



## Daily Compliance Activity Report

Trade Date: 03/10/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	ABX	B	72,000	26.53	n/a	n/a	3,600.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>9.03</b>	<b>n/a</b>	<b>6-Mar</b>	<b>600.00</b>	<b>3.0</b>
POST ROAD CAP	045	ALV	B	2,100	13.29	30-Jan	4-Feb	63.00	3.0
EVERCORE WEALTH MGMT	012	AMX	S	6,700	25.50	n/a	n/a	335.00	5.0
COUGAR TRADING	044	AN	B	5,000	10.80	30-Jan	30-Jan	250.00	5.0
1798 CAPITAL MGMT	040	ARO	B	5,000	24.10	n/a	6-Mar	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVP</b>	<b>B</b>	<b>60,000</b>	<b>15.79</b>	<b>25-Feb</b>	<b>25-Feb</b>	<b>2,400.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	BA	B	16,200	31.76	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	BA	S	16,200	32.57	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BEN	C	10,000	41.76	10-Mar	10-Mar	500.00	5.0
<b>BELLMAN WALTERSS CAP</b>	<b>091</b>	<b>BEN</b>	<b>B</b>	<b>25,000</b>	<b>41.88</b>	<b>10-Mar</b>	<b>10-Mar</b>	<b>1,250.00</b>	<b>5.0</b>
KLEINHEINZ CAP PART	031	BID	B	40,000	7.29	n/a	n/a	2,000.00	5.0
RBC CAPITAL MARKETS	034	BJ	SS	10,000	29.68	n/a	27-Jul	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKC</b>	<b>B</b>	<b>50,000</b>	<b>22.18</b>	<b>6-Feb</b>	<b>3-Mar</b>	<b>2,000.00</b>	<b>4.0</b>
EVERCORE WEALTH MGMT	012	BK	S	3,000	20.33	21-Jan	26-Feb	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	BLK	S	3,800	99.90	4-Mar	9-Mar	190.00	5.0
EPOCH INV MGMT	030	BSX	B	74,200	6.63	n/a	22-Apr	0.00	0.0
EPOCH INV MGMT	030	BSX	S	74,200	6.53	n/a	22-Apr	0.00	0.0
POST ROAD CAP	045	BWA	B	5,800	15.78	27-Jan	13-Feb	174.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CAB</b>	<b>SS</b>	<b>20,000</b>	<b>8.04</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
RBC CAPITAL MARKETS	034	COST	SS	5,000	39.49	n/a	27-Jul	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DAI</b>	<b>SS</b>	<b>20,000</b>	<b>26.10</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	1,700	41.25	10-Feb	6-Mar	68.00	4.0
ROTHSCHILD ASSET	040	DLTR	S	610	41.28	10-Feb	6-Mar	27.45	4.5
BMO NESBITT BURNS	041	DSW	B	26,200	7.00	14-Nov	13-Feb	1,310.00	5.0
ROTHSCHILD ASSET	040	DTV	S	1,340	19.79	n/a	4-Jan	60.30	4.5
EVERCORE WEALTH MGMT	012	EEP	B	400	26.70	n/a	n/a	20.00	5.0
EVERCORE WEALTH MGMT	012	EPD	B	1,800	18.89	n/a	n/a	90.00	5.0
ROTHSCHILD ASSET	040	FCX	S	770	34.06	n/a	n/a	34.65	4.5
1798 CAPITAL MGMT	040	FDO	S	45,000	31.26	5-Mar	6-Mar	2,250.00	5.0
RBC CAPITAL MARKETS	034	FDO	SS	10,000	31.43	5-Mar	6-Mar	400.00	4.0
AVES	229	FDO	S	25,000	31.27	5-Mar	6-Mar	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EATON VANCE MGMT	039	FDX	S	101,850	35.96	n/a	n/a	3,055.50	3.0
ROTHSCHILD ASSET	040	FIS	S	1,440	16.08	n/a	n/a	64.80	4.5
HUNTER GLOBAL INVESTOR	067	GE	B	200,000	8.36	n/a	n/a	6,000.00	3.0
CAXTON PART	040	GIS	B	12,462	50.20	n/a	n/a	436.20	3.5
EVERCORE WEALTH MGMT	012	GOOG	B	85	307.21	n/a	n/a	4.25	5.0
UBS OCONNOR	031	GPS	S	200,000	10.42	n/a	30-Jan	6,000.00	3.0
EVERCORE WEALTH MGMT	012	GR	B	4,700	32.39	4-Feb	4-Feb	235.00	5.0
EVERCORE WEALTH MGMT	012	GS	B	50	84.04	n/a	26-Feb	2.50	5.0
UBS OCONNOR	031	GS	B	44,000	79.90	n/a	26-Feb	1,320.00	3.0
COUGAR TRADING	044	HAR	B	5,000	10.50	5-Feb	5-Feb	250.00	5.0
ROTHSCHILD ASSET	040	HAS	S	1,000	22.27	n/a	n/a	45.00	4.5
CADIAN CAPITAL	067	HIBB	B	40,000	14.29	n/a	n/a	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	237	HIBB	SS	25,000	14.56	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	IBM	S	520	84.97	n/a	n/a	23.40	4.5
POST ROAD CAP	045	IGN	B	7,500	14.67	n/a	n/a	225.00	3.0
T. ROWE PRICE	033	ITW	S	75,300	27.57	30-Jan	17-Feb	3,012.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	IVZ	B	50,000	10.76	10-Mar	10-Mar	1,500.00	3.0
