



Daily Compliance Activity Report

Trade Date: 02/09/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	ALV	SS	2,500	20.71	30-Jan	4-Feb	125.00	5.0
BAIRD INVESTMENT	031	APC	B	2,925	41.58	3-Feb	4-Feb	146.25	5.0
THE BOSTON COMPANY	401	ARO	S	126,911	22.91	n/a	6-Feb	5,076.44	4.0
FRIESS MGMT	033	AZO	S	98,000	142.67	n/a	n/a	3,920.00	4.0
BALYASNY ASSET MGMT	044	BIG	B	75,000	15.19	5-Dec	5-Feb	3,750.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	2,500	20.49	27-Jan	27-Jan	125.00	5.0
MILLENIUM PARTNERS	028	CAT	S	22,000	32.95	22-Oct	27-Jan	880.00	4.0
RAMIUS CAP	040	CCK	S	75,000	21.62	n/a	n/a	3,750.00	5.0
NEUBERGER BERMAN	036	EGP	S	12,700	30.85	n/a	n/a	571.50	4.5
ROTHSCHILD ASSET	040	EMS	B	11,100	34.72	n/a	n/a	499.51	4.5
1798 CAPITAL MGMT	040	FDO	B	20,000	27.56	7-Jan	4-Feb	1,000.00	5.0
BUCK CAPITAL MGMT	001	FO	SS	50,000	33.16	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	GE	SS	100,000	12.36	n/a	n/a	5,000.00	5.0
GOLDMAN SACHS ASSET MGMT	044	HPQ	S	95,200	36.26	n/a	n/a	2,856.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	HUM	C	44,870	45.62	n/a	n/a	2,243.50	5.0
SIGMA CAPITAL ASSOCIATES	237	JCP	B	50,000	16.20	6-Feb	6-Feb	2,500.00	5.0
ROBX	033	JOYG	C	3,020	24.67	26-Jan	26-Jan	120.80	4.0
JENNISON	032	KLAC	B	800,000	20.64	n/a	n/a	29,600.00	3.7
SANDLER CAPITAL	038	LDK	B	100,000	11.34	n/a	n/a	6,000.00	6.0
BUCK CAPITAL MGMT	001	MCD	B	43,000	58.37	13-Oct	9-Feb	1,720.00	4.0
TRELLUS PARTNERS LP	028	MGA	SS	2,700	30.91	n/a	n/a	135.00	5.0
WHITE PINE CAPITAL	030	MI	B	49,600	5.58	n/a	n/a	2,480.00	5.0
PROSPECTOR PARTNERS LLC	036	NEM	S	10,000	40.55	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	5.04	16-Dec	20-Jan	400.00	4.0
PROSPECTOR PARTNERS LLC	036	NXY	S	20,000	15.75	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	NYT	S	10,000	4.86	n/a	n/a	400.00	4.0
REICH AND TANG	067	OMG	S	20,000	22.79	n/a	n/a	1,000.00	5.0
TRELLUS PARTNERS LP	028	PCAR	SS	15,000	30.76	20-Nov	2-Feb	750.00	5.0
MILLENIUM PARTNERS	028	PH	B	15,000	41.58	n/a	11-Dec	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	PPS	S	20,000	12.00	n/a	n/a	800.00	4.0
COLUMBIA PARTNERS	028	QDEL	B	45,493	13.36	n/a	n/a	1,819.72	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	40.86	n/a	5-Feb	400.00	4.0
CASTLE ARK	031	RRC	S	163,700	40.60	n/a	n/a	9,822.00	6.0
NEUBERGER BERMAN	036	SKT	S	12,600	31.35	n/a	n/a	567.00	4.5
