



Daily Compliance Activity Report

Trade Date: 02/19/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE BOSTON COMPANY	401	ACV	S	108,280	22.33	n/a	n/a	4,331.20	4.0
THE JAY GOLDMAN	034	ADP	B	10,000	35.89	n/a	n/a	400.00	4.0
MERRILL ASSET	032	AG	B	14,000	19.01	15-Dec	10-Feb	630.00	4.5
BUCK CAPITAL MGMT	001	ALV	SS	50,000	17.88	30-Jan	4-Feb	2,000.00	4.0
TRUSTCO/SUNTRUST	040	ALV	S	20,000	18.15	30-Jan	4-Feb	640.00	3.2
CADIAN CAPITAL	067	ANF	B	110,000	23.02	n/a	6-Feb	4,400.00	4.0
PZENA INV ADV	044	AVP	B	2,225	20.03	4-Feb	4-Feb	77.88	3.5
MARINER/TRICADIA	041	AYI	B	25,000	23.94	n/a	n/a	1,250.00	5.0
TRUGENT CAPITAL	031	BMS	B	7,700	19.41	n/a	n/a	308.00	4.0
THOMAS WEISEL ASSET MGMT	035	BRCD	S	25,580	3.48	n/a	n/a	767.40	3.0
OTC ERROR	099	BRCD	B	10,000	3.45	n/a	n/a	0.00	0.0
LISTED ERR	099	BRCD	S	10,000	3.44	n/a	n/a	0.00	0.0
COUGAR TRADING	044	BWA	SS	5,000	19.26	27-Jan	13-Feb	250.00	5.0
BENCHMARK	028	CCL	B	10,000	19.87	n/a	26-Jan	500.00	5.0
MILLENIUUM PARTNERS	028	CHD	B	14,540	50.88	n/a	5-Feb	581.60	4.0
CR INTRINIC INVESTMENT	044	CHTT	S	279	62.90	16-Oct	29-Jan	13.95	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUUM PARTNERS	028	CLX	B	20,190	50.33	10-Feb	10-Feb	807.60	4.0
MILLENIUUM PARTNERS	028	CL	B	15,680	60.78	n/a	29-Jan	627.20	4.0
MILLENIUUM PARTNERS	028	CMCSA	B	60,000	13.03	n/a	4-Jan	2,400.00	4.0
PZENA INV ADV	044	DELL	B	16,900	8.10	n/a	n/a	591.51	3.5
JP MORGAN VENTURES	046	DKS	SS	40,000	11.69	n/a	13-Feb	2,000.00	5.0
COBALT	041	ETE	B	144,500	18.59	n/a	n/a	7,225.00	5.0
PHILADELPHIA FINANCIAL	033	EVR	S	9,500	12.56	n/a	n/a	380.00	4.0
BELLMAN WALTERSS CAP	091	EV	SS	90,000	17.22	9-Jan	18-Feb	4,500.00	5.0
BMO NESBITT BURNS	041	EV	B	25,000	17.08	9-Jan	18-Feb	1,250.00	5.0
THE JAY GOLDMAN	034	FAF	S	20,000	26.55	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	FL	B	100,000	7.47	7-Oct	13-Feb	3,000.00	3.0
THE JAY GOLDMAN	034	FNF	B	25,000	19.46	n/a	n/a	1,000.00	4.0
ADALY INV MGMT	067	FOR	B	25,000	8.99	12-Feb	12-Feb	750.00	3.0
FIRST NEW YORK LEDDY	035	FOR	B	10,000	9.00	12-Feb	12-Feb	600.00	6.0
MILLENIUUM PARTNERS	028	FOR	B	50,000	8.98	12-Feb	12-Feb	2,500.00	5.0
EATON VANCE MGMT	039	GE	B	49,111	10.26	n/a	n/a	1,473.33	3.0
AVESTA CAP	229	GG	S	50,000	32.05	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	GIL	B	33,400	7.33	11-Dec	12-Feb	1,336.00	4.0
HARVEST MGMT	039	GPI	B	25,000	8.20	n/a	18-Feb	1,250.00	5.0
TRUSTCO/SUNTRUST	040	GPI	S	25,000	7.65	n/a	18-Feb	800.01	3.2
SANDLER O'NEILL ASSET	031	GS	S	20,000	87.38	15-Sep	17-Feb	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	GVA	SS	29,400	32.09	n/a	n/a	1,470.00	5.0
THE JAY GOLDMAN	034	HD	B	25,000	20.12	n/a	11-Feb	1,000.00	4.0
MERRILL ASSET	032	HUBB	B	18,800	27.59	n/a	n/a	846.00	4.5
NEUBERGER BERMAN	036	IMA	B	193,100	27.75	n/a	n/a	8,689.50	4.5
BELLMAN WALTERSS CAP	091	IVZ	B	25,000	12.37	9-Jan	10-Feb	1,250.00	5.0
