



Daily Compliance Activity Report

Trade Date: 02/06/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AAP	S	9,400	33.61	n/a	n/a	470.00	5.0
COUGAR TRADING	044	ALV	B	5,000	20.58	30-Jan	4-Feb	250.00	5.0
TRELLUS PARTNERS LP	028	ALV	SS	10,000	20.40	30-Jan	4-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	21.11	n/a	6-Feb	800.00	4.0
COUGAR TRADING	044	AN	B	20,000	11.61	30-Jan	30-Jan	1,000.00	5.0
ADALY INV MGMT	067	APD	B	10,000	55.40	n/a	22-Jan	500.00	5.0
ROTHSCHILD ASSET	040	AXE	S	13,893	35.26	22-Dec	3-Feb	625.19	4.5
WHITE PINE CAPITAL	030	BAC	B	54,450	5.99	16-Jan	16-Jan	2,722.50	5.0
TROUBH PART	067	BBY	SS	40,000	29.51	n/a	27-Jul	2,000.00	5.0
BULL PATH CAPITAL	044	BKC	B	15,000	20.00	6-Feb	6-Feb	750.00	5.0
EGS ASSOCIATES LP	091	BKC	SS	7,000	20.41	6-Feb	6-Feb	420.00	6.0
EVERCORE WEALTH MGMT	012	BK	S	1,500	28.08	21-Jan	28-Jan	75.00	5.0
COUGAR TRADING	044	BWA	B	5,000	21.36	27-Jan	27-Jan	250.00	5.0
LITESPEED	028	BWA	SS	70,000	20.37	27-Jan	27-Jan	3,500.00	5.0
STADIA CAPITAL	035	BWA	SS	16,100	21.42	27-Jan	27-Jan	644.00	4.0
TRELLUS PARTNERS LP	028	BWA	SS	11,500	20.56	27-Jan	27-Jan	575.00	5.0
KLEINHEINZ CAP PART	031	CMG	SS	75,000	51.45	23-Oct	8-Jan	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	040	CMG	SS	15,000	51.17	23-Oct	8-Jan	750.00	5.0
FULLER & THALER ASSET	033	CRR	B	45,000	38.92	5-Feb	5-Feb	1,350.00	3.0
TRELLUS PARTNERS LP	028	CRR	B	20,000	38.16	5-Feb	5-Feb	1,000.00	5.0
EPOCH INV MGMT	030	DBD	S	30,100	24.34	30-Oct	5-Feb	1,204.00	4.0
MILLENIUM PARTNERS	028	DD	B	25,000	24.45	n/a	27-Jan	1,000.00	4.0
ROTHSCHILD ASSET	040	EMS	B	191	34.45	n/a	n/a	8.60	4.5
BUCK CAPITAL MGMT	001	GES	B	20,000	18.27	n/a	n/a	800.00	4.0
QUAD CAPITAL	046	GLW	S	5,000	11.62	19-Nov	28-Jan	500.00	10.0
COUGAR TRADING	044	HAR	B	10,000	13.83	5-Feb	5-Feb	500.00	5.0
WHITE PINE CAPITAL	030	HBAN	B	53,000	2.25	n/a	n/a	1,060.00	2.0
BUCK CAPITAL MGMT	001	HD	SS	100,000	23.55	n/a	2-Feb	4,000.00	4.0
BUCK CAPITAL MGMT	001	HOG	SS	20,000	14.24	n/a	n/a	800.00	4.0
TRUSTCO/SUNTRUST	040	IFF	S	40,000	31.26	21-Jan	5-Feb	1,280.01	3.2
SCOPUS FUND	041	ITW	B	20,000	35.97	30-Jan	30-Jan	1,000.00	5.0
WHITE PINE CAPITAL	030	JPM	B	13,200	26.38	16-Jan	16-Jan	660.00	5.0
JP MORGAN VENTURES	046	KSS	SS	25,000	38.80	n/a	6-Feb	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	LOW	B	260,000	19.25	n/a	2-Feb	10,400.00	4.0
BALYASNY ASSET MGMT	044	LTD	S	30,000	8.83	8-Jan	30-Jan	1,500.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	3,500	31.28	n/a	n/a	175.00	5.0
WHITE PINE CAPITAL	030	MI	B	141,500	4.86	n/a	n/a	5,660.00	4.0
GRUSS CAPITAL	045	MLI	S	10,000	23.09	n/a	6-Feb	300.00	3.0
COUGAR TRADING	044	M	B	5,000	9.65	n/a	6-Feb	200.00	4.0
JP MORGAN VENTURES	046	M	S	150,000	9.59	n/a	6-Feb	7,500.00	5.0
CATAPULT	040	NLC	B	45,000	12.21	n/a	n/a	2,250.00	5.0
HUNTER GLOBAL INVESTOR	067	NVR	B	11,900	419.40	n/a	n/a	595.00	5.0
COUGAR TRADING	044	PAG	B	5,000	8.11	n/a	23-Dec	200.00	4.0
BUCK CAPITAL MGMT	001	RL	B	3,000	41.62	n/a	5-Feb	120.00	4.0
BUCK CAPITAL MGMT	001	RNT	B	20,000	24.40	n/a	n/a	800.00	4.0
PERMIAN/BAYPIONT	028	SAM	SS	8,600	28.52	n/a	n/a	344.00	4.0
