



## Daily Compliance Activity Report

Trade Date: 01/20/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	ADS	B	73,900	41.53	n/a	n/a	3,695.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>9.28</b>	<b>n/a</b>	<b>9-Jan</b>	<b>1,500.00</b>	<b>3.0</b>
THIRD POINT MGMT	044	AZO	SS	15,000	130.47	n/a	n/a	600.00	4.0
NATIONAL BK OF CAN	031	BAC	B	150,000	5.35	16-Jan	16-Jan	6,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>50,000</b>	<b>27.99</b>	<b>n/a</b>	<b>27-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	BEN	B	40,000	50.45	13-Nov	20-Jan	2,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKE</b>	<b>S</b>	<b>60,000</b>	<b>20.34</b>	<b>n/a</b>	<b>n/a</b>	<b>2,400.00</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	BK	S	25,000	17.82	14-Jan	14-Jan	1,000.00	4.0
RBC CAPITAL MARKETS	034	BWLD	B	10,000	23.09	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CLX</b>	<b>S</b>	<b>21,500</b>	<b>50.49</b>	<b>3-Nov</b>	<b>3-Nov</b>	<b>860.00</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	CMTL	B	40,000	40.06	n/a	n/a	1,600.00	4.0
GREENLIGHT CAPITAL	041	CPN	B	100,000	7.64	n/a	n/a	4,000.00	4.0
WASHINGTON ASSET	048	CSX	S	15,000	28.03	n/a	n/a	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DIS</b>	<b>SS</b>	<b>50,000</b>	<b>20.34</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	EV	SS	25,000	17.65	9-Jan	20-Jan	1,250.00	5.0
CUMBERLAND	038	EXH	B	25,000	20.92	n/a	16-Dec	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>SS</b>	<b>50,000</b>	<b>7.49</b>	<b>7-Oct</b>	<b>12-Dec</b>	<b>1,500.00</b>	<b>3.0</b>
ROARING BLUE LION MGMT	012	FNF	B	5,200	16.54	n/a	n/a	208.00	4.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>FOSL</b>	<b>B</b>	<b>5,000</b>	<b>12.35</b>	<b>10-Nov</b>	<b>12-Dec</b>	<b>300.00</b>	<b>6.0</b>
WHITE PINE CAPITAL	030	GIL	B	7,750	10.74	11-Dec	12-Dec	387.50	5.0
RBC CAPITAL MARKETS	034	GME	B	10,000	23.05	n/a	n/a	400.00	4.0
KARSCH CAPITAL	034	GPS	S	231,770	11.62	n/a	9-Jan	6,953.10	3.0
BALYASNY ASSET MGMT	044	HAR	B	11,600	17.84	n/a	26-Nov	580.00	5.0
HOLDEN CAPITAL MGMT	035	HAR	SS	20,000	17.84	n/a	26-Nov	1,000.00	5.0
SCOPUS FUND	041	HAR	B	20,000	17.98	n/a	26-Nov	1,000.00	5.0
KACELA CAPITAL	034	HD	S	25,000	21.91	n/a	27-Jul	1,000.00	4.0
PIONEER MICHAEL NOLAN	067	HXL	B	21,500	6.58	n/a	n/a	645.00	3.0
NEUBERGER BERMAN	036	INTU	B	53,500	23.09	n/a	n/a	2,407.50	4.5
HOLDEN CAPITAL MGMT	035	JACK	SS	50,000	21.24	n/a	n/a	2,500.00	5.0
RBC CAPITAL MARKETS	034	JCP	B	12,500	17.42	9-Jan	9-Jan	500.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	JPM	B	392,000	18.86	16-Jan	16-Jan	15,680.00	4.0
RBC CAPITAL MARKETS	034	KR	B	10,000	24.42	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	LM	B	25,000	18.09	29-Oct	20-Jan	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAS</b>	<b>S</b>	<b>7,400</b>	<b>9.54</b>	<b>n/a</b>	<b>n/a</b>	<b>296.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	237	MCHP	S	10,000	16.73	n/a	n/a	500.00	5.0
WHITE PINE CAPITAL	030	MMR	B	2,375	8.08	n/a	n/a	118.75	5.0
MARINER/TRICADIA	041	M	B	25,000	8.94	12-Aug	9-Jan	1,000.00	4.0
ROARING BLUE LION MGMT	012	NDAQ	B	5,600	19.19	n/a	n/a	224.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	B	75,000	46.81	14-Jan	14-Jan	3,750.00	5.0
HUNTER GLOBAL INVESTOR	067	NYX	B	102,000	19.83	n/a	n/a	4,080.00	4.0
KLEINHEINZ CAP PART	031	NYX	B	100,000	20.62	n/a	n/a	5,000.00	5.0
ROARING BLUE LION MGMT	012	PCS	B	10,000	12.72	n/a	n/a	400.00	4.0
SERENGETI MGMT	030	PLCE	B	35,000	20.25	6-Jan	9-Jan	1,750.00	5.0
NATIONAL BK OF CAN	031	PNC	B	30,000	22.55	n/a	n/a	1,200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>55,000</b>	<b>37.76</b>	<b>n/a</b>	<b>20-Jan</b>	<b>2,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	S	5,000	38.32	n/a	20-Jan	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	RL	B	25,000	37.33	n/a	20-Jan	500.00	2.0
BUCK CAPITAL MGMT	001	RSH	B	700	11.59	n/a	n/a	28.00	4.0
HOLDEN CAPITAL MGMT	035	SONC	SS	50,000	9.64	n/a	n/a	2,500.00	5.0
RBC CAPITAL MARKETS	034	SWY	B	5,000	22.90	n/a	n/a	200.00	4.0
HOLDEN CAPITAL MGMT	035	SYU	SS	50,000	23.61	n/a	24-Apr	2,500.00	5.0
BMO NESBITT BURNS	041	TIN	B	50,000	3.52	5-Dec	20-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	125,000	2.55	n/a	6-Jan	2,500.00	2.0
BUCK CAPITAL MGMT	001	URI	SS	50,000	5.70	29-Oct	29-Oct	1,500.00	3.0
NATIONAL BK OF CAN	031	USB	SS	40,000	16.28	n/a	n/a	1,600.00	4.0
NATIONAL BK OF CAN	031	WFC	B	50,000	14.42	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	034	WRC	B	10,000	19.47	7-Nov	7-Nov	400.00	4.0
ROARING BLUE LION MGMT	012	WU	B	5,300	13.50	n/a	n/a	212.00	4.0
SIGMA CAPITAL ASSOCIATES	237	WYE	B	25,000	38.42	n/a	31-Mar	1,250.00	5.0
TOTAL (Trade Date):								106,224.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/16	LOCUS WOOD CAPITAL MGMT (LOCOMSLOCU)	044	BWA	SS	10,000	18.45	16-Dec	12-Jan	400.00 4.0
TOTAL (AO, CXL, CRT) :										400.00

TOTAL (Trade Date):	106,224.85
TOTAL (AO, CXL, CRT):	400.00
TOTAL (RUN DATE) / NFS:	106,624.85

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