00	4.0
CAVU CAP ADV	028	BA	SS	5,000	44.28	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	BBY	SS	25,000	30.07	n/a	27-Jul	1,250.00	5.0
WHITE PINE CAPITAL	030	BEBE	B	3,000	6.25	n/a	n/a	150.00	5.0
HUNTER GLOBAL INVESTOR	067	BEN	S	78,700	53.63	13-Nov	27-Jan	3,935.00	5.0
BUCK CAPITAL MGMT	001	BKC	B	20,000	22.97	27-Oct	8-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	BKE	B	20,000	21.23	n/a	n/a	800.00	4.0
TRELLUS PARTNERS LP	028	BWA	SS	15,000	18.46	27-Jan	27-Jan	750.00	5.0
FORD FDN.	032	CAT	B	35,101	33.09	22-Oct	27-Jan	1,755.05	5.0
BUCK CAPITAL MGMT	001	CEC	B	30,000	25.84	n/a	n/a	1,200.00	4.0
ARAGON GLOBAL	041	CHS	S	100,000	4.38	5-Dec	9-Jan	3,000.00	3.0
CIRCLE T PART	035	CKR	S	25,000	8.75	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	COF	B	50,000	19.53	n/a	28-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	COH	B	30,000	15.04	9-Jan	22-Jan	1,200.00	4.0
MAGNETAR FINANCIAL	031	CP	SS	2,300	32.30	n/a	n/a	92.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
POST ROAD CAP	045	CTV	S	19,600	15.56	n/a	n/a	588.00	3.0
SANDLER O'NEILL ASSET	031	C	SS	50,000	4.25	n/a	20-Jan	1,500.00	3.0
BUCK CAPITAL MGMT	001	DIN	B	70,000	9.45	n/a	n/a	2,100.00	3.0
BREEDEN CAP MGMT	080	DST	S	50,000	33.62	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	23,300	10.91	14-Nov	19-Dec	932.00	4.0
WEISS PECK	040	EMC	B	22,000	11.31	n/a	n/a	1,100.00	5.0
TRELLUS PARTNERS LP	028	FDO	SS	15,000	28.38	7-Jan	7-Jan	750.00	5.0
PHILADELPHIA FINANCIAL	033	FII	S	25,349	20.96	13-Nov	27-Jan	1,013.96	4.0
SENV	045	FOR	S	20,000	12.29	n/a	20-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	27,700	16.12	n/a	10-Jan	1,108.00	4.0
BUCK CAPITAL MGMT	001	GES	B	107,100	17.40	n/a	n/a	4,284.00	4.0
FIRST NY SEC/CHRIS	041	GE	SS	25,000	13.68	n/a	n/a	1,250.00	5.0
OZ MGMT	040	GE	C	356,908	13.69	n/a	n/a	10,707.24	3.0
WHITE PINE CAPITAL	030	GIL	B	2,000	11.28	11-Dec	12-Dec	100.00	5.0
OZ MGMT	040	GS	B	57,149	84.89	15-Sep	14-Jan	1,714.47	3.0
MFP INVESTORS	032	GT	S	50,000	6.72	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	GYMB	B	40,000	26.44	7-Nov	14-Jan	2,000.00	5.0
PIONEER OAKRIDGE	031	HGSI	B	150,000	2.13	n/a	n/a	7,500.00	5.0
CATAPULT	040	HRS	S	17,000	44.45	30-Oct	8-Jan	850.00	5.0
STADIA CAPITAL	035	HSC	S	10,100	28.60	31-Oct	15-Dec	404.00	4.0
SCOPUS FUND	041	IP	B	59,000	11.76	22-Sep	20-Jan	2,950.00	5.0
CENTURION GLOBAL MGMT LL	041	ISIL	B	23,000	10.15	n/a	n/a	690.00	3.0
SCOPUS FUND	041	ITT	B	10,000	47.71	n/a	22-Jan	500.00	5.0
1798 CAPITAL MGMT	040	JACK	S	5,000	23.43	n/a	n/a	250.00	5.0
MATRIX ASSET ADV.	036	JCI	B	11,100	13.58	26-Jan	26-Jan	333.00	3.0
PZENA INV ADV	044	JNJ	S	3,075	58.12	n/a	22-Apr	107.63	3.5
ROARING BLUE LION MGMT	012	KEG	S	26,000	3.85	14-Jan	14-Jan	520.00	2.0
NEUBERGER BERMAN	036	KEY	B	105,700	8.65	n/a	n/a	3,171.00	3.0