POST ROAD CAP	045	IWR	B	4,200	47.95	n/a	n/a	126.00	3.0
EVERCORE WEALTH MGMT	012	JPM	B	5,900	19.19	16-Jan	27-Feb	295.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMT</b>	<b>SS</b>	<b>10,000</b>	<b>14.28</b>	<b>n/a</b>	<b>30-Jan</b>	<b>400.00</b>	<b>4.0</b>
KARSCH CAPITAL	034	KMX	SS	75,000	10.32	n/a	10-Jan	2,250.00	3.0
SUN AMERICA ASSET MGMT	030	KSS	S	15,100	36.91	n/a	6-Mar	604.00	4.0
BMO NESBITT BURNS	041	LM	B	25,400	11.16	29-Jan	9-Mar	1,270.00	5.0
GREEN ARROW CAPITAL	034	LM	B	25,000	11.95	29-Jan	9-Mar	1,250.00	5.0
EVERCORE WEALTH MGMT	012	MA	B	120	147.99	23-Dec	13-Feb	6.00	5.0
1798 CAPITAL MGMT	040	MCD	SS	20,000	52.56	13-Oct	9-Mar	1,000.00	5.0
NOMURA CAPITAL	045	MIR	S	20,431	10.00	n/a	n/a	817.24	4.0
EVERCORE WEALTH MGMT	012	MON	B	450	77.63	n/a	22-Jan	22.50	5.0
ROTHSCHILD ASSET	040	MRO	B	61,740	22.52	n/a	n/a	2,778.30	4.5
EVERCORE WEALTH MGMT	012	MSFT	B	2,400	16.40	n/a	3-Apr	120.00	5.0
SANDLER O'NEILL ASSET	031	MS	SS	100,000	19.81	18-Dec	26-Feb	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>46,700</b>	<b>10.74</b>	<b>n/a</b>	<b>n/a</b>	<b>1,868.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>20,000</b>	<b>7.33</b>	<b>n/a</b>	<b>6-Mar</b>	<b>600.00</b>	<b>3.0</b>
COUGAR TRADING	044	M	B	5,000	7.58	n/a	6-Mar	200.00	4.0
BMO NESBITT BURNS	041	NCX	B	20,000	5.61	n/a	n/a	600.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NKE</b>	<b>B</b>	<b>20,000</b>	<b>40.53</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
EVERCORE WEALTH MGMT	012	NOK	S	13,000	9.68	n/a	n/a	650.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	B	20,000	5.48	10-Mar	10-Mar	800.00	4.0
RBC CAPITAL MARKETS	034	ORLY	SS	10,000	33.31	n/a	n/a	400.00	4.0
ARTISAN PARTNERS LP	304	PCAR	B	80,000	22.10	20-Nov	2-Feb	4,000.00	5.0
CHILTON CAPITAL MGMT.	036	PCX	S	150,000	3.15	n/a	n/a	4,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>59,300</b>	<b>15.89</b>	<b>22-Jan</b>	<b>22-Jan</b>	<b>2,372.00</b>	<b>4.0</b>
COUGAR TRADING	044	PVH	B	5,000	15.97	22-Jan	22-Jan	250.00	5.0
WAGONHOUND/NIC	048	QQQQ	B	50,000	27.17	n/a	n/a	1,500.00	3.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.00	n/a	n/a	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	RJF	B	117,600	13.56	n/a	n/a	4,116.00	3.5
THIRD COAST CAPITAL	035	SKS	B	25,000	1.95	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>30,000</b>	<b>5.65</b>	<b>n/a</b>	<b>13-Mar</b>	<b>900.00</b>	<b>3.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	SKX	B	10,000	5.45	n/a	13-Mar	500.00	5.0
EPOCH INV MGMT	030	SLGN	B	17,700	47.39	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SLGN	S	17,700	47.08	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	SPLS	S	5,000	15.69	n/a	27-Jul	150.00	3.0
KARSCH CAPITAL	034	SPY	C	31,000	70.86	n/a	n/a	620.00	2.0
<b>MASTERS CAPITAL MANAGE</b>	<b>091</b>	<b>TIN</b>	<b>B</b>	<b>100,000</b>	<b>2.93</b>	<b>5-Dec</b>	<b>28-Jan</b>	<b>3,000.00</b>	<b>3.0</b>
THE JAY GOLDMAN	034	TIN	S	10,000	3.00	5-Dec	28-Jan	300.00	3.0
ADAGE CAPITAL MGMT	030	TJX	B	600,000	23.00	n/a	6-Mar	24,000.00	4.0
BALYASNY ASSET MGMT	044	TJX	SS	90,000	22.93	n/a	6-Mar	4,500.00	5.0
THIRD COAST CAPITAL	035	TRLG	B	10,000	8.08	n/a	n/a	500.00	5.0
MTB INV ADV	034	UA	S	47,950	13.78	n/a	13-Feb	1,947.50	4.7
EVERCORE WEALTH MGMT	012	UTX	B	200	40.66	n/a	n/a	10.00	5.0
EVERCORE WEALTH MGMT	012	VOD	S	218	16.52	n/a	n/a	10.90	5.0
1798 CAPITAL MGMT	040	WAG	B	5,000	22.73	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WMT</b>	<b>B</b>	<b>30,000</b>	<b>47.94</b>	<b>10-Oct</b>	<b>6-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
CAXTON PART	040	WMT	S	28,047	48.16	10-Oct	6-Mar	981.65	3.5
SOROS	040	WMT	B	300,000	48.22	10-Oct	6-Mar	12,000.00	4.0
SUN AMERICA ASSET MGMT	030	WTI	S	100,000	5.45	n/a	n/a	4,000.00	4.0

