



Daily Compliance Activity Report

Trade Date: 01/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	B	10,000	30.96	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	AB	S	25,000	18.07	10-Sep	14-Jan	1,250.00	5.0
CASTLE ARK	031	ACE	B	38,129	48.53	n/a	n/a	2,287.74	6.0
PIONEER MICHAEL NOLAN	067	AEM	S	20,000	45.21	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	AEO	B	170,000	9.44	n/a	9-Jan	5,100.00	3.0
THIRD COAST CAPITAL	035	AEO	S	10,000	10.57	n/a	9-Jan	500.00	5.0
FIRST NY SEC/CHRIS	041	ANN	B	10,000	4.87	n/a	6-Jan	600.00	6.0
HUNTER GLOBAL INVESTOR	067	AVP	SS	50,000	21.52	3-Nov	9-Dec	2,500.00	5.0
MARINER/TRICADIA	041	AYI	B	4,300	27.97	n/a	n/a	215.00	5.0
MARINER/TRICADIA	041	AYI	S	4,300	29.56	n/a	n/a	215.00	5.0
BULL PATH CAPITAL	044	BAC	B	27,500	8.15	23-Dec	14-Jan	1,375.00	5.0
WEINTRAUB CAPITAL MGT.	040	BEN	B	25,000	54.15	13-Nov	12-Jan	1,000.00	4.0
RAIL-SPLITTER	031	BIG	B	5,800	13.29	5-Dec	6-Jan	290.00	5.0
HUNTER GLOBAL INVESTOR	067	BNI	SS	7,800	63.48	n/a	n/a	390.00	5.0
MILLRACE FUND LP	028	BWA	B	5,000	18.57	16-Dec	12-Jan	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	048	CASY	B	24,025	21.76	n/a	n/a	720.75	3.0
ROSEDALE CAPITAL	046	CMI	S	10,000	25.60	14-Nov	11-Dec	500.00	5.0
AVESTA CAP	229	COH	B	25,000	16.13	9-Jan	9-Jan	1,250.00	5.0
GREENLIGHT CAPITAL	041	CPN	B	153,100	7.46	n/a	n/a	6,124.00	4.0
HUNTER GLOBAL INVESTOR	067	CSX	SS	8,200	30.08	n/a	n/a	410.00	5.0
WASHINGTON ASSET	048	CSX	B	15,000	30.42	n/a	n/a	750.00	5.0
PRINCIPLE CAPITAL	040	CVS	B	35,300	25.92	n/a	n/a	1,059.00	3.0
NOMURA CAPITAL	045	DAL	S	9,500	11.40	n/a	n/a	475.00	5.0
MILLENIUUM KOZLOW	028	ETN	B	10,000	47.76	7-Jan	7-Jan	500.00	5.0
NATIONAL BK OF CAN	031	EWBC	SS	25,000	9.75	n/a	n/a	1,000.00	4.0
CUMBERLAND	038	EXH	B	8,100	21.38	n/a	16-Dec	324.00	4.0
BASIX	033	FDO	B	27,600	28.41	7-Jan	7-Jan	828.00	3.0
BMO NESBITT BURNS	041	FDO	B	25,000	28.67	7-Jan	7-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	70,100	11.00	11-Dec	12-Dec	2,804.00	4.0
MILLENIUUM KOZLOW	028	GYMB	B	20,000	24.62	7-Nov	14-Jan	1,000.00	5.0
SCOPUS FUND	041	HD	B	10,000	21.95	n/a	27-Jul	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	HRB	B	400,000	20.77	n/a	n/a	20,000.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	250,000	9.08	n/a	9-Jan	7,500.00	3.0
COUGAR TRADING	044	JCI	SS	15,000	16.76	9-Jan	9-Jan	750.00	5.0
BMO NESBITT BURNS	041	JCP	B	25,000	19.15	9-Jan	9-Jan	1,250.00	5.0
KACELA CAPITAL	034	JCP	B	25,000	18.67	9-Jan	9-Jan	1,000.00	4.0
MATRIX ASSET ADV.	036	JPM	B	10,000	24.29	23-Dec	14-Jan	400.00	4.0
NATIONAL BK OF CAN	031	JPM	S	12,000	26.39	23-Dec	14-Jan	480.00	4.0
NUMERIC	060	JWN	C	79,700	12.26	9-Jan	9-Jan	2,391.00	3.0
HUNTER GLOBAL INVESTOR	067	KSU	SS	13,700	18.01	n/a	n/a	548.00	4.0
BALYASNY ASSET MGMT	044	LM	S	30,000	20.86	29-Oct	12-Jan	1,500.00	5.0
MORGAN BANK /JPM	070	MO	B	6,000	16.40	n/a	n/a	180.00	3.0
SIGMA CAPITAL ASSOCIATES	237	MW	B	25,000	13.15	n/a	n/a	1,250.00	5.0
MARINER/TRICADIA	041	M	B	25,000	9.00	12-Aug	9-Jan	1,250.00	5.0
MARINER/TRICADIA	041	M	S	25,000	9.78	12-Aug	9-Jan	1,250.00	5.0
MARINER/TRICADIA	041	NCX	SS	25,000	5.28	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	NDN	B	50,000	9.44	31-Oct	9-Jan	1,500.00	3.0
NOMURA CAPITAL	045	OC	S	8,100	16.32	n/a	n/a	405.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	PAG	B	25,000	7.39	n/a	23-Dec	1,250.00	5.0
RAMIUS CAP	040	PCH	B	39,700	23.13	n/a	11-Dec	1,985.00	5.0
COLUMBIA PARTNERS	028	PCL	S	9,799	30.43	n/a	18-Dec	391.96	4.0
BUCK CAPITAL MGMT	001	RL	B	80,000	39.89	n/a	6-Nov	3,200.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	100,000	9.66	n/a	13-Mar	3,000.00	3.0
UBS OCONNOR	031	SWY	C	100,000	22.38	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	TIN	B	50,000	3.49	5-Dec	5-Dec	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	40,000	3.45	5-Dec	5-Dec	1,200.00	3.0
CAVU CAP ADV	028	UNP	S	25,000	41.23	n/a	n/a	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	UNP	SS	6,000	41.10	n/a	n/a	300.00	5.0
HUNTER GLOBAL INVESTOR	067	UTX	SS	100,000	49.40	n/a	n/a	5,000.00	5.0
WASHINGTON ASSET	048	UYG	S	50,000	3.90	n/a	n/a	1,500.00	3.0
MORGAN BANK /JPM	070	WMT	S	81,800	50.79	10-Oct	8-Jan	2,454.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	40,000	19.44	7-Nov	7-Nov	1,600.00	4.0
COUGAR TRADING	044	WRC	B	5,300	19.04	7-Nov	7-Nov	265.00	5.0
NATIONAL BK OF CAN	031	XLF	B	75,000	10.36	n/a	n/a	3,000.00	4.0
BUCK CAPITAL MGMT	001	ZLC	B	50,000	2.92	n/a	n/a	1,500.00	3.0

