



## Daily Compliance Activity Report

Trade Date: 03/16/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
MATRIX ASSET ADV.	036	AA	S	15,000	6.10	n/a	n/a	450.00 3.0
BNPP	040	ABB	S	50,000	13.43	n/a	n/a	2,000.00 4.0
PATTEN & PATTEN	067	ADM	S	1,400	28.32	5-Jan	9-Mar	70.00 5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>100,000</b>	<b>10.66</b>	<b>n/a</b>	<b>12-Mar</b>	<b>4,000.00 4.0</b>
PZENA INV ADV	044	ALL	S	2,375	17.27	n/a	n/a	83.14 3.5
KINGDON ASSET MGMT	041	AMD	B	200,000	2.62	n/a	n/a	6,000.00 3.0
JP MORGAN VENTURES	046	ANF	SS	5,600	22.01	n/a	6-Feb	280.00 5.0
COUGAR TRADING	044	AN	B	5,000	12.27	30-Jan	30-Jan	250.00 5.0
WAGONHOUND/NIC	048	ARD	B	735	25.63	n/a	n/a	29.40 4.0
PATTEN & PATTEN	067	AXP	S	600	13.55	n/a	11-Mar	30.00 5.0
PATTEN & PATTEN	067	BAC	S	500	6.58	2-Mar	16-Mar	25.00 5.0
PZENA INV ADV	044	BA	S	2,325	33.91	n/a	n/a	81.38 3.5
JP MORGAN VENTURES	046	BBBY	B	35,000	22.31	n/a	n/a	1,750.00 5.0
RBC CAPITAL MARKETS	034	BBY	S	10,000	30.05	n/a	27-Jul	400.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	BIG	S	24,983	20.10	4-Mar	6-Mar	1,249.15	5.0
BALYASNY ASSET MGMT	044	BK	S	50,000	24.15	21-Jan	16-Mar	2,500.00	5.0
PATTEN & PATTEN	067	BTU	S	3,500	25.35	n/a	n/a	175.00	5.0
METROPOLITAN CAPITAL	044	BWA	SS	13,600	18.86	12-Mar	12-Mar	544.00	4.0
SCOPUS FUND	041	BWA	S	44,700	18.42	12-Mar	12-Mar	2,235.00	5.0
PATTEN & PATTEN	067	CAG	S	1,600	14.99	n/a	n/a	80.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CCL</b>	<b>B</b>	<b>50,000</b>	<b>20.89</b>	<b>n/a</b>	<b>26-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>120,000</b>	<b>14.71</b>	<b>9-Jan</b>	<b>22-Jan</b>	<b>4,800.00</b>	<b>4.0</b>
CATAPULT	040	COH	SS	50,000	14.63	9-Jan	22-Jan	2,000.00	4.0
SAC TRADING HOWARD	038	COH	S	20,000	14.79	9-Jan	22-Jan	800.00	4.0
THE BOSTON COMPANY	401	CTRN	S	59,530	13.95	n/a	n/a	2,381.20	4.0
ASCEND PARTNERS	033	CVS	B	75,000	27.08	n/a	n/a	3,750.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	150,000	6.50	n/a	16-Mar	4,500.00	3.0
PATTEN & PATTEN	067	DOW	B	1,525	7.99	n/a	11-Mar	76.25	5.0
NEUBERGER BERMAN	036	DOX	S	20,000	17.01	n/a	n/a	900.00	4.5
BALYASNY ASSET MGMT	044	DRI	B	25,000	29.75	19-Dec	12-Mar	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DRI</b>	<b>B</b>	<b>94,400</b>	<b>29.54</b>	<b>19-Dec</b>	<b>12-Mar</b>	<b>3,776.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	DRI	B	10,000	29.60	19-Dec	12-Mar	400.00	4.0
PATTEN & PATTEN	067	EXH	S	200	15.76	27-Jan	26-Feb	10.00	5.0
JP MORGAN VENTURES	046	FINL	B	50,000	5.31	n/a	28-Mar	1,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>40,000</b>	<b>15.95</b>	<b>n/a</b>	<b>10-Jan</b>	<b>1,600.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	GES	B	30,000	15.47	n/a	n/a	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>20,000</b>	<b>15.67</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
FINANCIAL STOCK LP	028	GE	SS	100,000	10.05	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	GE	B	200	10.08	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	GLD	S	100	90.55	n/a	n/a	5.00	5.0
STRONG/MARK GRONET	030	GTI	B	20,000	6.51	n/a	n/a	600.00	3.0
COUGAR TRADING	044	GYMB	B	5,000	18.40	5-Mar	5-Mar	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOG</b>	<b>B</b>	<b>30,000</b>	<b>11.56</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
SAXON WOODS ADVISORS	038	ITC	B	51,100	36.60	n/a	n/a	2,044.00	4.0
PATTEN & PATTEN	067	IYT	B	200	45.90	n/a	n/a	10.00	5.0
BMO NESBITT BURNS	041	JCI	S	50,000	9.79	13-Mar	13-Mar	2,500.00	5.0
PZENA INV ADV	044	JCP	S	5,900	16.25	6-Feb	6-Mar	206.51	3.5
PZENA INV ADV	044	JPM	S	2,525	24.28	16-Jan	16-Mar	88.38	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	KR	B	20,000	21.27	n/a	n/a	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	KSS	B	30,000	38.56	n/a	6-Mar	1,200.00	4.0
