



## Daily Compliance Activity Report

Trade Date: 02/20/2009

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AA	B	167,000	6.04	n/a	n/a	6,680.00	4.0
THE BOSTON COMPANY	401	ACV	S	19,403	21.71	n/a	n/a	776.12	4.0
SAC CAP/ROSEN FOR BOBBY	044	ADBE	B	25,000	18.17	n/a	n/a	1,250.00	5.0
MATRIX ASSET ADV.	036	ADI	S	8,000	19.31	n/a	n/a	240.00	3.0
BALYASNY ASSET MGMT	044	ALV	C	25,700	16.35	30-Jan	4-Feb	1,285.00	5.0
TRUSTCO/SUNTRUST	040	ALV	S	48,807	16.55	30-Jan	4-Feb	1,561.81	3.2
BALYASNY ASSET MGMT	044	AMG	B	15,000	38.13	13-Nov	20-Feb	750.00	5.0
WAGONHOUND/NIC	048	AMG	S	12,611	38.15	13-Nov	20-Feb	504.44	4.0
COUGAR TRADING	044	AN	SS	10,000	9.64	30-Jan	30-Jan	400.00	4.0
ROYCE TRADING	216	ARM	B	10,000	0.56	n/a	n/a	300.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>30,000</b>	<b>21.83</b>	<b>n/a</b>	<b>6-Feb</b>	<b>1,200.00</b>	<b>4.0</b>
MARINER/TRICADIA	041	AYI	B	25,000	23.66	n/a	n/a	1,000.00	4.0
ACK ASSET	028	BWA	SS	8,800	17.78	27-Jan	13-Feb	264.00	3.0
ROYCE TRADING	216	CAB	S	5,000	6.85	n/a	n/a	250.00	5.0
AVESTA CAP	229	CBE	SS	25,000	23.48	n/a	28-Jan	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	CBM	B	10,000	3.20	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	CHS	B	50,000	4.46	5-Dec	30-Jan	1,000.00	2.0
BUCK CAPITAL MGMT	001	CIT	B	180,000	1.74	22-Jan	18-Feb	3,600.00	2.0
AVESTA CAP	229	CI	SS	50,000	18.69	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	CTX	B	248,900	6.58	n/a	n/a	7,467.00	3.0
CRAMER ROSENTHAL/SCOTT	012	CVS	B	3,500	27.85	n/a	n/a	140.00	4.0
UBS OCONNOR	031	FII	S	50,000	20.02	13-Nov	20-Feb	1,500.00	3.0
VIKING GLOBAL	030	FII	SS	206,700	19.64	13-Nov	20-Feb	10,335.00	5.0
BUCK CAPITAL MGMT	001	FRT	B	8,300	42.26	n/a	n/a	332.00	4.0
HUNTER GLOBAL INVESTOR	067	F	S	1,000,000	1.52	10-Nov	4-Feb	10,000.00	1.0
TRELLUS PARTNERS LP	028	GPI	S	50,000	8.70	n/a	20-Feb	1,500.00	3.0
COOPER CREEK PART	028	GT	B	25,000	5.79	n/a	n/a	750.00	3.0
ROYCE TRADING	216	HXL	B	10,000	7.01	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	ICLR	S	80,000	23.06	n/a	n/a	3,600.00	4.5
MILLENIUM PARTNERS	028	IP	SS	30,000	6.00	22-Sep	29-Jan	1,500.00	5.0
BUCK CAPITAL MGMT	001	IYR	B	16,900	25.45	n/a	n/a	338.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	S	20,000	10.01	n/a	30-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	JCP	SS	38,672	14.82	6-Feb	6-Feb	1,546.88	4.0
NEUBERGER BERMAN	036	JPM	B	158,500	19.82	16-Jan	17-Feb	7,132.50	4.5
ROYCE TRADING	216	KND	S	10,000	15.84	n/a	n/a	500.00	5.0
MILLENIUUM PARTNERS	028	KO	SS	64,450	43.09	n/a	n/a	2,578.00	4.0
JP MORGAN VENTURES	046	KSS	B	20,000	34.60	n/a	6-Feb	1,000.00	5.0
MILLENIUUM PARTNERS	028	K	SS	38,310	39.86	n/a	n/a	1,532.40	4.0
BUCK CAPITAL MGMT	001	LEN	B	280,500	5.85	n/a	n/a	8,415.00	3.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	2.35	n/a	14-Jan	1,500.00	3.0
