



Daily Compliance Activity Report

Trade Date: 01/07/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	APA	B	4,500	83.03	n/a	20-Nov	180.00	4.0
LAGRANGE CAP ADV	048	ARB	S	20,000	16.40	n/a	n/a	1,000.00	5.0
AMBER CAPITAL	046	BAC	B	100,000	13.96	23-Dec	23-Dec	4,000.00	4.0
ROARING BLUE LION MGMT	012	BBT	B	4,300	23.77	n/a	n/a	172.00	4.0
THE BOSTON COMPANY	401	BEBE	S	133,850	6.75	n/a	n/a	5,354.00	4.0
COUGAR TRADING	044	BIG	B	10,000	15.22	5-Dec	6-Jan	500.00	5.0
AVESTA CAP	229	BKC	B	20,000	23.18	27-Oct	3-Nov	1,000.00	5.0
LATEFF MGMT	035	CBL	S	3,000	8.25	n/a	n/a	240.00	8.0
SYSTEMATIC FINANCIAL MGT	035	CCE	B	114,400	12.17	n/a	n/a	4,004.00	3.5
BUCK CAPITAL MGMT	001	COH	SS	30,000	21.42	18-Dec	18-Dec	1,200.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	50,000	19.23	n/a	n/a	2,000.00	4.0
HOLLIS CAPITAL	033	DE	B	5,000	42.86	8-Dec	8-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	DKS	B	24,500	14.52	7-Oct	12-Dec	980.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	B	25,000	1.95	n/a	n/a	750.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	FDO	SS	40,000	27.56	7-Jan	7-Jan	2,000.00	5.0
BUCK CAPITAL MGMT	001	GES	S	45,000	15.77	n/a	n/a	1,800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	GPS	S	50,000	13.75	n/a	6-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	HBI	S	50,000	13.31	n/a	n/a	2,000.00	4.0
BMO NESBITT BURNS	041	IDEV	B	20,000	5.32	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	JCP	B	500,000	21.75	17-Nov	6-Jan	20,000.00	4.0
UBS OCONNOR	031	JEF	SS	30,100	14.35	n/a	n/a	903.00	3.0
COUGAR TRADING	044	KSS	S	2,500	37.32	n/a	6-Jan	125.00	5.0
UBS OCONNOR	031	LAZ	B	50,000	27.47	n/a	n/a	1,500.00	3.0
BARROW HANLEY MEWHINNEY	031	LM	B	144,300	24.14	29-Oct	5-Jan	5,772.00	4.0
HUNTER GLOBAL INVESTOR	067	LNN	B	13,800	36.37	n/a	n/a	690.00	5.0
PROSPECTOR PARTNERS LLC	036	LZ	B	10,000	37.32	n/a	n/a	400.00	4.0
TOKIO MARINE ASSET MGMT	045	MCD	B	9,800	61.88	13-Oct	5-Jan	392.00	4.0
ROSEDALE CAPITAL	046	MSFT	B	15,000	19.72	n/a	3-Apr	750.00	5.0
PROSPECTOR PARTNERS LLC	036	MWV	B	20,000	12.44	15-Dec	15-Dec	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	M	B	5,000	11.73	12-Aug	6-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	NKE	B	30,000	50.67	n/a	n/a	1,200.00	4.0
PILOT ROCK	028	NSC	SS	100,000	47.63	n/a	n/a	4,000.00	4.0
TOKIO MARINE ASSET MGMT	045	OXY	B	16,600	58.85	n/a	n/a	664.00	4.0
TRELLUS PARTNERS LP	028	PAG	SS	15,000	9.08	n/a	23-Dec	450.00	3.0
TRELLUS PARTNERS LP	028	PCAR	SS	20,000	31.80	20-Nov	30-Dec	1,000.00	5.0
COUGAR TRADING	044	PVH	SS	5,000	21.53	18-Dec	18-Dec	250.00	5.0
HUNTER GLOBAL INVESTOR	067	RJF	B	27,100	18.53	n/a	n/a	1,084.00	4.0
BUCK CAPITAL MGMT	001	RNT	B	50,000	26.70	n/a	n/a	2,000.00	4.0
GREENLIGHT CAPITAL	041	SHLD	S	38,753	40.47	n/a	n/a	1,937.65	5.0
HUNTER GLOBAL INVESTOR	067	SO	S	46,300	35.75	n/a	n/a	2,315.00	5.0
COUGAR TRADING	044	SSI	B	5,000	7.89	n/a	7-Jan	200.00	4.0
LATEFF MGMT	035	SYI	S	2,000	24.50	n/a	24-Apr	300.00	15.0
BUCK CAPITAL MGMT	001	TGT	B	190,400	37.98	17-Nov	6-Jan	7,616.00	4.0
HARVEST MGMT	039	TGT	B	15,000	37.84	17-Nov	6-Jan	750.00	5.0
TRELLUS PARTNERS LP	028	TGT	SS	10,000	38.28	17-Nov	6-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	TJX	B	10,000	21.85	11-Aug	6-Jan	500.00	5.0
WEINTRAUB CAPITAL MGT.	040	TROW	SS	15,000	35.29	19-Sep	5-Jan	600.00	4.0
LAGRANGE CAP ADV	048	UYG	B	20,000	5.69	n/a	n/a	1,000.00	5.0
MILLENIUM PARTNERS	028	WMT	B	19,000	55.64	10-Oct	6-Jan	950.00	5.0
TOKIO MARINE ASSET MGMT	045	XOM	B	8,400	78.89	n/a	n/a	336.00	4.0
CHARTER OAK	033	XTO	SS	66,700	38.96	n/a	n/a	3,335.00	5.0
PRINCIPLE CAPITAL	040	YUM	SS	26,200	31.89	14-Aug	10-Dec	786.00	3.0
TOTAL (Trade Date) :								93,885.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/06	IVORY CAPITAL (IVORJPMBS)	034	MU	S	1,912,756	3.47	n/a	n/a	9563.78 0.5
AO,	01/06	RAMIUS CAP (RAMIBNPS)	040	TMTA	B	50,000	18.64	n/a	n/a	1500.00 3.0
AO,CXL	01/06	JMP ASSET MGMT (JMPAGS)	210	WSM	B	10,000	8.90	n/a	n/a	400.00 4.0
AO,CRT	01/06	JMP ASSET MGMT (JMPAGS)	210	WSM	B	10,000	8.90	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										10,963.78

TOTAL (Trade Date) :	93,885.65
TOTAL (AO, CXL, CRT) :	10,963.78

TOTAL (RUN DATE) / NFS:	104,849.43
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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