



Daily Compliance Activity Report

Trade Date: 02/04/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ALV	SS	25,000	18.89	30-Jan	4-Feb	1,250.00	5.0
COUGAR TRADING	044	ALV	B	5,000	18.99	30-Jan	4-Feb	250.00	5.0
HIGHBRIDGE/MS OLDS	041	ALV	B	10,000	18.89	30-Jan	4-Feb	500.00	5.0
PILOT ROCK	028	ALV	SS	60,000	18.88	30-Jan	4-Feb	2,400.00	4.0
POST ROAD CAP	045	ALV	SS	8,000	18.76	30-Jan	4-Feb	240.00	3.0
BUCK CAPITAL MGMT	001	AN	SS	20,000	9.83	30-Jan	30-Jan	600.00	3.0
BAIRD INVESTMENT	031	APC	B	4,925	39.52	3-Feb	4-Feb	246.25	5.0
BUCK CAPITAL MGMT	001	ARO	B	200,000	21.30	n/a	30-Jan	8,000.00	4.0
BASIX	033	AXE	B	10,000	33.63	22-Dec	3-Feb	300.00	3.0
RBC CAPITAL MARKETS	034	BBY	B	10,000	28.71	n/a	27-Jul	400.00	4.0
EATON VANCE MGMT	039	BHP	B	150,000	41.37	n/a	n/a	4,500.00	3.0
LISTED ERR	099	BHP	S	9,900	41.60	n/a	n/a	0.00	0.0
AVESTA CAP	229	BKC	S	25,000	21.69	27-Oct	30-Jan	1,250.00	5.0
RBC CAPITAL MARKETS	034	BKS	B	10,000	16.03	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	BMC	B	10,400	26.00	n/a	n/a	416.00	4.0
COUGAR TRADING	044	BWA	B	5,000	18.73	27-Jan	27-Jan	250.00	5.0
POST ROAD CAP	045	BWA	SS	8,800	18.64	27-Jan	27-Jan	264.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	BWA	SS	5,000	18.84	27-Jan	27-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	BYI	B	50,000	20.13	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	034	COST	B	10,000	42.16	n/a	27-Jul	400.00	4.0
GRUSS CAPITAL	045	CPX	B	20,000	4.58	n/a	n/a	400.00	2.0
MATRIX ASSET ADV.	036	CSCO	S	4,000	15.85	n/a	22-Mar	120.00	3.0
BALYASNY ASSET MGMT	044	C	B	200,000	3.66	n/a	20-Jan	6,000.00	3.0
REICH AND TANG	067	DBD	B	25,000	23.85	30-Oct	28-Jan	1,250.00	5.0
COUGAR TRADING	044	DSW	B	10,000	10.16	14-Nov	30-Jan	500.00	5.0
KLEINHEINZ CAP PART	031	DVN	B	50,000	59.15	3-Feb	3-Feb	2,500.00	5.0
TROUBH PART	067	DVN	B	25,000	58.56	3-Feb	3-Feb	1,250.00	5.0
UBS OCONNOR	031	EV	SS	157,000	20.02	9-Jan	4-Feb	4,710.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	14.82	n/a	10-Jan	400.00	4.0
NORTHPOINT	030	GES	S	9,260	16.57	n/a	n/a	370.40	4.0
WEISS PECK	040	GIL	S	46,700	10.18	11-Dec	12-Dec	2,335.00	5.0
BALYASNY ASSET MGMT	044	GPS	SS	100,000	10.86	n/a	30-Jan	5,000.00	5.0
BASIX	033	GR	S	14,300	38.95	4-Feb	4-Feb	429.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	GR	B	13,600	39.65	4-Feb	4-Feb	0.00	0.0
LISTED ERR	099	GR	S	13,600	39.28	4-Feb	4-Feb	0.00	0.0
NATIONAL BK OF CAN	031	GS	B	5,000	87.02	15-Sep	14-Jan	200.00	4.0
COOPER CREEK PART	028	HAR	B	10,000	15.29	3-Feb	4-Feb	500.00	5.0
CATAPULT	040	HERO	B	50,000	3.44	n/a	n/a	2,000.00	4.0
BAYPOINT CRIT/B COLBURN	033	HOG	B	40,000	12.94	n/a	n/a	1,600.00	4.0
MARINER/TRICADIA	041	JCP	B	20,000	15.34	9-Jan	30-Jan	1,000.00	5.0
HTOP	041	JEC	B	25,000	40.08	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	KFT	SS	15,000	26.36	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	LPX	S	50,000	2.10	5-Nov	23-Jan	2,500.00	5.0
REICH AND TANG	067	LZ	B	15,000	33.16	n/a	n/a	750.00	5.0
HUNTER GLOBAL INVESTOR	067	MA	S	31,500	142.83	23-Dec	28-Jan	1,575.00	5.0
BUCK CAPITAL MGMT	001	MCD	SS	20,000	57.78	13-Oct	3-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	M	B	50,000	8.27	n/a	3-Feb	1,500.00	3.0
COUGAR TRADING	044	M	B	5,000	8.23	n/a	3-Feb	200.00	4.0
SLS CAPITAL LLC	224	M	S	180,100	8.53	n/a	3-Feb	5,403.00	3.0
RBC CAPITAL MARKETS	034	NDN	S	7,500	8.20	31-Oct	4-Feb	300.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HTOP	041	NUE	S	50,000	44.15	n/a	n/a	2,500.00	5.0
CATTANI	000	PAFDX	S	393	15.04	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PLCE	B	3,800	17.89	6-Jan	30-Jan	190.00	5.0
EGS ASSOCIATES LP	091	PLCE	SS	3,000	17.92	6-Jan	30-Jan	180.00	6.0
ROARING BLUE LION MGMT	012	PLCE	B	5,500	17.91	6-Jan	30-Jan	220.00	4.0
COLUMBIA PARTNERS	028	QDEL	B	21,877	12.44	n/a	n/a	875.08	4.0
KINGDON ASSET MGMT	041	RIMM	B	100,000	56.41	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	RL	B	42,000	38.81	n/a	20-Jan	1,680.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	38.96	n/a	20-Jan	800.00	4.0
COUGAR TRADING	044	RL	SS	7,500	39.12	n/a	20-Jan	375.00	5.0
MAGNETAR FINANCIAL	031	RWT	S	11,900	14.54	n/a	n/a	357.00	3.0
LISTED ERR	099	RWT	B	1,000	14.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	S	20,000	7.15	n/a	30-Jan	600.00	3.0
REICH AND TANG	067	TMO	S	15,000	38.96	n/a	n/a	750.00	5.0
MAIRS AND POWER INV	030	USB	B	20,000	14.56	n/a	n/a	1,000.00	5.0
JP MORGAN VENTURES	046	USO	S	109,700	29.09	n/a	n/a	5,485.00	5.0
KEEFE BRUYETTE WOODS A	045	WDR	SS	15,400	15.57	n/a	3-Feb	770.00	5.0
SENECA CAPITAL LP NY	028	XLF	S	50,000	9.14	n/a	n/a	2,500.00	5.0

