



Daily Compliance Activity Report

Trade Date: 01/22/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAVU CAP ADV	028	AAP	B	11,800	32.26	n/a	n/a	590.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AAP	B	254,500	32.32	n/a	n/a	8,907.50	3.5
SHAREVEST CAPITAL MGMT.	038	ABB	B	2,500	12.49	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	984,650	9.24	n/a	9-Jan	29,539.50	3.0
SHAREVEST CAPITAL MGMT.	038	AEO	B	4,300	9.35	n/a	9-Jan	215.00	5.0
OZ MGMT	040	AET	SS	116,699	27.54	n/a	n/a	3,500.97	3.0
LUCA	N02	ALU	S	19	1.92	n/a	n/a	0.00	0.0
TPG-AXON	040	APD	B	185,000	52.20	n/a	22-Jan	9,250.00	5.0
THE BOSTON COMPANY	401	ARO	B	47,380	19.70	n/a	9-Jan	1,895.20	4.0
THIRD POINT MGMT	044	AZO	SS	15,000	130.30	n/a	n/a	600.00	4.0
NEWLAND CAPITAL MGT	067	AZZ	B	5,000	23.44	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	BWA	SS	100,000	17.04	16-Dec	12-Jan	4,000.00	4.0
DSG CAPITAL	225	CAT	B	2,000	37.80	22-Oct	22-Jan	100.00	5.0
JMP ASSET MGMT	210	CIT	B	200,000	2.70	22-Jan	22-Jan	4,000.00	2.0
GREENLIGHT CAPITAL	041	CPN	B	50,000	7.14	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	CRI	B	70,000	16.90	n/a	n/a	2,800.00	4.0
DIAMONDBACK CAP MGMT	232	DELL	C	250,000	10.00	n/a	n/a	12,500.00	5.0
CATAPULT	040	DF	B	13,500	19.34	n/a	n/a	540.00	4.0
BUCK CAPITAL MGMT	001	DIS	SS	20,000	20.95	n/a	n/a	800.00	4.0
SHAREVEST CAPITAL MGMT.	038	DKS	S	6,500	11.34	7-Oct	12-Dec	325.00	5.0
TPG-AXON	040	DOW	SS	452,000	14.29	n/a	22-Jan	22,600.00	5.0
BUCK CAPITAL MGMT	001	DSW	SS	20,000	9.58	14-Nov	19-Dec	600.00	3.0
BUCK CAPITAL MGMT	001	DV	SS	10,000	63.42	n/a	n/a	400.00	4.0
CHIARMONTE	N10	EFT	S	1	8.61	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	EWY	S	5,100	25.52	n/a	n/a	153.00	3.0
CUMBERLAND	038	EXH	B	19,500	19.99	n/a	16-Dec	780.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	B	25,200	1.55	n/a	n/a	756.00	3.0
BUCK CAPITAL MGMT	001	FL	SS	30,000	7.48	7-Oct	12-Dec	900.00	3.0
BUCK CAPITAL MGMT	001	GES	B	10,000	15.55	n/a	n/a	400.00	4.0
AVESTA CAP	229	GE	B	50,000	13.55	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TPG-AXON	040	GE	C	1,000,000	12.89	n/a	n/a	50,000.00	5.0
CENTURION GLOBAL MGMT LL	041	GFA	S	13,500	8.53	n/a	n/a	405.00	3.0
PHILADELPHIA FINANCIAL	033	GHL	B	10,000	55.94	n/a	n/a	400.00	4.0
KACELA CAPITAL	034	GPS	B	50,000	11.69	n/a	9-Jan	2,000.00	4.0
DSG CAPITAL	225	GVA	B	2,000	37.40	n/a	n/a	100.00	5.0
BALYASNY ASSET MGMT	044	HAR	B	15,000	16.60	n/a	26-Nov	750.00	5.0
ROGERS	040	HCGI	S	2,500	0.20	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	HON	B	11,000	31.76	n/a	18-Nov	550.00	5.0
SIGMA CAPITAL ASSOCIATES	237	IBM	B	10,000	88.22	n/a	n/a	500.00	5.0
