



Daily Compliance Activity Report

Trade Date: 01/06/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	AVP	B	172,700	24.78	3-Nov	9-Dec	5,181.00	3.0
MARINER/TRICADIA	041	AYI	SS	70,000	33.04	n/a	n/a	3,500.00	5.0
ROARING BLUE LION MGMT	012	BBT	B	2,200	25.59	n/a	n/a	88.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	10,000	31.27	n/a	27-Jul	400.00	4.0
THE BOSTON COMPANY	401	BEBE	S	49,980	7.03	n/a	n/a	1,999.20	4.0
TRELLUS PARTNERS LP	028	BWA	SS	15,000	24.87	16-Dec	16-Dec	750.00	5.0
BUCK CAPITAL MGMT	001	COH	SS	20,000	21.92	18-Dec	18-Dec	800.00	4.0
UBS OCONNOR	031	COST	C	50,000	51.26	n/a	27-Jul	1,500.00	3.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	19.38	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DKS	B	10,000	15.03	7-Oct	12-Dec	400.00	4.0
FORD FDN.	032	DOW	B	50,000	16.26	n/a	6-Jan	2,500.00	5.0
LAGRANGE CAP ADV	048	DXO	S	5,000	3.53	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	EV	SS	21,400	22.03	26-Nov	5-Jan	1,070.00	5.0
WAGONHOUND/NIC	048	FDO	SS	17,241	24.35	5-Dec	6-Jan	689.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	FL	SS	15,000	8.36	7-Oct	12-Dec	750.00	5.0
SCOPUS FUND	041	GES	S	20,000	16.36	n/a	n/a	1,000.00	5.0
MAIRS AND POWER INV	030	GE	B	20,000	16.58	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	GYMB	SS	25,000	25.29	7-Nov	6-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	HOT	B	100,000	23.04	n/a	n/a	4,000.00	4.0
CHARTER OAK	033	ILMN	B	25,000	26.92	n/a	n/a	1,250.00	5.0
JMP ASSET MGMT	210	IPI	B	1,100	21.88	n/a	n/a	55.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	12.73	n/a	6-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	400,000	22.42	17-Nov	6-Jan	16,000.00	4.0
RBC CAPITAL MARKETS	034	JCP	B	25,000	22.65	17-Nov	6-Jan	1,000.00	4.0
MISSOURI VALLEY PART	046	JPM	S	20,600	30.22	23-Dec	23-Dec	1,030.00	5.0
APEX CAPITAL MGMT.	091	JWN	S	150,000	15.91	14-Nov	6-Jan	6,000.00	4.0
WHALE ROCK CAP	030	JWN	B	463,000	15.89	14-Nov	6-Jan	18,520.00	4.0
BUCK CAPITAL MGMT	001	KCP	B	1,100	7.98	n/a	28-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	KCP	S	1,100	7.91	n/a	28-Sep	0.00	0.0
ASCEND PARTNERS	033	KR	B	40,000	25.73	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	100,000	37.79	n/a	6-Jan	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARROW HANLEY MEWHINNEY	031	LM	B	516,100	24.99	29-Oct	5-Jan	20,644.00	4.0
ROTHSCHILD ASSET	040	LNT	S	5,570	28.68	n/a	n/a	250.65	4.5
SLS CAPITAL LLC	224	M	S	125,300	11.71	12-Aug	6-Jan	5,012.00	4.0
THIRD COAST CAPITAL	035	NILE	B	8,000	25.21	n/a	n/a	400.00	5.0
BUCK CAPITAL MGMT	001	NKE	B	50,000	52.43	n/a	n/a	2,000.00	4.0
TRELLUS PARTNERS LP	028	PAG	SS	15,000	9.10	n/a	23-Dec	450.00	3.0
BMO NESBITT BURNS	041	PCH	B	33,000	25.43	n/a	11-Dec	1,650.00	5.0
SCOPUS FUND	041	PCH	B	25,000	25.55	n/a	11-Dec	1,250.00	5.0
BMO NESBITT BURNS	041	PCL	S	25,000	33.72	n/a	18-Dec	1,250.00	5.0
SCOPUS FUND	041	PCL	S	25,000	33.83	n/a	18-Dec	1,250.00	5.0
BENCHMARK	028	PETS	B	7,500	17.94	n/a	n/a	375.00	5.0
UBS OCONNOR	031	PG	S	50,000	62.23	10-Oct	12-Dec	1,500.00	3.0
ELM RIDGE ADVISORS	044	PKG	S	45,700	15.03	5-Dec	5-Dec	1,828.00	4.0
WEISS PECK	040	PNRA	SS	4,800	53.58	4-Sep	11-Nov	240.00	5.0
SIGMA CAPITAL ASSOCIATES	237	QLGC	B	10,000	13.41	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	20,000	46.68	n/a	6-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	ROP	B	14,026	45.79	n/a	n/a	701.30	5.0
MISSOURI VALLEY PART	046	STI	S	24,905	27.95	n/a	n/a	1,245.25	5.0
BUCK CAPITAL MGMT	001	TGT	B	200,000	37.37	17-Nov	6-Jan	8,000.00	4.0
KLEINHEINZ CAP PART	031	TGT	B	100,000	37.68	17-Nov	6-Jan	5,000.00	5.0
