



## Daily Compliance Activity Report

Trade Date: 03/02/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	040	ALV	C	10,000	13.59	30-Jan	4-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	SS	20,000	20.75	n/a	6-Feb	800.00	4.0
WEINTRAUB CAPITAL MGT.	040	ANN	SS	100,000	6.46	n/a	30-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	ARE	S	20,000	37.86	n/a	n/a	800.00	4.0
STRAUSS ASSET MGMT	040	AVAV	B	5,000	31.49	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	70,000	28.05	n/a	27-Jul	2,800.00	4.0
PHILADELPHIA FINANCIAL	033	BEN	B	15,000	45.20	13-Nov	20-Feb	600.00	4.0
LISTED ERR	099	BKC	B	5,740	21.63	6-Feb	27-Feb	0.00	0.0
LISTED ERR	099	BKC	SS	5,740	21.63	6-Feb	27-Feb	0.00	0.0
RBC CAPITAL MARKETS	034	BKS	SS	30,000	17.17	n/a	n/a	1,200.00	4.0
FORWARD MGMT	033	BRLI	B	2,000	21.19	n/a	n/a	100.00	5.0
HUNTER GLOBAL INVESTOR	067	BWA	SS	31,700	16.54	27-Jan	13-Feb	1,268.00	4.0
MARINER/TRICADIA	041	BWA	B	23,000	16.41	27-Jan	13-Feb	1,150.00	5.0
IRIDIAN ASSET MGMT.	036	CSCO	C	32,680	14.64	n/a	22-Mar	1,634.00	5.0
FORWARD MGMT	033	CYN	B	1,500	30.00	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	DELL	S	100,000	8.99	n/a	n/a	5,000.00	5.0
JP MORGAN VENTURES	046	DKS	SS	30,000	11.82	n/a	13-Feb	1,500.00	5.0
MILLENIUM PARTNERS	028	DLTR	S	10,000	39.11	10-Feb	2-Mar	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	DOW	B	14,000	7.10	n/a	13-Feb	700.00	5.0
FRONTPOINT/COPIA-ANDREW	031	DRQ	B	35,700	18.84	n/a	n/a	1,249.50	3.5
FORWARD MGMT	033	FNF	B	2,600	16.36	n/a	n/a	130.00	5.0
ROARING BLUE LION MGMT	012	FNF	S	21,200	16.36	n/a	n/a	848.00	4.0
FORWARD MGMT	033	GGG	B	1,200	15.70	n/a	n/a	60.00	5.0
CRAMER ROSENTHAL/SCOTT	012	HAR	B	25,000	10.31	5-Feb	5-Feb	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	HPQ	B	5,000	28.97	n/a	n/a	250.00	5.0
IRIDIAN ASSET MGMT.	036	INTC	C	21,140	12.77	n/a	n/a	1,057.00	5.0
DC CAPITAL	044	IP	B	100,000	5.22	22-Sep	29-Jan	5,000.00	5.0
FORWARD MGMT	033	JBT	B	4,700	9.09	n/a	n/a	235.00	5.0
COUGAR TRADING	044	JCP	SS	5,000	14.84	6-Feb	2-Mar	250.00	5.0
FORD FDN.	032	JNJ	S	25,000	48.21	n/a	22-Apr	1,250.00	5.0
MAIRS AND POWER INV	030	JNJ	S	20,000	48.45	n/a	22-Apr	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATLIN PATTERSON	046	JWN	B	50,000	13.04	20-Feb	2-Mar	1,500.00	3.0
HIGHBRIDGE CAPITAL	038	LPX	B	92,071	1.30	5-Nov	23-Jan	2,762.13	3.0
STELLIAM INV ADV	040	LUV	S	50,000	5.50	n/a	n/a	1,500.00	3.0
PRINCIPLE CAPITAL	040	MHK	B	34,000	21.14	n/a	n/a	1,020.00	3.0
BABSON/OFI/TRINITY	039	MOV	B	10,327	5.20	n/a	n/a	413.08	4.0
BUCK CAPITAL MGMT	001	M	B	20,000	7.58	n/a	2-Mar	600.00	3.0
