



Daily Compliance Activity Report

Trade Date: 02/18/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AB	S	610	13.98	2-Feb	10-Feb	30.50	5.0
THE BOSTON COMPANY	401	ACV	S	69,780	22.40	n/a	n/a	2,791.20	4.0
BENNETT LAWRENCE	045	AIPC	B	8,700	31.39	n/a	n/a	391.50	4.5
JAT CAPITAL MANAGEMENT	041	AKAM	SS	25,000	16.86	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	ALV	SS	30,000	17.69	30-Jan	4-Feb	1,200.00	4.0
COUGAR TRADING	044	ALV	SS	5,000	17.92	30-Jan	4-Feb	250.00	5.0
TRUSTCO/SUNTRUST	040	ALV	S	47,400	18.00	30-Jan	4-Feb	1,516.80	3.2
SUFFOLK CAPITAL MGMT	040	BAC	S	269,300	4.53	16-Jan	17-Feb	10,772.00	4.0
WELLS/STRONG LEDDY	035	BEBE	S	2,100	5.54	n/a	n/a	63.00	3.0
PHILADELPHIA FINANCIAL	033	BK	S	15,000	24.02	21-Jan	17-Feb	600.00	4.0
SANDLER O'NEILL ASSET	031	BK	B	50,000	23.64	21-Jan	17-Feb	2,500.00	5.0
BUCK CAPITAL MGMT	001	BWA	SS	30,000	19.75	27-Jan	13-Feb	1,200.00	4.0
COUGAR TRADING	044	BWA	SS	5,000	19.77	27-Jan	13-Feb	250.00	5.0
HIGHBRIDGE CAPITAL	038	CFL	B	61,000	21.94	n/a	n/a	3,050.00	5.0
AMBER CAPITAL	046	CX	B	212,000	6.96	n/a	n/a	8,480.00	4.0
PATTEN & PATTEN	067	DD	B	500	21.19	n/a	27-Jan	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	90,600	34.25	10-Feb	10-Feb	2,718.00	3.0
LISTED ERR	099	DNR	S	25,000	12.61	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EMR	B	300	29.56	n/a	n/a	15.00	5.0
BELL	091	EV	SS	100,000	18.04	9-Jan	18-Feb	5,000.00	5.0
MANNING & NAPIER	034	FII	B	147,442	20.68	13-Nov	10-Feb	4,423.26	3.0
UBS OCONNOR	031	FII	S	100,000	20.81	13-Nov	10-Feb	3,000.00	3.0
COUGAR TRADING	044	FL	B	10,000	7.48	7-Oct	13-Feb	400.00	4.0
PATTEN & PATTEN	067	GE	S	1,945	10.86	n/a	n/a	97.25	5.0
TRELLUS PARTNERS LP	028	GPI	B	50,000	8.24	n/a	18-Feb	2,500.00	5.0
TRUSTCO/SUNTRUST	040	GPI	S	34,500	8.48	n/a	18-Feb	1,104.00	3.2
JAT CAPITAL MANAGEMENT	041	HBI	SS	45,100	7.07	n/a	n/a	1,804.00	4.0
AVESTA CAP	229	IBM	B	25,000	91.51	n/a	n/a	1,250.00	5.0
BELL	091	IVZ	B	75,000	12.69	9-Jan	10-Feb	3,750.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	15.40	6-Feb	6-Feb	2,000.00	4.0
COUGAR TRADING	044	JCP	SS	5,000	14.83	6-Feb	6-Feb	250.00	5.0
AVESTA CAP	229	KSS	S	25,000	35.84	n/a	6-Feb	1,250.00	5.0
WAGONHOUND/NIC	048	LAZ	S	7,262	28.48	n/a	n/a	290.48	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRENCOURT	028	MGA	SS	25,000	28.03	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	MIL	B	74,300	56.99	n/a	n/a	3,343.50	4.5
PZENA INV ADV	044	MRK	S	96,950	28.70	n/a	n/a	3,393.30	3.5
CUMBERLAND	038	MS	SS	35,000	20.05	18-Dec	17-Feb	1,400.00	4.0
BUCK CAPITAL MGMT	001	MW	B	100,000	10.72	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	M	B	100,000	8.00	n/a	6-Feb	3,000.00	3.0
SANDLER O'NEILL ASSET	031	NTRS	SS	20,000	56.00	14-Jan	17-Feb	1,000.00	5.0
WELLS/STRONG LEDDY	035	NWY	S	7,400	2.15	n/a	30-Jan	148.00	2.0
TRELLUS PARTNERS LP	028	PAG	C	50,000	5.63	n/a	18-Feb	1,500.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	35.22	n/a	5-Feb	1,200.00	4.0
COUGAR TRADING	044	ROST	B	5,000	30.52	n/a	n/a	250.00	5.0
AVESTA CAP	229	RYL	S	25,000	16.31	n/a	n/a	1,250.00	5.0
NOMURA CAPITAL	045	SGLP	S	4,400	3.13	n/a	n/a	132.00	3.0
GRANITE CAPITAL	045	SHPGY	S	15,000	42.82	15-Oct	18-Feb	750.00	5.0
PATTEN & PATTEN	067	SHY	B	600	84.19	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	SWY	B	25,000	20.02	n/a	n/a	1,250.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	267,929	4.48	5-Dec	28-Jan	8,037.87	3.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	21.59	7-Nov	27-Jan	2,000.00	4.0
TOTAL (Trade Date):								97,906.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/17	EQ15 (EQ1557)	034	FII	B	1,250	20.61	13-Nov	10-Feb	37.50 3.0
AO,	02/17	MANNING & NAPIER (MANNCD0943)	034	FII	B	160	20.61	13-Nov	10-Feb	4.80 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4836)	034	FII	B	1,910	20.61	13-Nov	10-Feb	57.30 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4798)	034	FII	B	240	20.61	13-Nov	10-Feb	7.20 3.0