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**TOTAL (Trade Date):**

**142,011.14**

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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	03/09	MAIRS AND POWER INV (MAIRGROWTH)	030	BAX	S	20,000	51.63	n/a	22-Apr	1000.00 5.0
AO,CRT	03/09	MAIRS AND POWER INV (MAIRGROWTH)	030	BAX	S	20,000	51.63	n/a	22-Apr	1000.00 5.0
CRT	03/10	AVES (AVESDEUTS)	229	FDO	S	25,000	31.27	5-Mar	6-Mar	1250.00 5.0
AO,	03/09	NEWCASTLE FUNDS (NEWCGS888)	033	KR	S	68,600	19.51	n/a	n/a	2744.00 4.0
AO,	03/09	NEWCASTLE FUNDS (NEWCFY709)	033	KR	S	5,100	19.51	n/a	n/a	204.00 4.0
AO,	03/09	NEWCASTLE FUNDS (NEWCWR704)	033	KR	S	3,000	19.51	n/a	n/a	120.00 4.0
AO,	03/09	NEWCASTLE FUNDS (NEWCWI7231)	033	KR	S	10,100	19.51	n/a	n/a	404.00 4.0
AO,	03/09	NEWCASTLE FUNDS (NEWCML7277)	033	KR	S	13,200	19.51	n/a	n/a	528.00 4.0
CRT	03/10	MASTERS CAPITAL MANAGE (MASTCS)	091	TIN	B	100,000	2.93	5-Dec	28-Jan	3000.00 3.0
CRT	03/10	ADAGE CAPITAL MGMT (ADAGLONG)	030	TJX	B	600,000	23.00	n/a	6-Mar	24000.00 4.0

**TOTAL (AO, CXL, CRT) :****32,250.00**

TOTAL (Trade Date):

142,011.14

TOTAL (AO, CXL, CRT):

32,250.00

**TOTAL (RUN DATE) / NFS:****174,261.14**



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