PATTEN & PATTEN	067	LAZ	S	50	28.06	n/a	n/a	2.50	5.0
SCOGGIN CAP	039	LF	B	38,000	1.48	n/a	n/a	1,140.00	3.0
BMO NESBITT BURNS	041	LM	S	25,000	14.54	29-Jan	16-Mar	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	LM	B	25,000	14.55	29-Jan	16-Mar	750.00	3.0
SANDLER O'NEILL ASSET	031	LM	B	20,000	14.32	29-Jan	16-Mar	1,000.00	5.0
PATTEN & PATTEN	067	MIC	S	2,225	1.24	n/a	n/a	111.25	5.0
CAMBIAR CAP	046	MO	S	418,940	17.08	n/a	n/a	16,757.60	4.0
HOTCHKIS & WILEY	035	NOC	B	350,000	38.40	n/a	n/a	17,500.00	5.0
PATTEN & PATTEN	067	NUE	B	10,400	37.37	n/a	n/a	520.00	5.0
PATTEN & PATTEN	067	OSK	S	500	6.75	n/a	n/a	25.00	5.0
NEWCASTLE FUNDS	033	PFCB	SS	7,300	22.50	8-Jan	12-Feb	292.00	4.0
PROSPECTOR PARTNERS LLC	036	PFE	S	12,800	14.58	n/a	31-Mar	512.00	4.0
PATTEN & PATTEN	067	PL	B	2,000	5.02	n/a	n/a	100.00	5.0
PATTEN & PATTEN	067	PRU	B	500	20.99	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	RCL	B	345,864	7.90	30-Jan	30-Jan	10,375.92	3.0
RBC CAPITAL MARKETS	034	ROST	S	10,000	32.68	n/a	n/a	400.00	4.0
PZENA INV ADV	044	SLE	S	4,950	7.88	n/a	n/a	173.26	3.5
DELTEC ASSET MGMT.	040	SMH	B	8,500	17.96	n/a	n/a	425.00	5.0
PZENA INV ADV	044	SRE	S	1,925	41.41	n/a	n/a	67.38	3.5
ROYAL CAPITAL	039	STRA	B	52,300	146.88	n/a	n/a	2,615.00	5.0
MILLENIUM PARTNERS	028	SUP	SS	4,516	11.00	27-Feb	27-Feb	180.64	4.0
SCOGGIN CAP	039	THQI	B	100,000	2.73	n/a	n/a	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TIF</b>	<b>B</b>	<b>70,000</b>	<b>19.77</b>	<b>n/a</b>	<b>30-Jan</b>	<b>2,800.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	237	TIF	S	25,000	19.73	n/a	30-Jan	1,250.00	5.0
FIRST NY SEC/CHRIS	041	TIN	B	10,000	4.14	5-Dec	28-Jan	500.00	5.0
NEWLAND CAPITAL MGT	067	TIN	B	150,000	4.09	5-Dec	28-Jan	4,500.00	3.0
AVESTA CAP	229	TJX	S	50,000	24.63	n/a	6-Mar	2,500.00	5.0
SCHOTTENFELD ASSOC	041	TYC	B	2,100	19.25	12-Nov	3-Feb	63.00	3.0
SCHOTTENFELD ASSOC	041	TYC	S	2,100	19.34	12-Nov	3-Feb	63.00	3.0
PATTEN & PATTEN	067	T	S	800	24.59	n/a	4-Jan	40.00	5.0
WAGONHOUND/NIC	048	URBN	B	391	17.02	n/a	30-Jan	15.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	URI	B	100,000	3.53	n/a	29-Oct	3,000.00	3.0
CAMBIAR CAP	046	VOD	B	2,440	16.80	n/a	n/a	97.60	4.0
ASCEND PARTNERS	033	WAG	C	80,000	24.01	n/a	n/a	4,000.00	5.0
BUCK CAPITAL MGMT	001	WMT	S	100,000	48.82	10-Oct	6-Mar	4,000.00	4.0
LISTED ERR	099	WMT	SS	10,000	48.93	10-Oct	6-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	30,600	19.05	27-Feb	27-Feb	1,224.00	4.0
JP MORGAN VENTURES	046	WRC	B	20,000	18.93	27-Feb	27-Feb	1,000.00	5.0
RBC CAPITAL MARKETS	034	WRC	B	15,000	19.29	27-Feb	27-Feb	600.00	4.0
PROSPECTOR PARTNERS LLC	036	WYE	B	12,700	43.21	n/a	31-Mar	508.00	4.0
IVORY CAPITAL	034	XLF	S	1,000,000	8.36	n/a	n/a	5,000.00	0.5
<b>TOTAL (Trade Date):</b>								<b>155,773.20</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/13	PRINCIPLE CAPITAL (PRINUBSPB)	040	CVS	B	40,000	26.53	n/a	n/a	1600.00 4.0
AO,CRT	03/13	PRINCIPLE CAPITAL (PRINUBSPB)	040	CVS	B	40,000	26.53	n/a	n/a	1200.00 3.0
AO,CXL	03/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LTD	B	30,000	8.07	8-Jan	30-Jan	1200.00 4.0
AO,CRT	03/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LTD	B	30,000	8.07	8-Jan	30-Jan	900.00 3.0
AO,	03/13	SCOGGIN CAP (SCOGJPMBS)	039	THQI	B	105,400	2.69	n/a	n/a	3162.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>2,462.00</b>
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TOTAL (Trade Date) :	155,773.20
TOTAL (AO, CXL, CRT) :	2,462.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>158,235.20</b>
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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