



## Daily Compliance Activity Report

Trade Date: 01/27/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	ANF	B	100,000	18.98	n/a	9-Jan	4,000.00	4.0
THE BOSTON COMPANY	401	ARO	B	85,361	21.10	n/a	9-Jan	3,414.44	4.0
POIN	028	ASH	S	12,400	9.52	n/a	27-Jan	620.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>ASH</b>	<b>S</b>	<b>100</b>	<b>9.52</b>	<b>n/a</b>	<b>27-Jan</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	067	AXE	B	10,000	26.51	22-Dec	22-Dec	400.00	4.0
1798 CAPITAL MGMT	040	BBBY	SS	5,000	24.17	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	BBBY	SS	70,000	24.55	n/a	n/a	3,500.00	5.0
NEUBERGER BERMAN	036	BDN	B	68,800	6.36	n/a	n/a	3,096.00	4.5
COUGAR TRADING	044	BIG	S	10,000	13.96	5-Dec	6-Jan	500.00	5.0
DAVIS SELECT ADV	040	BK	B	939,000	24.12	21-Jan	21-Jan	28,170.00	3.0
HUNTER GLOBAL INVESTOR	067	BXP	B	17,000	43.76	n/a	n/a	850.00	5.0
KLEINHEINZ CAP PART	031	CHL	B	75,000	45.94	n/a	n/a	3,750.00	5.0
PHILADELPHIA FINANCIAL	033	CME	B	8,637	169.47	n/a	23-Jan	345.48	4.0
HUNTER GLOBAL INVESTOR	067	CUZ	B	20,000	10.69	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	DDR	B	40,000	4.67	n/a	n/a	1,200.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EVERCORE WEALTH MGMT	012	EEP	B	500	32.09	n/a	n/a	25.00	5.0
HIGHBRIDGE/MS OLDS	041	EMR	SS	40,000	33.60	n/a	n/a	2,000.00	5.0
EVERCORE WEALTH MGMT	012	EPD	B	700	22.89	n/a	n/a	35.00	5.0
HOLDEN CAPITAL MGMT	035	EV	SS	30,000	18.42	9-Jan	27-Jan	1,500.00	5.0
HOLDEN CAPITAL MGMT	035	FDO	SS	50,000	27.50	7-Jan	7-Jan	2,500.00	5.0
MILLENIUM PARTNERS	028	FO	B	17,000	37.66	n/a	n/a	850.00	5.0
COUGAR TRADING	044	GNTX	SS	15,000	8.53	23-Dec	27-Jan	600.00	4.0
HOLDEN CAPITAL MGMT	035	HAR	SS	7,000	17.27	n/a	26-Nov	350.00	5.0
MILLENIUM PARTNERS	028	HD	B	15,000	22.21	n/a	27-Jul	750.00	5.0
UBS OCONNOR	031	HD	B	150,000	22.24	n/a	27-Jul	4,500.00	3.0
WYPER CAPITAL	044	HPQ	S	30,000	35.48	n/a	n/a	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	237	JOSB	SS	25,000	28.55	n/a	n/a	1,250.00	5.0
1798 CAPITAL MGMT	040	KR	SS	5,000	24.55	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	LHO	B	44,300	9.85	n/a	n/a	1,329.00	3.0
BACKBAY	041	LPX	B	1,500	2.00	5-Nov	23-Jan	45.00	3.0
PZENA INV ADV	044	MAT	B	18,500	15.14	n/a	n/a	647.51	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRENCOURT	028	MGA	B	10,000	29.83	n/a	n/a	500.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	10,000	29.85	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	MS	B	50,000	19.49	18-Dec	14-Jan	2,500.00	5.0
EVERCORE WEALTH MGMT	012	NE	B	600	26.99	n/a	n/a	30.00	5.0
