



Daily Compliance Activity Report

Trade Date: 02/03/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	032	AAPL	B	700	92.18	n/a	n/a	35.00	5.0
PERMIAN/BAYPIONT	028	ABX	B	5,600	35.73	n/a	n/a	224.00	4.0
DSM CAPITAL PARTNERS	032	ADBE	B	3,625	19.60	n/a	n/a	181.25	5.0
EPOCH INV MGMT	030	ADP	B	14,100	38.85	n/a	n/a	564.00	4.0
EPOCH INV MGMT	030	AET	B	3,250	32.50	n/a	n/a	130.00	4.0
WASHINGTON ASSET	048	AFL	S	10,000	22.98	n/a	n/a	500.00	5.0
DSM CAPITAL PARTNERS	032	AGN	B	4,900	38.98	5-Jan	3-Feb	245.00	5.0
COLUMBIA PARTNERS	028	ALV	SS	65,203	18.04	30-Jan	30-Jan	2,608.12	4.0
HIGHBRIDGE/MS OLDS	041	ALV	B	36,100	17.90	30-Jan	30-Jan	1,805.00	5.0
EPOCH INV MGMT	030	AMP	B	31,700	21.17	n/a	n/a	1,268.00	4.0
ADALY INV MGMT	067	AN	SS	24,400	9.34	30-Jan	30-Jan	732.00	3.0
COUGAR TRADING	044	AN	B	5,000	9.59	30-Jan	30-Jan	200.00	4.0
BALYASNY ASSET MGMT	044	ARO	B	25,000	21.09	n/a	30-Jan	1,250.00	5.0
JMP ASSET MGMT	210	AVP	B	100	19.85	3-Nov	9-Dec	5.00	5.0
BASIX	033	AXE	B	16,000	31.54	22-Dec	3-Feb	800.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	067	AXE	S	12,500	30.68	22-Dec	3-Feb	500.00	4.0
EPOCH INV MGMT	030	BA	B	1,500	41.01	n/a	n/a	60.00	4.0
NATIONAL BK OF CAN	031	BBT	S	15,000	19.30	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	034	BBY	S	10,000	28.71	n/a	27-Jul	400.00	4.0
DSM CAPITAL PARTNERS	032	BCR	B	2,475	86.13	n/a	22-Apr	123.75	5.0
EPOCH INV MGMT	030	BEN	B	12,150	49.94	13-Nov	3-Feb	486.00	4.0
RBC CAPITAL MARKETS	034	BJ	S	20,000	31.65	n/a	27-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	BKE	B	20,000	22.11	n/a	n/a	800.00	4.0
FORD FDN.	032	BMY	B	55,000	22.52	n/a	n/a	2,750.00	5.0
EPOCH INV MGMT	030	BSX	B	5,950	8.85	n/a	22-Apr	238.00	4.0
STADIA CAPITAL	031	BWA	SS	10,000	17.65	27-Jan	27-Jan	400.00	4.0
DSM CAPITAL PARTNERS	032	CELG	B	8,600	52.81	n/a	n/a	430.00	5.0
MILLENIUUM KOZLOW	028	CMC	S	20,000	11.81	n/a	n/a	800.00	4.0
RAIL-SPLITTER	031	CNS	SS	30,100	10.66	n/a	n/a	1,505.00	5.0
BUCK CAPITAL MGMT	001	COH	B	170,000	14.52	9-Jan	22-Jan	6,800.00	4.0
DSM CAPITAL PARTNERS	032	CSCO	B	5,700	15.37	n/a	22-Mar	285.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	CTX	B	50,000	8.72	n/a	n/a	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	CVC	S	10,000	15.26	n/a	4-Jan	500.00	5.0
DSM CAPITAL PARTNERS	032	CVS	B	6,300	27.11	n/a	n/a	315.00	5.0
UBS OCONNOR	031	DHR	B	40,000	55.91	n/a	n/a	1,200.00	3.0
RBC CAPITAL MARKETS	034	DKS	B	20,000	10.99	7-Oct	30-Jan	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	EMC	S	25,000	11.32	n/a	n/a	1,250.00	5.0
SENVEST PART	045	FOR	S	10,011	12.47	n/a	20-Jan	500.55	5.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	14.97	n/a	10-Jan	1,200.00	4.0