AO,	02/17	MANNING & NAPIER (MANNEQ0107)	034	FII	B	23,430	20.61	13-Nov	10-Feb	702.90 3.0
AO,	02/17	MANNING & NAPIER (MANNMU8000)	034	FII	B	8,250	20.61	13-Nov	10-Feb	247.50 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ3460)	034	FII	B	50	20.61	13-Nov	10-Feb	1.50 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ2176)	034	FII	B	320	20.61	13-Nov	10-Feb	9.60 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ5632)	034	FII	B	140	20.61	13-Nov	10-Feb	4.20 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ5630)	034	FII	B	840	20.61	13-Nov	10-Feb	25.20 3.0
AO,	02/17	MANNING & NAPIER (MANNCD4560)	034	FII	B	17,390	20.61	13-Nov	10-Feb	521.70 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ1650)	034	FII	B	360	20.61	13-Nov	10-Feb	10.80 3.0
AO,	02/17	MANNING & NAPIER (MANNCD3830)	034	FII	B	2,620	20.61	13-Nov	10-Feb	78.60 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4744)	034	FII	B	270	20.61	13-Nov	10-Feb	8.10 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4742)	034	FII	B	300	20.61	13-Nov	10-Feb	9.00 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4741)	034	FII	B	550	20.61	13-Nov	10-Feb	16.50 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4739)	034	FII	B	240	20.61	13-Nov	10-Feb	7.20 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4738)	034	FII	B	240	20.61	13-Nov	10-Feb	7.20 3.0
AO,	02/17	MANNING & NAPIER (MANNGR4737)	034	FII	B	240	20.61	13-Nov	10-Feb	7.20 3.0
AO,	02/17	MANNING & NAPIER (MANNGR5643)	034	FII	B	1,960	20.61	13-Nov	10-Feb	58.80 3.0
AO,	02/17	MANNING & NAPIER (MANNCD0941)	034	FII	B	1,030	20.61	13-Nov	10-Feb	30.90 3.0
AO,	02/17	MANNING & NAPIER (MANNMU2000)	034	FII	B	63,818	20.61	13-Nov	10-Feb	1914.54 3.0
AO,	02/17	MANNING & NAPIER (MANNCD3441)	034	FII	B	2,420	20.61	13-Nov	10-Feb	72.60 3.0
AO,	02/17	MANNING & NAPIER (MANNMU4060)	034	FII	B	270,172	20.61	13-Nov	10-Feb	8105.16 3.0
AO,	02/17	MANNING & NAPIER (MANNEQ6550)	034	FII	B	380	20.61	13-Nov	10-Feb	11.40 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ7495)	034	FII	B	150	20.61	13-Nov	10-Feb	4.50 3.0
AO,	02/17	MANNING & NAPIER (MANNEQ2200)	034	FII	B	4,890	20.61	13-Nov	10-Feb	146.70 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/17	MANNING & NAPIER (MANNMJ5627)	034	FII	B	190	20.61	13-Nov	10-Feb	5.70 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ5623)	034	FII	B	1,010	20.61	13-Nov	10-Feb	30.30 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ5625)	034	FII	B	630	20.61	13-Nov	10-Feb	18.90 3.0
AO,	02/17	MANNING & NAPIER (MANNJS5065)	034	FII	B	840	20.61	13-Nov	10-Feb	25.20 3.0
AO,	02/17	MANNING & NAPIER (MANNCD5119)	034	FII	B	160	20.61	13-Nov	10-Feb	4.80 3.0
AO,	02/17	MANNING & NAPIER (MANNMJ7901)	034	FII	B	2,730	20.61	13-Nov	10-Feb	81.90 3.0
AO,	02/17	MANNING & NAPIER (MANNGR1038)	034	FII	B	320	20.61	13-Nov	10-Feb	9.60 3.0
AO,	02/17	MANNING & NAPIER (MANNGR1037)	034	FII	B	70	20.61	13-Nov	10-Feb	2.10 3.0
AO,	02/17	MANNING & NAPIER (MANNEQ2826)	034	FII	B	220	20.61	13-Nov	10-Feb	6.60 3.0
AO,	02/17	MANNING & NAPIER (MANNJS1300)	034	FII	B	310	20.61	13-Nov	10-Feb	9.30 3.0
AO,CXL	02/17	COOPER CREEK PART (COOPGS)	028	GT	B	20,000	6.10	n/a	n/a	1000.00 5.0
AO,CRT	02/17	COOPER CREEK PART (COOPGS)	028	GT	B	20,000	6.10	n/a	n/a	600.00 3.0
AO,CXL	02/17	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	HAS	B	30,000	23.50	n/a	n/a	1500.00 5.0
AO,CRT	02/17	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	HAS	B	30,000	23.50	n/a	n/a	1200.00 4.0
AO,CXL	02/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SKX	B	239,400	7.33	n/a	13-Mar	9576.00 4.0
AO,CRT	02/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SKX	B	239,400	7.33	n/a	13-Mar	7182.00 3.0
TOTAL (AO, CXL, CRT) :										9,209.00

TOTAL (Trade Date):	97,906.66
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TOTAL (RUN DATE) / NFS:	107,115.66
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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