1798 CAPITAL MGMT	040	ORLY	SS	5,000	29.82	n/a	n/a	250.00	5.0
ELM RIDGE ADVISORS	044	PKG	S	65,602	15.04	5-Dec	21-Jan	2,624.08	4.0
HUNTER GLOBAL INVESTOR	067	PSA	B	15,000	64.58	n/a	n/a	750.00	5.0
GRANITE CAPITAL	045	PXD	S	17,900	15.53	5-Nov	20-Nov	895.00	5.0
CENTURION GLOBAL MGMT LL	041	QCOM	S	15,900	35.70	n/a	n/a	477.00	3.0
MATLIN PATTERSON	028	RSH	S	25,000	11.95	n/a	n/a	1,250.00	5.0
1798 CAPITAL MGMT	040	SHW	B	5,000	48.69	n/a	22-Jan	250.00	5.0
EVERCORE WEALTH MGMT	012	SLB	B	350	41.10	n/a	n/a	17.50	5.0
COUGAR TRADING	044	TIN	S	15,000	4.61	5-Dec	20-Jan	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	22,100	4.55	5-Dec	20-Jan	1,105.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	3,300	4.40	5-Dec	20-Jan	99.00	3.0
NEWLAND CAPITAL MGT	067	TIN	S	105,000	4.77	5-Dec	20-Jan	3,150.00	3.0
COUGAR TRADING	044	UA	SS	5,000	19.00	n/a	15-Jan	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	VNO	B	16,000	51.49	n/a	n/a	800.00	5.0
1798 CAPITAL MGMT	040	VPRT	SS	5,000	16.11	n/a	n/a	250.00	5.0
UBS OCONNOR	031	WDR	SS	50,000	13.74	n/a	27-Jan	1,500.00	3.0
1798 CAPITAL MGMT	040	WMT	SS	5,000	48.95	10-Oct	8-Jan	250.00	5.0
1798 CAPITAL MGMT	040	WRC	B	5,000	21.76	7-Nov	27-Jan	250.00	5.0
NEUBERGER BERMAN	036	WRE	S	17,300	24.02	n/a	n/a	778.50	4.5
MILLENIUM PARTNERS	028	YUM	SS	10,000	29.01	n/a	8-Jan	500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>88,303.51</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/26	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	EAT	SS	11,200	11.37	n/a	24-Apr	448.00 4.0
AO,CRT	01/26	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	EAT	SS	1,200	11.37	n/a	24-Apr	48.00 4.0
AO,	01/26	MKT MAKER (MKT MAKER)	099	IPAR	B	21	5.80	n/a	n/a	0.00 0.0
AO,CXL	01/26	&MIL (&MILPCLOSE)	028	JWN	SS	16,540	13.37	9-Jan	9-Jan	827.00 5.0
AO,CRT	01/26	MILLENIU PARTNERS (MILPUSE)	028	JWN	SS	16,540	13.37	9-Jan	9-Jan	827.00 5.0
AO,CXL	01/26	&MIL (&MILPCLOSE)	028	LTD	SS	17,830	8.60	8-Jan	9-Jan	891.50 5.0
AO,CRT	01/26	MILLENIU PARTNERS (MILPUSE)	028	LTD	SS	17,830	8.60	8-Jan	9-Jan	891.50 5.0
AO,CXL	01/21	JP MORGAN VENTURES (JPMVJPM)	046	PCX	B	25,000	5.74	n/a	n/a	750.00 3.0
AO,CRT	01/21	JP MORGAN VENTURES (JPMVJPM)	046	PCX	B	25,000	5.74	n/a	n/a	1250.00 5.0
CRT	01/27	MATLIN PATTERSON (MATLGSPB)	028	RSH	S	25,000	11.95	n/a	n/a	1250.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,350.00</b>
TOTAL (Trade Date) :										88,303.51
TOTAL (AO, CXL, CRT) :										1,350.00
<b>TOTAL (RUN DATE) / NFS :</b>										<b>89,653.51</b>

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