DSM CAPITAL PARTNERS	032	GENZ	B	6,200	69.47	n/a	n/a	310.00	5.0
PROSPECTOR PARTNERS LLC	036	GFI	S	100,000	10.70	n/a	n/a	3,000.00	3.0
DSM CAPITAL PARTNERS	032	GOOG	B	645	339.58	n/a	n/a	32.25	5.0
ADALY INV MGMT	067	GPI	B	24,100	9.34	n/a	23-Dec	723.00	3.0
DSM CAPITAL PARTNERS	032	GPRO	B	4,500	46.19	n/a	n/a	225.00	5.0
BALYASNY ASSET MGMT	044	HAR	B	37,500	15.48	3-Feb	3-Feb	1,875.00	5.0
COUGAR TRADING	044	HAR	SS	10,000	15.56	3-Feb	3-Feb	500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	HAR	B	18,700	15.41	3-Feb	3-Feb	748.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSG CAPITAL	225	HAR	SS	10,000	15.66	3-Feb	3-Feb	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	HAR	SS	15,000	15.66	3-Feb	3-Feb	600.00	4.0
SIGMA CAPITAL ASSOCIATES	237	INTC	S	25,000	13.50	n/a	n/a	1,250.00	5.0
DSM CAPITAL PARTNERS	032	ISRG	B	1,360	106.83	n/a	n/a	68.00	5.0
DSM CAPITAL PARTNERS	032	IVZ	B	9,150	12.25	9-Jan	3-Feb	457.50	5.0
FORD FDN.	032	JNJ	S	21,000	57.88	n/a	22-Apr	1,050.00	5.0
NATIONAL BK OF CAN	031	JPM	S	10,000	24.54	16-Jan	16-Jan	400.00	4.0
EPOCH INV MGMT	030	LH	B	1,600	59.67	n/a	n/a	64.00	4.0
COUGAR TRADING	044	LTD	B	15,000	7.95	8-Jan	30-Jan	600.00	4.0
CENTURION GLOBAL MGMT LL	041	LULU	B	16,400	7.06	n/a	n/a	492.00	3.0
DSM CAPITAL PARTNERS	032	MA	B	750	139.87	23-Dec	28-Jan	37.50	5.0
BUCK CAPITAL MGMT	001	MCD	SS	20,000	57.60	13-Oct	3-Feb	800.00	4.0
DSM CAPITAL PARTNERS	032	MON	B	4,195	76.60	n/a	22-Jan	209.75	5.0
ROSEDALE CAPITAL	046	MSFT	S	25,000	18.43	n/a	3-Apr	1,250.00	5.0
RBC CAPITAL MARKETS	034	M	S	20,000	8.84	n/a	3-Feb	800.00	4.0
HOLDEN CAPITAL MGMT	035	NDN	B	50,000	8.06	31-Oct	3-Feb	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	NE	S	201,240	26.07	n/a	n/a	12,074.40	6.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	5.93	16-Dec	20-Jan	400.00	4.0
DSM CAPITAL PARTNERS	032	NSRGY	B	5,590	34.95	n/a	n/a	279.50	5.0
DSM CAPITAL PARTNERS	032	NTRS	B	2,150	59.54	14-Jan	21-Jan	107.50	5.0
DSM CAPITAL PARTNERS	032	NVO	B	3,626	55.23	n/a	n/a	181.30	5.0
NEUBERGER BERMAN	036	OHI	B	43,800	15.82	n/a	n/a	1,971.00	4.5
DSM CAPITAL PARTNERS	032	PEP	B	2,115	50.54	n/a	n/a	105.75	5.0
RBC CAPITAL MARKETS	034	PLCE	B	10,000	18.00	6-Jan	30-Jan	400.00	4.0
NATIONAL BK OF CAN	031	PNC	S	25,000	28.24	n/a	n/a	1,000.00	4.0
DSM CAPITAL PARTNERS	032	PPDI	B	5,400	24.77	n/a	n/a	270.00	5.0
COUGAR TRADING	044	PVH	S	5,000	18.80	22-Jan	22-Jan	250.00	5.0
DSM CAPITAL PARTNERS	032	QCOM	B	4,350	34.15	n/a	n/a	217.50	5.0
DIAMONDBACK CAP MGMT	232	RBC	SS	50,000	33.21	n/a	n/a	2,500.00	5.0