TOTAL (Trade Date):

91,790.73

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	02/04	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ALV	B	10,000	18.89	30-Jan	4-Feb	500.00	5.0
AO,CRT	02/03	JMP ASSET MGMT (JMPAGS)	210	AVP	B	100	19.85	4-Feb	4-Feb	5.00	5.0
AO,CXL	02/03	JMP ASSET MGMT (JMPABOABA)	210	AVP	B	100	19.85	4-Feb	4-Feb	5.00	5.0
AO,CXL	02/03	BASIX (BASIUBS)	033	AXE	B	16,000	31.54	22-Dec	3-Feb	800.00	5.0
AO,CRT	02/03	BASIX (BASIUBS)	033	AXE	B	16,000	31.54	22-Dec	3-Feb	480.00	3.0
AO,CXL	02/03	STADIA CAPITAL (STADGOLDMA)	031	BWA	SS	10,000	17.65	27-Jan	27-Jan	400.00	4.0
AO,	02/03	STADIA CAPITAL (STADGOLDMA)	030	BWA	SS	10,000	17.65	27-Jan	27-Jan	400.00	4.0
AO,	02/03	1798 CAPITAL MGMT (1798MS)	040	FDO	B	5,000	28.95	7-Jan	4-Feb	250.00	5.0
AO,	02/03	1798 CAPITAL MGMT (1798MS)	040	FDO	B	10,000	28.85	7-Jan	4-Feb	200.00	2.0
AO,	02/03	ROTHSCHILD ASSET (ROTH000479)	040	MKC	S	570	32.85	n/a	n/a	25.65	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH4712)	040	MKC	S	510	32.85	n/a	n/a	22.95	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH4711)	040	MKC	S	1,380	32.85	n/a	n/a	62.10	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH471)	040	MKC	S	2,540	32.85	n/a	n/a	114.30	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH470)	040	MKC	S	2,070	32.85	n/a	n/a	93.15	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH450)	040	MKC	S	4,330	32.85	n/a	n/a	194.85	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH340)	040	MKC	S	8,690	32.85	n/a	n/a	391.05	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH348)	040	MKC	S	530	32.85	n/a	n/a	23.85	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH333)	040	MKC	S	480	32.85	n/a	n/a	21.60	4.5
AO,	02/03	ROTHSCHILD ASSET (ROTH3602)	040	MKC	S	1,170	32.85	n/a	n/a	52.65	4.5
AO,	02/03	COLUMBIA PARTNERS (COLP507YJK)	028	QDEL	B	74	12.46	n/a	n/a	2.96	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP371EGR)	028	QDEL	B	44	12.46	n/a	n/a	1.76	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP508UD)	028	QDEL	B	70	12.46	n/a	n/a	2.80	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP300HAA)	028	QDEL	B	20	12.46	n/a	n/a	0.80	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/03	COLUMBIA PARTNERS (COLP511FCN)	028	QDEL	B	105	12.46	n/a	n/a	4.20 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP092QN)	028	QDEL	B	2,573	12.46	n/a	n/a	102.92 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP514PIU)	028	QDEL	B	935	12.46	n/a	n/a	37.40 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP287RCU)	028	QDEL	B	79	12.46	n/a	n/a	3.16 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP518NGP)	028	QDEL	B	203	12.46	n/a	n/a	8.12 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP335JJG)	028	QDEL	B	15	12.46	n/a	n/a	0.60 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP520BNA)	028	QDEL	B	1,202	12.46	n/a	n/a	48.08 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP426STA)	028	QDEL	B	312	12.46	n/a	n/a	12.48 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP525ADL)	028	QDEL	B	51	12.46	n/a	n/a	2.04 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP)	028	QDEL	B	2,566	12.46	n/a	n/a	102.64 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP532EMS)	028	QDEL	B	69	12.46	n/a	n/a	2.76 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP)	028	QDEL	B	425	12.46	n/a	n/a	17.00 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP533CAU)	028	QDEL	B	55	12.46	n/a	n/a	2.20 4.0