JP MORGAN VENTURES	046	NTY	B	35,000	14.19	n/a	n/a	1,750.00	5.0
HUNTER GLOBAL INVESTOR	067	PCP	SS	1,800	53.10	n/a	n/a	90.00	5.0
BARROW HANLEY MEWHINNEY	031	PFE	S	1,747,400	11.79	n/a	31-Mar	69,896.00	4.0
FORD FDN.	032	PFE	S	50,000	11.80	n/a	31-Mar	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	PM	SS	30,000	33.19	n/a	n/a	1,500.00	5.0
IRIDIAN ASSET MGMT.	036	QDEL	B	880	10.40	n/a	n/a	44.00	5.0
FORWARD MGMT	033	RBA	B	5,800	14.23	n/a	n/a	290.00	5.0
FORWARD MGMT	033	RHI	B	1,300	14.67	n/a	n/a	65.00	5.0
BLUE HARBOR	036	RKH	SS	90,000	41.88	n/a	n/a	4,500.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	33.58	n/a	5-Feb	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	SHW	S	5,000	45.70	24-Feb	27-Feb	250.00	5.0
MILLENIUUM KOZLOW	028	SHW	B	20,000	46.28	24-Feb	27-Feb	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>20,000</b>	<b>6.11</b>	<b>n/a</b>	<b>13-Mar</b>	<b>600.00</b>	<b>3.0</b>
TRUSTCO/SUNTRUST	040	SXT	B	8,700	19.57	n/a	n/a	278.40	3.2
FORWARD MGMT	033	TIF	B	2,200	18.03	n/a	30-Jan	110.00	5.0
FORWARD MGMT	033	TROW	B	3,800	21.99	n/a	20-Feb	190.00	5.0
KEEFE BRUYETTE WOODS A	045	TROW	SS	4,100	22.78	n/a	20-Feb	164.00	4.0
CASTLEROCK	040	UPS	B	26,347	38.90	n/a	n/a	1,020.36	2.7
TRELLUS PARTNERS LP	028	URI	SS	10,800	3.97	29-Oct	29-Oct	324.00	3.0
TRUSTCO/SUNTRUST	040	VAL	S	7,400	16.12	n/a	n/a	236.80	3.2
FORWARD MGMT	033	VAR	B	1,000	29.61	n/a	n/a	50.00	5.0
IRIDIAN ASSET MGMT.	036	VZ	C	16,450	28.10	n/a	4-Jan	822.50	5.0
KEEFE BRUYETTE WOODS A	045	WDR	SS	5,100	13.73	n/a	20-Feb	204.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>132,100</b>	<b>20.95</b>	<b>27-Feb</b>	<b>27-Feb</b>	<b>5,284.00</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	XLI	SS	20,000	16.12	n/a	n/a	1,000.00	5.0

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**TOTAL (Trade Date):**

**135,620.77**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/27	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	JOYG	S	65,000	17.60	26-Jan	26-Jan	3250.00 5.0
AO,	02/27	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	JOYG	S	65,000	17.60	26-Jan	26-Jan	2600.00 4.0
AO,CXL	02/27	LISTED ERR (LISTED ERR)	099	XRX	B	200	5.17	n/a	n/a	0.00 0.0
AO,	02/27	LISTED ERR (LISTED ERR)	099	XRX	B	200	5.19	n/a	n/a	0.00 0.0
AO,	02/27	LISTED ERR (LISTED ERR)	099	XRX	S	200	5.19	n/a	n/a	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-650.00</b>

TOTAL (Trade Date) :	135,620.77
TOTAL (AO, CXL, CRT) :	-650.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>134,970.77</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