BMO NESBITT BURNS	041	IVZ	S	25,000	12.64	9-Jan	10-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	10.37	n/a	30-Jan	800.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	200,000	15.02	6-Feb	6-Feb	8,000.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	300,000	15.37	6-Feb	6-Feb	12,000.00	4.0
HUNTER GLOBAL INVESTOR	067	KMT	SS	57,500	17.68	18-Sep	30-Jan	2,300.00	4.0
MERRILL ASSET	032	LEN	S	78,800	6.61	n/a	n/a	3,546.00	4.5
BUCK CAPITAL MGMT	001	LIZ	B	95,435	2.60	n/a	14-Jan	2,863.05	3.0
HUNTER GLOBAL INVESTOR	067	LOW	B	175,000	17.12	n/a	11-Feb	7,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	LTD	B	16,200	7.84	8-Jan	30-Jan	810.00	5.0
BUCK CAPITAL MGMT	001	MW	B	50,000	10.87	n/a	n/a	2,000.00	4.0
TRELLUS PARTNERS LP	028	PCAR	SS	8,000	26.93	20-Nov	2-Feb	400.00	5.0
HUNTER GLOBAL INVESTOR	067	PJC	B	37,000	26.09	n/a	n/a	1,850.00	5.0
RBC CAPITAL MARKETS	034	PLCE	SS	10,000	20.10	6-Jan	6-Feb	400.00	4.0
HUNTER GLOBAL INVESTOR	067	RJF	B	28,000	17.82	n/a	n/a	1,120.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	35.80	n/a	5-Feb	400.00	4.0
JP MORGAN VENTURES	046	RL	B	30,000	35.95	n/a	5-Feb	1,500.00	5.0
HUNTER GLOBAL INVESTOR	067	SF	B	45,000	33.83	n/a	n/a	2,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	SHW	S	25,000	46.28	n/a	22-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	13,400	7.28	n/a	13-Mar	402.00	3.0
SCOPUS FUND	041	SKX	B	7,000	7.27	n/a	13-Mar	350.00	5.0
PZENA INV ADV	044	SRE	S	4,000	41.21	n/a	n/a	140.00	3.5
ROYAL CAPITAL	039	STX	B	70,641	4.21	n/a	n/a	2,119.23	3.0
NEWCASTLE FUNDS	033	UAUA	S	20,000	6.51	n/a	n/a	800.00	4.0
MERRILL ASSET	032	URBN	B	16,500	16.28	n/a	30-Jan	742.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	WFC	B	20,000	12.86	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	100,000	21.80	7-Nov	27-Jan	4,000.00	4.0
HUNTER GLOBAL INVESTOR	067	XLFI	S	250,000	7.81	n/a	n/a	7,500.00	3.0
TOTAL (Trade Date):							132,988.96		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/18	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	CFL	B	61,000	21.94	n/a	n/a	3050.00 5.0
AO,CRT	02/18	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	CFL	B	61,000	21.94	n/a	n/a	2440.00 4.0
AO,CXL	02/18	JAT CAPITAL MANAGEMENT (JATCGS)	041	HBI	SS	45,100	7.07	n/a	n/a	1804.00 4.0
AO,CRT	02/18	JAT CAPITAL MANAGEMENT (JATCGS)	041	HBI	SS	45,100	7.07	n/a	n/a	1353.00 3.0
AO,	02/18	CENTURION GLOBAL MGMT LL (CGLOMSCO)	041	MO	B	21,300	15.62	n/a	n/a	639.00 3.0
AO,	02/18	NOMURA CAPITAL (NOMUSTRATE)	045	TSO	SS	3,350	16.63	n/a	n/a	167.50 5.0
AO,	02/18	NOMURA CAPITAL (NOMUBATT2)	045	TSO	SS	3,000	16.63	n/a	n/a	150.00 5.0
AO,	02/18	NOMURA CAPITAL (NOMUBSMAIN)	045	TSO	SS	3,650	16.63	n/a	n/a	182.50 5.0

TOTAL (AO, CXL, CRT) :	78.00
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TOTAL (Trade Date) :	132,988.96
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TOTAL (AO, CXL, CRT) :	78.00
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TOTAL (RUN DATE) / NFS :	133,066.96
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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