DSM CAPITAL PARTNERS	032	RIMM	B	2,600	55.06	n/a	n/a	130.00	5.0
BUCK CAPITAL MGMT	001	RL	B	145,000	40.12	n/a	20-Jan	5,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	RL	S	10,000	39.84	n/a	20-Jan	500.00	5.0
SCOPUS FUND	041	ROK	SS	10,000	24.47	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ROST	S	75,000	29.48	n/a	n/a	3,750.00	5.0
MAGNETAR FINANCIAL	031	RWT	S	39,100	14.40	n/a	n/a	1,955.00	5.0
DSM CAPITAL PARTNERS	032	SCHW	B	7,450	12.60	n/a	n/a	372.50	5.0
DSM CAPITAL PARTNERS	032	SEIC	B	12,800	12.94	n/a	n/a	640.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SMG	C	6,700	33.45	12-Nov	18-Nov	268.00	4.0
NATIONAL BK OF CAN	031	STT	S	22,000	23.25	n/a	n/a	880.00	4.0
DSM CAPITAL PARTNERS	032	SYK	B	5,050	41.17	n/a	n/a	252.50	5.0
KLEINHEINZ CAP PART	031	TGT	B	75,000	31.50	17-Nov	28-Jan	3,750.00	5.0
PROSPECTOR PARTNERS LLC	036	TLM	S	20,000	9.57	n/a	n/a	800.00	4.0
NEWLAND CAPITAL MGT	067	TXI	B	5,000	23.06	n/a	n/a	200.00	4.0
HIGHBRIDGE CAPITAL	038	TYC	SS	154,700	23.06	12-Nov	3-Feb	7,735.00	5.0
PROSPECTOR PARTNERS LLC	036	UNS	S	20,000	28.07	n/a	n/a	800.00	4.0
KLEINHEINZ CAP PART	031	UPS	B	25,000	45.05	n/a	n/a	1,250.00	5.0
DSM CAPITAL PARTNERS	032	VAR	B	3,450	36.35	n/a	n/a	172.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSM CAPITAL PARTNERS	032	V	B	2,100	50.01	n/a	28-Jan	105.00	5.0
AVESTA CAP	229	WMT	B	50,000	47.84	10-Oct	8-Jan	2,500.00	5.0
PRINCIPLE CAPITAL	040	WMT	B	80,400	47.62	10-Oct	8-Jan	3,216.00	4.0
RBC CAPITAL MARKETS	034	WMT	S	10,000	47.31	10-Oct	8-Jan	400.00	4.0
COUGAR TRADING	044	WRC	S	9,500	21.76	7-Nov	27-Jan	475.00	5.0
DSM CAPITAL PARTNERS	032	WU	B	10,265	13.86	n/a	n/a	513.25	5.0
EPOCH INV MGMT	030	XOM	B	7,150	76.92	n/a	n/a	286.00	4.0
TOTAL (Trade Date) :								111,290.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/02	STRAUSS ASSET MGMT (STRAJEFUSE)	040	AN	SS	25,000	9.39	30-Jan	30-Jan	1000.00 4.0
AO,CXL	02/02	STRAUSS ASSET MGMT (STRAMS)	040	AN	SS	25,000	9.39	30-Jan	30-Jan	1000.00 4.0
AO,CXL	02/02	HUNTER GLOBAL INVESTOR (HUNTIJPMORG)	067	VMC	SS	10,300	48.28	n/a	n/a	515.00 5.0
AO,CRT	02/02	HUNTER GLOBAL INVESTOR (HUNTDEUTSC)	067	VMC	SS	10,300	48.28	n/a	n/a	515.00 5.0
AO,CXL	02/02	JP MORGAN VENTURES (JPMVJPM)	046	XRT	S	85,300	19.52	n/a	n/a	4265.00 5.0
AO,CRT	02/02	JP MORGAN VENTURES (JPMVJPM)	046	XRT	S	85,300	19.52	n/a	n/a	2559.00 3.0

TOTAL (AO, CXL, CRT) :	-1,706.00
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TOTAL (Trade Date) :	111,290.37
TOTAL (AO, CXL, CRT) :	-1,706.00

TOTAL (RUN DATE) / NFS :	109,584.37
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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