TOTAL (Trade Date):

112,717.45

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/14	CAPITAL GROWTH MGMT. (CAPGJAMAIC)	241	AET	B	60,000	25.79	n/a	n/a	2400.00 4.0
AO,CRT	01/14	CAPITAL GROWTH MGMT. (CAPGJAMAIC)	241	AET	B	60,000	25.79	n/a	n/a	3000.00 5.0
AO,CXL	01/14	SCOPUS FUND (SCOPBANC O)	041	AVY	SS	2,340	29.72	6-Jan	6-Jan	117.00 5.0
AO,CRT	01/14	SCOPUS FUND (SCOPBANC O)	041	AVY	SS	2,160	29.72	6-Jan	6-Jan	108.00 5.0
AO,CXL	01/14	SCOPUS FUND (SCOPUBS)	041	AVY	SS	6,660	29.72	6-Jan	6-Jan	333.00 5.0
AO,CRT	01/14	SCOPUS FUND (SCOPUBS)	041	AVY	SS	6,840	29.72	6-Jan	6-Jan	342.00 5.0
AO,CRT	01/14	CATAPULT (CATADEUTCH)	040	CMTL	B	18,000	41.05	n/a	n/a	900.00 5.0
AO,CXL	01/14	PNC/MERCANTILE (PNCMMAINAC)	028	CMTL	B	18,000	41.05	n/a	n/a	900.00 5.0
AO,CRT	01/14	FPCC (FPCCBROKGS)	041	LNK	B	2,200	6.33	n/a	n/a	88.00 4.0
AO,CXL	01/14	FRONTPOINT CHRIS C (FPCCGS)	041	LNK	B	2,200	6.33	n/a	n/a	88.00 4.0
AO,CRT	01/14	AVESTA CAP (AVESDEUTSC)	229	MET	S	15,000	27.00	n/a	n/a	750.00 5.0
AO,CXL	01/14	AVESTA CAP (AVESGSUSE)	229	MET	S	15,000	27.00	n/a	n/a	750.00 5.0
AO,CXL	01/14	SCOPUS FUND (SCOPBANC O)	041	PAG	SS	1,950	7.87	n/a	23-Dec	97.50 5.0
AO,CRT	01/14	SCOPUS FUND (SCOPBANC O)	041	PAG	SS	1,800	7.87	n/a	23-Dec	90.00 5.0
AO,CXL	01/14	SCOPUS FUND (SCOPUBS)	041	PAG	SS	5,550	7.87	n/a	23-Dec	277.50 5.0
AO,CRT	01/14	SCOPUS FUND (SCOPUBS)	041	PAG	SS	5,700	7.87	n/a	23-Dec	285.00 5.0
AO,CXL	01/14	SCOPUS FUND (SCOPBANC O)	041	WSM	SS	3,250	7.62	n/a	n/a	162.50 5.0
AO,CRT	01/14	SCOPUS FUND (SCOPBANC O)	041	WSM	SS	7,000	7.62	n/a	n/a	350.00 5.0
AO,CXL	01/14	SCOPUS FUND (SCOPUBS)	041	WSM	SS	9,250	7.62	n/a	n/a	462.50 5.0
AO,CRT	01/14	SCOPUS FUND (SCOPUBS)	041	WSM	SS	5,500	7.62	n/a	n/a	275.00 5.0
TOTAL (AO, CXL, CRT) :										600.00

TOTAL (Trade Date):	112,717.45
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TOTAL (RUN DATE) / NFS:	113,317.45
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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