TRELLUS PARTNERS LP	028	TGT	SS	20,000	37.74	17-Nov	6-Jan	1,000.00	5.0
SCOPUS FUND	041	TIN	B	90,000	5.47	5-Dec	5-Dec	4,500.00	5.0
NOMURA CAPITAL	045	TOL	B	5,000	22.21	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	UNT	B	3,650	30.61	n/a	20-Nov	182.50	5.0
JMP ASSET MGMT	210	WSM	B	10,000	8.90	n/a	n/a	400.00	4.0
AVESTA CAP	229	YUM	SS	25,000	33.21	14-Aug	10-Dec	1,250.00	5.0
TOTAL (Trade Date) :								140,911.54	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	BUCK CAPITAL MGMT (BUCKJPMBS)	001	ARO	B	200,000	18.32	n/a	6-Jan	8000.00 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC7940)	036	BKE	B	136	22.64	n/a	n/a	5.44 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0922)	036	BKE	B	174	22.64	n/a	n/a	6.96 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0924)	036	BKE	B	105	22.64	n/a	n/a	4.20 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0920)	036	BKE	B	1,026	22.64	n/a	n/a	41.04 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC7910)	036	BKE	B	1,436	22.64	n/a	n/a	57.44 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0902)	036	BKE	B	375	22.64	n/a	n/a	15.00 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0270)	036	BKE	B	957	22.64	n/a	n/a	38.28 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC5900)	036	BKE	B	820	22.64	n/a	n/a	32.80 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0916)	036	BKE	B	546	22.64	n/a	n/a	21.84 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0918)	036	BKE	B	82	22.64	n/a	n/a	3.28 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0780)	036	BKE	B	444	22.64	n/a	n/a	17.76 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0300)	036	BKE	B	1,709	22.64	n/a	n/a	68.36 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC7900)	036	BKE	B	1,436	22.64	n/a	n/a	57.44 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0910)	036	BKE	B	3,486	22.64	n/a	n/a	139.44 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0912)	036	BKE	B	2,665	22.64	n/a	n/a	106.60 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC2920)	036	BKE	B	3,008	22.64	n/a	n/a	120.32 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0914)	036	BKE	B	1,094	22.64	n/a	n/a	43.76 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC3050)	036	BKE	B	2,187	22.64	n/a	n/a	87.48 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC1560)	036	BKE	B	2,324	22.64	n/a	n/a	92.96 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC4490)	036	BKE	B	4,169	22.64	n/a	n/a	166.76 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0810)	036	BKE	B	683	22.64	n/a	n/a	27.32 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC4480)	036	BKE	B	225	22.64	n/a	n/a	9.00 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC7055)	036	BKE	B	683	22.64	n/a	n/a	27.32 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC4025)	036	BKE	B	957	22.64	n/a	n/a	38.28 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC6631)	036	BKE	B	717	22.64	n/a	n/a	28.68 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	COLUMBUS CIRCLE (COLC7920)	036	BKE	B	321	22.64	n/a	n/a	12.84 4.0
AO,	01/05	COLUMBUS CIRCLE (COLC0906)	036	BKE	B	615	22.64	n/a	n/a	24.60 4.0
AO,CXL	01/05	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	237	ZLC	SS	25,000	4.70	n/a	n/a	1250.00 5.0
AO,CRT	01/05	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	237	ZLC	SS	25,000	4.70	n/a	n/a	750.00 3.0
TOTAL (AO, CXL, CRT) :										8,795.20
TOTAL (Trade Date) :										140,911.54
TOTAL (AO, CXL, CRT) :										8,795.20
TOTAL (RUN DATE) / NFS :										149,706.74

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