BUCK CAPITAL MGMT	001	MS	B	25,000	18.98	18-Dec	17-Feb	1,000.00	4.0
NEUBERGER BERMAN	036	NLY	S	153,500	13.75	n/a	n/a	6,907.50	4.5
MATRIX ASSET ADV.	036	OMC	S	10,000	25.01	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PAG	B	15,000	5.18	n/a	18-Feb	600.00	4.0
TRELLUS PARTNERS LP	028	PAG	C	30,000	5.12	n/a	18-Feb	900.00	3.0
TRELLUS PARTNERS LP	028	PCAR	SS	20,000	26.50	20-Nov	2-Feb	1,000.00	5.0
BUCK CAPITAL MGMT	001	REG	B	9,800	27.04	n/a	n/a	392.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	RL	B	2,500	35.15	n/a	5-Feb	125.00	5.0
JP MORGAN VENTURES	046	RL	B	20,000	35.50	n/a	5-Feb	1,000.00	5.0
RBC CAPITAL MARKETS	034	ROST	B	20,000	30.63	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	42,379	6.97	n/a	13-Mar	1,271.37	3.0
BUCK CAPITAL MGMT	001	SLM	B	100,000	7.41	22-Jan	19-Feb	3,000.00	3.0
DECADE CAPITAL PARTNERS	040	SWY	SS	12,000	20.90	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	TEVA	S	11,045	46.42	18-Feb	18-Feb	441.80	4.0
BMO NESBITT BURNS	041	TIN	B	30,000	3.98	5-Dec	28-Jan	1,500.00	5.0
HUNTER GLOBAL INVESTOR	067	TOL	SS	100,000	15.70	n/a	n/a	4,000.00	4.0
NOMURA CAPITAL	045	TSO	B	5,000	13.74	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	UDR	B	27,665	8.58	n/a	n/a	829.95	3.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	21.12	7-Nov	27-Jan	2,000.00	4.0
ROTHSCHILD ASSET	040	XOM	B	36,370	71.40	n/a	n/a	1,636.65	4.5
<b>TOTAL (Trade Date) :</b>								<b>116,132.42</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	02/19	OTC ERROR (OTC ERROR)	099	BRCD	B	10,000	3.45	n/a	n/a	0.00	0.0
AO,CXL	02/19	OTC ERROR (OTC ERROR)	099	BRCD	B	10,000	3.45	n/a	n/a	0.00	0.0
AO,CRT	02/19	OTC ERROR (OTC ERROR)	099	BRCD	S	10,000	3.44	n/a	n/a	0.00	0.0
AO,CXL	02/19	LISTED ERR (LISTED ERR)	099	BRCD	S	10,000	3.44	n/a	n/a	0.00	0.0
AO,CRT	02/19	MILLENIU PARTNERS (MILPCREDSU)	028	FOR	B	50,000	8.98	12-Feb	12-Feb	2500.00	5.0
AO,CXL	02/19	MILLENIU PARTNERS (MILPUSE)	028	FOR	B	50,000	8.98	12-Feb	12-Feb	2500.00	5.0
AO,	02/19	BUCK CAPITAL MGMT (BUCKJPMBS)	001	LIZ	B	90,335	2.60	n/a	14-Jan	2710.05	3.0
AO,CXL	02/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LIZ	B	95,435	2.60	n/a	14-Jan	2863.05	3.0
AO,CRT	02/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	LIZ	B	5,100	2.60	n/a	14-Jan	153.00	3.0
AO,	02/19	TRELLUS PARTNERS LP (TRELMAIN)	028	PAG	C	100,000	5.43	n/a	18-Feb	3000.00	3.0
AO,	02/19	NOMURA CAPITAL (NOMUSTRATE)	045	SGLP	S	7,700	2.43	n/a	n/a	231.00	3.0
AO,	02/19	NOMURA CAPITAL (NOMUBATT2)	045	SGLP	S	7,000	2.43	n/a	n/a	210.00	3.0
AO,	02/19	NOMURA CAPITAL (NOMUBSMAIN)	045	SGLP	S	8,300	2.43	n/a	n/a	249.00	3.0
TOTAL (AO, CXL, CRT) :										3,690.00	
TOTAL (Trade Date) :									116,132.42		
TOTAL (AO, CXL, CRT) :									3,690.00		
TOTAL (RUN DATE) / NFS:									119,822.42		



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