KENNEDY CAPITAL	046	IPAR	B	12,300	5.00	n/a	n/a	246.00	2.0
MKT MAKER	096	IPAR	B	26	5.00	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	ITW	SS	30,000	33.29	25-Nov	9-Dec	1,500.00	5.0
EPOCH INV MGMT	030	JNS	S	81,400	5.30	n/a	22-Jan	3,256.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	75,000	3.67	n/a	13-Jan	2,250.00	3.0
BALYASNY ASSET MGMT	044	JWN	B	50,000	12.85	9-Jan	9-Jan	2,500.00	5.0
SHAREVEST CAPITAL MGMT.	038	KMX	B	1,700	7.35	n/a	10-Jan	85.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PEREGRINE	030	LM	B	15,900	17.37	29-Oct	21-Jan	636.00	4.0
BMO NESBITT BURNS	041	LPX	B	100,000	1.84	5-Nov	20-Jan	5,000.00	5.0
HOLDEN CAPITAL MGMT	035	MGA	SS	55,000	27.56	n/a	n/a	2,750.00	5.0
CATAPULT	040	MLM	B	5,000	80.44	n/a	n/a	200.00	4.0
DSG CAPITAL	225	MSFT	S	3,562	18.00	n/a	3-Apr	178.10	5.0
FORD FDN.	032	MS	B	10,000	16.13	18-Dec	14-Jan	500.00	5.0
MISSOURI VALLEY PART	046	MS	B	73,230	16.13	18-Dec	14-Jan	3,661.50	5.0
BUCK CAPITAL MGMT	001	MW	SS	40,000	11.71	n/a	n/a	1,600.00	4.0
MARINER/TRICADIA	041	M	SS	25,000	9.30	12-Aug	9-Jan	750.00	3.0
NORTHPOINT	030	NTRS	B	13,220	54.86	14-Jan	21-Jan	528.80	4.0
LUCA	N02	PDS	S	42	5.67	n/a	n/a	0.00	0.0
TPG-AXON	040	PFG	C	333,514	14.84	n/a	n/a	16,675.70	5.0
COUGAR TRADING	044	PVH	B	10,000	17.98	22-Jan	22-Jan	500.00	5.0
NOMURA CAPITAL	045	QLTY	B	5,150	2.37	n/a	n/a	154.50	3.0
PRINCIPLE CAPITAL	040	RBA	B	48,200	18.23	n/a	n/a	1,446.00	3.0
HUNTER GLOBAL INVESTOR	067	RJF	B	4,000	16.24	n/a	n/a	160.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	RL	B	150,000	38.25	n/a	20-Jan	7,500.00	5.0
PAW PARTNERS	041	SAI	B	30,000	20.01	n/a	n/a	1,500.00	5.0
LUCA	N02	SIRI	S	100	0.11	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	70,000	9.56	n/a	13-Mar	2,100.00	3.0
CAVU CAP ADV	028	SNDK	B	14,500	11.40	n/a	n/a	725.00	5.0
BMO NESBITT BURNS	041	TIN	S	15,900	4.03	5-Dec	20-Jan	795.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	221,725	4.18	5-Dec	20-Jan	6,651.75	3.0
NEWLAND CAPITAL MGT	067	TIN	B	20,000	4.04	5-Dec	20-Jan	600.00	3.0
BUCK CAPITAL MGMT	001	TPX	S	150,003	5.84	n/a	n/a	4,500.09	3.0
EATON VANCE MGMT	039	USB	S	1,000,000	14.13	n/a	n/a	30,000.00	3.0
PAULSON & CO INC	041	USB	C	600,000	14.27	n/a	n/a	18,000.00	3.0
GRANAHAN INV	039	WBC	S	30,000	15.02	18-Nov	2-Dec	1,200.00	4.0
WASHINGTON ASSET	048	WLL	B	10,000	30.82	n/a	n/a	500.00	5.0
GALT INVESTMENT	041	WMT	S	25,000	48.76	10-Oct	8-Jan	1,250.00	5.0
ASCEND PARTNERS	033	WRC	B	43,900	20.28	7-Nov	7-Nov	2,195.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	20.71	7-Nov	7-Nov	2,000.00	4.0
COUGAR TRADING	044	WRC	B	10,000	20.09	7-Nov	7-Nov	500.00	5.0