BUCK CAPITAL MGMT	001	KRE	B	50,000	22.31	n/a	n/a	2,000.00	4.0
1798 CAPITAL MGMT	040	KR	SS	10,000	24.74	n/a	n/a	500.00	5.0
MILLENIUM PARTNERS	028	KSS	SS	20,500	38.72	n/a	9-Jan	1,025.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LL	B	19,000	10.14	n/a	n/a	723.19	3.5
SYSTEMATIC FINANCIAL MGT	035	LOW	S	323,400	20.19	n/a	27-Jul	11,319.00	3.5
BACKBAY	041	LPX	S	25,000	2.34	5-Nov	23-Jan	1,250.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	5,000	30.30	n/a	n/a	250.00	5.0
ROSEDALE CAPITAL	046	MSFT	S	30,000	18.16	n/a	3-Apr	1,500.00	5.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	21.22	18-Dec	14-Jan	2,500.00	5.0
POINT BLANK CAPITAL	028	NLY	S	15,000	16.12	n/a	n/a	750.00	5.0
CAVU CAP ADV	028	OI	B	10,000	21.68	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	10,000	8.15	n/a	23-Dec	300.00	3.0
MILLRACE FUND LP	028	PFCB	SS	5,000	19.87	8-Jan	8-Jan	200.00	4.0
SCOPUS FUND	041	PSS	B	7,300	12.16	n/a	n/a	365.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	50,000	19.92	22-Jan	22-Jan	2,000.00	4.0
EATON VANCE MGMT	039	RF	S	11,255	4.56	n/a	n/a	225.10	2.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	43.40	n/a	20-Jan	2,000.00	4.0
RAIL-SPLITTER	031	RL	SS	18,200	43.06	n/a	20-Jan	910.00	5.0
MAGNETAR FINANCIAL	031	RWT	S	44,000	14.39	n/a	n/a	1,760.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	SBUX	B	141,500	9.68	n/a	21-Jan	5,660.00	4.0
PZENA INV ADV	044	SGP	S	6,275	18.84	n/a	n/a	219.63	3.5
WHITE PINE CAPITAL	030	SMBL	B	1,000	7.77	n/a	n/a	50.00	5.0
WHITE PINE CAPITAL	030	SM	B	1,000	20.59	n/a	n/a	50.00	5.0
EATON VANCE MGMT	039	STI	S	7,100	14.63	n/a	n/a	213.00	3.0
WHITE PINE CAPITAL	030	STKL	B	4,100	2.49	n/a	n/a	82.00	2.0
DENVER INST. ADV	046	SWN	B	75,800	31.65	19-Dec	19-Dec	3,032.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	50,000	35.03	17-Nov	28-Jan	2,000.00	4.0
BMO NESBITT BURNS	041	TIN	S	50,000	5.40	5-Dec	28-Jan	2,500.00	5.0
NEWLAND CAPITAL MGT	067	TIN	S	40,000	5.47	5-Dec	28-Jan	1,600.00	4.0
SCOPUS FUND	041	TIN	B	22,500	5.40	5-Dec	28-Jan	1,125.00	5.0
SUTTONBROOK CAPITAL	067	TIN	S	107,606	5.41	5-Dec	28-Jan	4,304.24	4.0
BALYASNY ASSET MGMT	044	TJX	SS	20,000	20.93	11-Aug	9-Jan	1,000.00	5.0
PRINCIPLE CAPITAL	040	TUP	SS	115,300	23.39	n/a	n/a	3,459.00	3.0
PZENA INV ADV	044	TYC	S	3,950	22.39	12-Nov	18-Nov	138.25	3.5
SAC TRADING HOWARD	038	VPRT	B	12,000	21.84	n/a	n/a	600.00	5.0
WHITE PINE CAPITAL	030	WDR	B	1,500	15.13	n/a	27-Jan	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	WEC	S	1,825	46.30	n/a	n/a	63.88	3.5
PZENA INV ADV	044	WHR	S	2,875	39.41	n/a	n/a	100.63	3.5
1798 CAPITAL MGMT	040	WMT	SS	15,000	48.98	10-Oct	8-Jan	750.00	5.0
1798 CAPITAL MGMT	040	WRC	B	15,000	22.90	7-Nov	27-Jan	750.00	5.0
HOOVER INV. MGMT	033	WRC	B	8,200	23.14	7-Nov	27-Jan	328.00	4.0
THOMAS WEISEL ASSET MGMT	035	ZION	B	3,343	16.48	n/a	n/a	100.29	3.0