BUCK CAPITAL MGMT	001	SSI	S	40,000	8.09	n/a	6-Feb	1,200.00	3.0
BUCK CAPITAL MGMT	001	SUI	S	30,000	12.46	n/a	n/a	1,200.00	4.0
CAXTON PART	040	WMI	S	11,889	29.00	n/a	n/a	416.12	3.5
HARVEST MGMT	039	ZUMZ	B	10,000	8.88	n/a	n/a	300.00	3.0
TOTAL (Trade Date) :								95,373.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/05	LITESPEED (LITEUBS)	028	BWA	SS	100,000	18.59	27-Jan	27-Jan	5000.00 5.0
AO,CRT	02/05	LITESPEED (LITEUBS)	028	BWA	SS	100,000	18.59	27-Jan	27-Jan	3000.00 3.0
AO,CXL	02/06	LITESPEED (LITEUBS)	028	BWA	SS	70,000	20.37	27-Jan	27-Jan	3500.00 5.0
AO,CRT	02/06	LITESPEED (LITEUBS)	028	BWA	SS	70,000	20.37	27-Jan	27-Jan	2100.00 3.0
AO,	02/06	RESURGENCE ASSET MGMT (RESU7001)	070	BWA	SS	14,966	21.35	27-Jan	27-Jan	748.30 5.0
AO,	02/06	RESURGENCE ASSET MGMT (RESU7103)	070	BWA	SS	3,899	21.35	27-Jan	27-Jan	194.95 5.0
AO,	02/06	RESURGENCE ASSET MGMT (RESU7002)	070	BWA	SS	1,135	21.35	27-Jan	27-Jan	56.75 5.0
AO,CRT	02/06	STELLIAM INV ADV (STLLGSBULK)	040	CMG	SS	15,000	51.17	23-Oct	9-Feb	750.00 5.0
AO,CXL	02/06	STELLIAM INV ADV (STLLMSEXEC)	040	CMG	SS	15,000	51.17	23-Oct	9-Feb	750.00 5.0
AO,CXL	02/05	COOPER CREEK PART (COOPGS)	028	HAR	B	10,000	13.49	5-Feb	5-Feb	500.00 5.0
AO,CRT	02/05	COOPER CREEK PART (COOPGS)	028	HAR	B	10,000	13.49	5-Feb	5-Feb	400.00 4.0
AO,CXL	02/06	BALYASNY ASSET MGMT (BALYGS)	044	LTD	S	30,000	8.83	8-Jan	30-Jan	1500.00 5.0
AO,CRT	02/06	BALYASNY ASSET MGMT (BALYGS)	044	LTD	S	30,000	8.83	8-Jan	30-Jan	1200.00 4.0
AO,CXL	02/06	JP MORGAN VENTURES (JPMVJPM)	046	M	S	150,000	9.59	n/a	6-Feb	7500.00 5.0
AO,CRT	02/06	JP MORGAN VENTURES (JPMVJPM)	046	M	S	150,000	9.59	n/a	6-Feb	4500.00 3.0
AO,	02/06	WHITE PINE CAPITAL (WPIN4428)	030	MI	B	6,100	4.86	n/a	n/a	244.00 4.0
AO,CXL	02/06	WHITE PINE CAPITAL (WPINW04434)	030	MI	B	5,700	4.86	n/a	n/a	228.00 4.0
AO,	02/06	WHITE PINE CAPITAL (WPINW04434)	030	MI	B	5,700	4.86	n/a	n/a	228.00 4.0
AO,CXL	02/06	WHITE PINE CAPITAL (WPIN04427)	030	MI	B	6,100	4.86	n/a	n/a	244.00 4.0
AO,CRT	02/06	AMBER CAPITAL (AMBRGS)	041	SNV	SS	250,000	4.07	n/a	n/a	10000.00 4.0
AO,CXL	02/06	ARAGON GLOBAL (ARAGGS)	041	SNV	SS	250,000	4.07	n/a	n/a	10000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									-5,800.00
TOTAL (Trade Date) :									95,373.84
TOTAL (AO, CXL, CRT) :									-5,800.00
TOTAL (RUN DATE) / NFS :									89,573.84

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