AO,	02/03	COLUMBIA PARTNERS (COLPTID)	028	QDEL	B	68	12.46	n/a	n/a	2.72 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP516VMI)	028	QDEL	B	449	12.46	n/a	n/a	17.96 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP551CMD)	028	QDEL	B	190	12.46	n/a	n/a	7.60 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP420SFC)	028	QDEL	B	395	12.46	n/a	n/a	15.80 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP535CAS)	028	QDEL	B	22	12.46	n/a	n/a	0.88 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP338NEB)	028	QDEL	B	863	12.46	n/a	n/a	34.52 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP537TEN)	028	QDEL	B	141	12.46	n/a	n/a	5.64 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP522PSP)	028	QDEL	B	126	12.46	n/a	n/a	5.04 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP538TIE)	028	QDEL	B	18	12.46	n/a	n/a	0.72 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP289ERF)	028	QDEL	B	1,162	12.46	n/a	n/a	46.48 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP534CAP)	028	QDEL	B	207	12.46	n/a	n/a	8.28 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP422GO)	028	QDEL	B	183	12.46	n/a	n/a	7.32 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP521SRI)	028	QDEL	B	71	12.46	n/a	n/a	2.84 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP423GOB)	028	QDEL	B	508	12.46	n/a	n/a	20.32 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP428CMM)	028	QDEL	B	102	12.46	n/a	n/a	4.08 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP513YBC)	028	QDEL	B	300	12.46	n/a	n/a	12.00 4.0
AO,	02/03	COLUMBIA PARTNERS (COLP0ERSSL)	028	QDEL	B	889	12.46	n/a	n/a	35.56 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	02/03	COLUMBIA PARTNERS (COLP515ROO)	028	QDEL	B	226	12.46	n/a	n/a	9.04	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP014NEC)	028	QDEL	B	48	12.46	n/a	n/a	1.92	4.0
AO,	02/03	COLUMBIA PARTNERS (COLPUSBANK)	028	QDEL	B	38	12.46	n/a	n/a	1.52	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP051IBE)	028	QDEL	B	1,658	12.46	n/a	n/a	66.32	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP000FIR)	028	QDEL	B	173	12.46	n/a	n/a	6.92	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP498CA)	028	QDEL	B	601	12.46	n/a	n/a	24.04	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP488TSC)	028	QDEL	B	125	12.46	n/a	n/a	5.00	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP463BLR)	028	QDEL	B	93	12.46	n/a	n/a	3.72	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP458MHF)	028	QDEL	B	168	12.46	n/a	n/a	6.72	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP446CNH)	028	QDEL	B	292	12.46	n/a	n/a	11.68	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP476IBE)	028	QDEL	B	296	12.46	n/a	n/a	11.84	4.0
AO,	02/03	COLUMBIA PARTNERS (COLP437CDC)	028	QDEL	B	775	12.46	n/a	n/a	31.00	4.0
AO,	02/03	UBS OCONNOR (UBSOCITI)	031	ROP	SS	18,720	40.51	n/a	n/a	561.60	3.0
AO,	02/03	UBS OCONNOR (UBSOCSFBCO)	031	ROP	SS	26,280	40.51	n/a	n/a	788.40	3.0
AO,	02/03	LISTED ERR (LISTED ERR)	099	RWT	S	1,000	14.25	n/a	n/a	0.00	0.0
AO,CXL	02/03	MAGNETAR FINANCIAL (MAGNCSFB)	031	RWT	S	39,100	14.40	n/a	n/a	1955.00	5.0
AO,CRT	02/03	MAGNETAR FINANCIAL (MAGNCSFB)	031	RWT	S	38,100	14.40	n/a	n/a	1143.00	3.0
CRT	02/04	MAGNETAR FINANCIAL (MAGNCSFB)	031	RWT	S	11,900	14.54	n/a	n/a	357.00	3.0
TOTAL (AO, CXL, CRT) :										3,286.55	

TOTAL (Trade Date):	91,790.73
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TOTAL (RUN DATE) / NFS:	95,077.28
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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