TOTAL (Trade Date):

290,276.61

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	01/15	MARINER/TRICADIA (MARITRICAD)	041	AYI	S	4,300	29.56	n/a	n/a	215.00	5.0
AO,CRT	01/15	MARINER/TRICADIA (MARITRICAD)	041	AYI	S	4,300	29.56	n/a	n/a	129.00	3.0
AO,CXL	01/21	COUGAR TRADING (COUGPB MS)	044	DSW	SS	5,000	9.00	14-Nov	19-Dec	250.00	5.0
AO,CRT	01/21	COUGAR TRADING (COUGPB MS)	044	DSW	SS	5,000	9.00	14-Nov	19-Dec	200.00	4.0
AO,CXL	01/21	BALYASNY ASSET MGMT (BALYGS)	044	GNTX	SS	15,000	8.41	23-Dec	12-Jan	750.00	5.0
AO,CRT	01/21	BALYASNY ASSET MGMT (BALYGS)	044	GNTX	SS	15,000	8.41	23-Dec	12-Jan	600.00	4.0
CRT	01/22	MKT MAKER (MKT MAKER)	096	IPAR	B	26	5.00	n/a	n/a	0.00	0.0
AO,CXL	01/15	MARINER/TRICADIA (MARITRICAD)	041	M	S	25,000	9.78	12-Aug	9-Jan	1250.00	5.0
AO,CRT	01/15	MARINER/TRICADIA (MARITRICAD)	041	M	S	25,000	9.78	12-Aug	9-Jan	750.00	3.0
AO,CXL	01/15	MARINER/TRICADIA (MARITRICAD)	041	NCX	SS	25,000	5.28	n/a	n/a	1250.00	5.0
AO,CRT	01/15	MARINER/TRICADIA (MARITRICAD)	041	NCX	SS	25,000	5.28	n/a	n/a	750.00	3.0
AO,CXL	01/21	CATAPULT (CATADEUTCH)	040	RIMM	S	15,000	51.21	n/a	n/a	750.00	5.0
AO,CRT	01/21	CATAPULT (CATADEUTCH)	040	RIMM	S	15,000	51.21	n/a	n/a	600.00	4.0
AO,CXL	01/21	COUGAR TRADING (COUGPB MS)	044	TIN	B	25,000	3.86	5-Dec	20-Jan	1250.00	5.0
AO,CRT	01/21	COUGAR TRADING (COUGPB MS)	044	TIN	B	25,000	3.86	5-Dec	20-Jan	750.00	3.0
AO,CXL	01/21	NEWLAND CAPITAL MGT (NEWLGS)	067	TIN	B	55,800	3.96	5-Dec	20-Jan	2232.00	4.0
AO,CRT	01/21	NEWLAND CAPITAL MGT (NEWLGS)	067	TIN	B	55,800	3.96	5-Dec	20-Jan	1674.00	3.0
AO,CXL	01/20	ETON PARK CAPITAL (ETONCSFB)	041	WFC	B	1,000,000	15.21	n/a	n/a	0.00	0.0
AO,	01/20	ETON PARK CAPITAL (ETONCSFB)	041	WFC	B	1,000,000	15.21	n/a	n/a	40000.00	4.0
TOTAL (AO, CXL, CRT) :										37,506.00	

TOTAL (Trade Date):	290,276.61
TOTAL (AO, CXL, CRT):	37,506.00

TOTAL (RUN DATE) / NFS:	327,782.61
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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