



## Daily Compliance Activity Report

Trade Date: 01/26/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	AA	S	300,000	8.38	n/a	n/a	12,000.00	4.0
AVESTA CAP	229	ABX	S	50,000	38.84	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>50,000</b>	<b>9.35</b>	<b>n/a</b>	<b>9-Jan</b>	<b>1,500.00</b>	<b>3.0</b>
ROBX	302	BKC	B	8,810	22.31	27-Oct	8-Jan	352.40	4.0
DAVIS SELECT ADV	040	BK	B	400,000	23.93	21-Jan	21-Jan	12,000.00	3.0
SCOPUS FUND	041	BWA	B	20,000	17.80	16-Dec	12-Jan	1,000.00	5.0
AVESTA CAP	229	DE	S	25,000	35.40	26-Jan	26-Jan	1,250.00	5.0
SASCO	038	DLM	S	17,900	7.15	n/a	n/a	716.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>SS</b>	<b>11,200</b>	<b>11.37</b>	<b>n/a</b>	<b>24-Apr</b>	<b>448.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>S</b>	<b>18,800</b>	<b>11.37</b>	<b>n/a</b>	<b>24-Apr</b>	<b>752.00</b>	<b>4.0</b>
BREEDEN CAP MGMT	080	EBAY	B	11,600	11.64	n/a	n/a	580.00	5.0
MATLIN PATTERSON	046	EMN	S	10,900	28.59	n/a	n/a	327.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>SS</b>	<b>20,000</b>	<b>27.14</b>	<b>7-Jan</b>	<b>7-Jan</b>	<b>800.00</b>	<b>4.0</b>
SCOPUS FUND	041	FDO	B	2,500	27.19	7-Jan	7-Jan	125.00	5.0
NEUBERGER BERMAN	036	FRT	B	11,000	50.71	n/a	n/a	495.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	HCN	B	21,200	38.65	n/a	n/a	954.00	4.5
BALYASNY ASSET MGMT	044	JPM	SS	30,000	24.99	16-Jan	16-Jan	1,500.00	5.0
&MIL	028	JWN	SS	16,540	13.37	9-Jan	9-Jan	827.00	5.0
BACKBAY	041	LPX	B	50,000	2.08	5-Nov	23-Jan	1,500.00	3.0
SASCO	038	LTD	S	11,100	8.66	8-Jan	9-Jan	444.00	4.0
&MIL	028	LTD	SS	17,830	8.60	8-Jan	9-Jan	891.50	5.0
SASCO	038	MAS	S	19,000	8.91	n/a	n/a	760.00	4.0
GREEN ARROW CAPITAL	034	MET	S	25,000	28.00	n/a	n/a	1,250.00	5.0
CENTURION GLOBAL MGMT LL	041	NOK	B	14,100	11.89	n/a	n/a	423.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>B</b>	<b>20,000</b>	<b>1.88</b>	<b>n/a</b>	<b>9-Jan</b>	<b>400.00</b>	<b>2.0</b>
PERMIAN/BAYPIONT	028	PAG	SS	78,000	7.67	n/a	23-Dec	2,340.00	3.0
SAXON WOODS ADVISORS	038	PHM	S	150,000	11.19	n/a	n/a	6,000.00	4.0
SASCO	038	RSG	S	7,900	25.98	n/a	n/a	316.00	4.0
SASCO	038	SE	S	15,100	14.98	n/a	n/a	604.00	4.0
BLUE HARBOR	036	SHW	B	53,000	47.92	n/a	22-Jan	2,650.00	5.0
NEUBERGER BERMAN	036	SKT	B	12,700	31.69	n/a	n/a	571.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORRISON/TLB/BAYPOINT	040	SLB	S	10,000	41.92	n/a	n/a	300.00	3.0
SASCO	038	SLE	S	13,000	10.14	n/a	n/a	520.00	4.0
BLUE HARBOR	036	SMG	B	40,000	34.32	12-Nov	18-Nov	2,000.00	5.0
MORRISON/TLB/BAYPOINT	040	SWN	S	15,000	32.00	19-Dec	19-Dec	450.00	3.0
COUGAR TRADING	044	TIN	S	10,000	4.37	5-Dec	20-Jan	300.00	3.0
ELM RIDGE ADVISORS	044	TIN	B	70,000	4.46	5-Dec	20-Jan	2,100.00	3.0
PORTER-ORLIN-FELDMAN	044	TXN	B	200,000	15.04	n/a	n/a	10,000.00	5.0
EATON VANCE MGMT	039	USB	S	610,279	13.46	n/a	n/a	18,308.37	3.0
JP MORGAN VENTURES	046	USO	B	76,900	32.68	n/a	n/a	3,845.00	5.0
JP MORGAN VENTURES	046	UYG	S	100,000	3.23	n/a	n/a	5,000.00	5.0
GREEN ARROW CAPITAL	034	WL	SS	20,000	15.19	n/a	n/a	1,000.00	5.0
PRINCIPLE CAPITAL	040	YUM	SS	46,600	28.63	n/a	8-Jan	1,398.00	3.0
BALYASNY ASSET MGMT	044	ZION	B	15,000	12.12	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	ZQK	B	200,000	2.11	19-Dec	19-Dec	4,000.00	2.0
<b>TOTAL (Trade Date):</b>								<b>106,247.77</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/22	CAVU CAP ADV (CAVUCRDMIL)	028	AAP	B	11,151	32.26	n/a	n/a	557.55 5.0
AO,CRT	01/22	CAVU CAP ADV (CAVUCREDIS)	028	AAP	B	11,151	32.26	n/a	n/a	557.55 5.0
CRT	01/26	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	EAT	SS	11,200	11.37	n/a	24-Apr	448.00 4.0
AO,CXL	01/23	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JNY	B	100,000	3.71	n/a	23-Jan	3000.00 3.0
AO,CRT	01/23	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JNY	B	100,000	3.71	n/a	23-Jan	2000.00 2.0
AO,CXL	01/23	PROSPECTOR PARTNERS LLC (PROSPERSHI)	036	NFLX	SS	8,500	30.81	n/a	n/a	340.00 4.0
AO,	01/23	PROSPECTOR PARTNERS LLC (PROSPERSHI)	036	NFLX	SS	2,900	30.81	n/a	n/a	116.00 4.0
AO,	01/23	PROSPECTOR PARTNERS LLC (PROSMORGAN)	036	NFLX	SS	5,600	30.81	n/a	n/a	224.00 4.0
AO,CXL	01/23	PROSPECTOR PARTNERS LLC (PROSPERSHI)	036	ZBRA	S	14,200	17.34	n/a	n/a	568.00 4.0
AO,CRT	01/23	PROSPECTOR PARTNERS LLC (PROSPERSHI)	036	ZBRA	S	14,700	17.34	n/a	n/a	588.00 4.0
AO,CXL	01/23	PROSPECTOR PARTNERS LLC (PROMSA)	036	ZBRA	S	18,500	17.34	n/a	n/a	740.00 4.0
AO,CRT	01/23	PROSPECTOR PARTNERS LLC (PROMSA)	036	ZBRA	S	18,000	17.34	n/a	n/a	720.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-552.00</b>
TOTAL (Trade Date) :										106,247.77
TOTAL (AO, CXL, CRT) :										-552.00
<b>TOTAL (RUN DATE) / NFS :</b>										<b>105,695.77</b>

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