LAGRANGE CAP ADV	048	SKX	B	10,000	7.39	n/a	13-Mar	500.00	5.0
NEWCASTLE FUNDS	033	SMG	SS	20,000	34.16	5-Feb	5-Feb	800.00	4.0
ARAGON GLOBAL	041	SNV	SS	250,000	4.07	n/a	n/a	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONT	041	SPR	S	40,000	13.00	n/a	n/a	1,600.00	4.0
AMBER CAPITAL	046	STI	SS	100,000	11.97	n/a	n/a	4,000.00	4.0
PRINCIPLE CAPITAL	040	TIF	SS	50,200	22.74	n/a	30-Jan	1,506.00	3.0
KARSCH CAPITAL	034	WFC	SS	55,000	18.04	n/a	n/a	1,650.00	3.0
KLEINHEINZ CAP PART	031	WFMI	S	75,000	10.82	n/a	n/a	3,750.00	5.0
BUCK CAPITAL MGMT	001	WMT	B	100,000	49.19	10-Oct	6-Feb	4,000.00	4.0
KACELA CAPITAL	034	WMT	B	10,000	49.95	10-Oct	6-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	24.29	7-Nov	27-Jan	800.00	4.0
WHALE ROCK CAP	030	WRC	B	46,600	24.03	7-Nov	27-Jan	1,864.00	4.0
BMO NESBITT BURNS	041	WY	SS	25,000	26.79	19-Dec	20-Jan	1,250.00	5.0
PRINCIPLE CAPITAL	040	YUM	B	33,000	30.05	n/a	5-Feb	990.00	3.0
TOTAL (Trade Date) :								99,148.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	02/05	FULLER & THALER ASSET (FULLOMAHAP)	033	CRR	B	500	39.42	5-Feb	5-Feb	15.00	3.0
AO,	02/05	FULLER & THALER ASSET (FULLBGF)	033	CRR	B	1,300	39.42	5-Feb	5-Feb	39.00	3.0
AO,	02/05	FULLER & THALER ASSET (FULLDEERE)	033	CRR	B	1,000	39.42	5-Feb	5-Feb	30.00	3.0
AO,	02/05	FULLER & THALER ASSET (FULLNY TIM)	033	CRR	B	500	39.42	5-Feb	5-Feb	15.00	3.0
AO,	02/05	FULLER & THALER ASSET (FULLGRANIT)	033	CRR	B	500	39.42	5-Feb	5-Feb	15.00	3.0
AO,	02/05	FULLER & THALER ASSET (FULLROBUST)	033	CRR	B	500	39.42	5-Feb	5-Feb	15.00	3.0
AO,	02/05	FULLER & THALER ASSET (FULLOSTRSC)	033	CRR	B	500	39.42	5-Feb	5-Feb	15.00	3.0
AO,	02/05	FULLER & THALER ASSET (FULLNESTLE)	033	CRR	B	500	39.42	5-Feb	5-Feb	15.00	3.0
AO,	02/05	BUCK CAPITAL MGMT (BUCKJPMBS)	001	HOG	S	47,500	12.51	n/a	n/a	1900.00	4.0
AO,CXL	02/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HOG	SS	50,000	12.51	n/a	n/a	2000.00	4.0
AO,CRT	02/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	HOG	SS	2,500	12.51	n/a	n/a	100.00	4.0
AO,	02/05	SANDLER O'NEILL ASSET (SANOJPMBS)	031	IVZ	S	700	13.77	9-Jan	6-Feb	35.00	5.0
AO,CXL	02/05	SANDLER O'NEILL ASSET (SANO)	031	IVZ	S	10,000	13.77	9-Jan	6-Feb	500.00	5.0
AO,CRT	02/05	SANDLER O'NEILL ASSET (SANO)	031	IVZ	S	9,300	13.77	9-Jan	6-Feb	465.00	5.0
AO,	02/05	BUCK CAPITAL MGMT (BUCKJPMBS)	001	MCD	SS	85,100	57.98	13-Oct	6-Feb	3404.00	4.0
AO,CXL	02/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MCD	SS	90,000	57.98	13-Oct	6-Feb	3600.00	4.0
AO,CRT	02/05	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	MCD	SS	4,900	57.98	13-Oct	6-Feb	196.00	4.0
AO,CRT	02/04	SENATOR INVESTMENT GROUP (SENAGS)	036	XLF	S	50,000	9.14	n/a	n/a	2500.00	5.0
AO,CXL	02/04	SENECA CAPITAL LP NY (SENEGS)	028	XLF	S	50,000	9.14	n/a	n/a	2500.00	5.0
TOTAL (AO, CXL, CRT) :										159.00	

TOTAL (Trade Date):	99,148.30
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TOTAL (RUN DATE) / NFS:	99,307.30
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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