TOTAL (Trade Date):							161,291.44		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/27	MACKLOWE ASSET MGMT (MACKCSMILP)	041	BBBY	SS	70,000	24.55	n/a	n/a	3500.00 5.0
AO,CXL	01/27	MILLENIUM PARTNERS (MILPCREDSU)	028	BBBY	SS	70,000	24.55	n/a	n/a	3500.00 5.0
AO,CRT	01/27	MACKLOWE ASSET MGMT (MACKCSMILP)	041	FO	B	17,000	37.66	n/a	n/a	850.00 5.0
AO,CXL	01/27	MILLENIUM PARTNERS (MILPCREDSU)	028	FO	B	17,000	37.66	n/a	n/a	850.00 5.0
AO,CRT	01/27	MACKLOWE ASSET MGMT (MACKCSMILP)	041	HD	B	15,000	22.21	n/a	27-Jul	750.00 5.0
AO,CXL	01/27	MILLENIUM PARTNERS (MILPCREDSU)	028	HD	B	15,000	22.21	n/a	27-Jul	750.00 5.0
AO,CXL	01/27	WYPER CAPITAL (WYPECU)	044	HPQ	S	30,000	35.48	n/a	n/a	1200.00 4.0
AO,	01/27	WYPER CAPITAL (WYPECU)	044	HPQ	S	840	35.48	n/a	n/a	33.60 4.0
AO,	01/27	WYPER CAPITAL (WYPEJPMORG)	044	HPQ	S	5,826	35.48	n/a	n/a	233.04 4.0
AO,	01/27	WYPER CAPITAL (WYPENORTHE)	044	HPQ	S	10,952	35.48	n/a	n/a	438.08 4.0
AO,	01/27	WYPER CAPITAL (WYPEUSGA I)	044	HPQ	S	1,102	35.48	n/a	n/a	44.08 4.0
AO,	01/27	WYPER CAPITAL (WYPEMORGAN)	044	HPQ	S	11,280	35.48	n/a	n/a	451.20 4.0
CRT	01/28	SCOPUS FUND (SCOPBANC O)	041	IP	B	7,876	11.76	22-Sep	20-Jan	393.80 5.0
CRT	01/28	SCOPUS FUND (SCOPUBS)	041	IP	B	51,124	11.76	22-Sep	20-Jan	2556.20 5.0
AO,CXL	01/27	MATLIN PATTERSON (MATLGSPB)	028	RSH	S	25,000	11.95	n/a	n/a	1250.00 5.0
AO,CRT	01/27	MATLIN PATTERSON (MATLGSPB)	028	RSH	S	25,000	11.95	n/a	n/a	750.00 3.0
AO,CXL	01/23	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	041	TIN	B	40,000	4.27	5-Dec	28-Jan	2000.00 5.0
AO,CRT	01/23	CSFB GLOBAL PROPRIETARY (CSFBGLOBAL)	041	TIN	B	40,000	4.27	5-Dec	28-Jan	1200.00 3.0
AO,CXL	01/26	JP MORGAN VENTURES (JPMVJPM)	046	USO	B	76,900	32.68	n/a	n/a	3845.00 5.0
AO,CRT	01/26	JP MORGAN VENTURES (JPMVJPM)	046	USO	B	76,900	32.68	n/a	n/a	2307.00 3.0
AO,CXL	01/26	JP MORGAN VENTURES (JPMVJPM)	046	UYG	S	100,000	3.23	n/a	n/a	5000.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/26	JP MORGAN VENTURES (JPMVJPM)	046	UYG	S	100,000	3.23	n/a	n/a	3000.00 3.0
AO,CRT	01/27	MACKLOWE ASSET MGMT (MACKCSMILP)	041	YUM	SS	10,000	29.01	n/a	28-Jan	500.00 5.0
AO,CXL	01/27	MILLENIUM PARTNERS (MILPCREDSU)	028	YUM	SS	10,000	29.01	n/a	28-Jan	500.00 5.0
AO,	01/23	PROSPECTOR PARTNERS LLC (PROSOPPORT)	036	ZBRA	S	4,300	17.34	n/a	n/a	172.00 4.0
AO,CRT	01/23	PROSPECTOR PARTNERS LLC (PROSMORGAN)	036	ZBRA	S	13,700	17.34	n/a	n/a	548.00 4.0
AO,CXL	01/23	PROSPECTOR PARTNERS LLC (PROSMSA)	036	ZBRA	S	18,000	17.34	n/a	n/a	720.00 4.0

TOTAL (AO, CXL, CRT) :	-1,888.00
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TOTAL (Trade Date) :	161,291.44
TOTAL (AO, CXL, CRT) :	-1,888.00

TOTAL (RUN DATE) / NFS :	159,403.44
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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