



## Daily Compliance Activity Report

Trade Date: 03/09/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOOVER INV. MGMT	033	ACM	B	118,600	21.75	n/a	n/a	4,744.00	4.0
WYPER CAPITAL	044	AEM	S	85,716	47.29	n/a	n/a	3,428.64	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>SS</b>	<b>50,000</b>	<b>17.30</b>	<b>n/a</b>	<b>6-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
CASTLE ARK	031	APC	B	147,280	33.95	3-Feb	11-Feb	8,836.80	6.0
WASHINGTON ASSET	048	APC	B	5,000	34.17	3-Feb	11-Feb	250.00	5.0
MAIRS AND POWER INV	030	BAX	S	20,000	51.63	n/a	22-Apr	1,000.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>BAX</b>	<b>B</b>	<b>20,000</b>	<b>52.01</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>BAX</b>	<b>S</b>	<b>20,000</b>	<b>50.66</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>20,000</b>	<b>24.78</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
WASHINGTON ASSET	048	BRCM	S	10,000	16.31	n/a	n/a	500.00	5.0
SEMINOLE CAP	036	BWA	SS	20,000	15.18	27-Jan	13-Feb	1,000.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	20,000	15.16	27-Jan	13-Feb	1,000.00	5.0
JET CAPITAL/CHRIS	041	CAT	SS	10,000	24.09	n/a	27-Jan	300.00	3.0
MILLRACE FUND LP	028	CHD	B	7,100	46.61	n/a	23-Feb	284.00	4.0
NEWCASTLE FUNDS	033	CONN	B	10,000	11.01	n/a	n/a	400.00	4.0
AMBER CAPITAL	046	CX	B	233,400	4.06	n/a	n/a	9,336.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IVORY CAPITAL	034	C	S	1,250,000	1.04	n/a	27-Feb	6,250.00	0.5
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	13,300	39.93	10-Feb	6-Mar	532.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	600	31.16	5-Mar	6-Mar	30.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FDP	B	100,000	13.05	n/a	n/a	3,500.00	3.5
EATON VANCE MGMT	039	FDX	S	298,300	34.70	n/a	n/a	8,949.00	3.0
PLATTE RIVER CAPITAL	240	FOR	B	7,500	6.19	12-Feb	12-Feb	225.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>20,000</b>	<b>14.32</b>	<b>n/a</b>	<b>10-Jan</b>	<b>800.00</b>	<b>4.0</b>
WYPER CAPITAL	044	GG	S	169,315	27.89	n/a	n/a	6,772.60	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>60,000</b>	<b>14.75</b>	<b>6-Feb</b>	<b>6-Mar</b>	<b>2,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCP	B	5,000	14.15	6-Feb	6-Mar	250.00	5.0
EIDELMAN,FINGER & CO	045	JSM	B	41,000	7.52	n/a	n/a	2,050.00	5.0
TRELLUS PARTNERS LP	028	JWN	SS	1,100	12.66	20-Feb	6-Mar	55.00	5.0
RBC CAPITAL MARKETS	034	KSS	S	25,000	33.99	n/a	6-Mar	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	MAT	B	50,000	10.84	n/a	n/a	2,500.00	5.0
TPG-AXON	040	MRK	C	440,000	22.18	n/a	n/a	22,000.00	5.0
COUGAR TRADING	044	M	SS	20,000	6.75	n/a	6-Mar	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	M	S	25,000	6.87	n/a	6-Mar	1,000.00	4.0
FORD FDN.	032	NSC	S	20,000	27.08	n/a	n/a	1,000.00	5.0
COLUMBIA PARTNERS	028	PCAR	SS	28,710	21.06	20-Nov	2-Feb	1,148.40	4.0
CHILTON CAPITAL MGMT.	036	PCX	S	150,000	3.03	n/a	n/a	4,500.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	31.94	n/a	5-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	RNT	B	20,000	22.97	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	5.30	n/a	13-Mar	1,500.00	3.0
T. ROWE PRICE	033	SLB	B	88,000	36.66	n/a	n/a	3,520.00	4.0
BUCK CAPITAL MGMT	001	SLG	S	10,000	9.31	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	VNO	S	9,000	29.03	n/a	n/a	360.00	4.0
CHILTON CAPITAL MGMT.	036	WFC	C	200,000	9.78	n/a	n/a	6,000.00	3.0
BUCK CAPITAL MGMT	001	WMT	S	20,000	47.37	10-Oct	6-Mar	800.00	4.0
RBC CAPITAL MARKETS	034	WRC	B	10,000	16.65	27-Feb	27-Feb	400.00	4.0
<b>TOTAL (Trade Date):</b>								<b>114,121.44</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/06	JET CAPITAL/CHRIS (JETCSBULK)	041	CAT	SS	4,500	23.64	n/a	27-Jan	135.00 3.0
AO,	03/06	JET CAPITAL/CHRIS (JETCSILVER)	041	CAT	SS	6,540	23.64	n/a	27-Jan	196.20 3.0
AO,	03/06	JET CAPITAL/CHRIS (JETCPROV)	041	CAT	SS	3,195	23.64	n/a	27-Jan	95.85 3.0
AO,	03/06	JET CAPITAL/CHRIS (JETCREDWOO)	041	CAT	SS	6,150	23.64	n/a	27-Jan	184.50 3.0
AO,	03/06	JET CAPITAL/CHRIS (JETCMSBULK)	041	CAT	SS	9,615	23.64	n/a	27-Jan	288.45 3.0
AO,CXL	03/03	ROARING BLUE LION MGMT (ROAR4CENTS)	012	CKR	B	10,000	6.11	n/a	n/a	400.00 4.0
AO,CRT	03/03	ROARING BLUE LION MGMT (ROAR4CENTS)	012	CKR	B	10,000	6.11	n/a	n/a	300.00 3.0
AO,CXL	03/06	SCHOTTENFELD ASSOC (SCHOASSOC)	041	MCD	B	25,000	51.50	13-Oct	9-Mar	1000.00 4.0
AO,CRT	03/06	SCHOTTENFELD ASSOC (SCHOASSOC)	041	MCD	B	25,000	51.50	13-Oct	9-Mar	750.00 3.0
AO,	03/06	NOMURA CAPITAL (NOMUSGHY)	045	MIR	S	59	9.95	n/a	n/a	2.36 4.0
AO,	03/06	NOMURA CAPITAL (NOMUSIMT)	045	MIR	S	400	9.95	n/a	n/a	16.00 4.0
AO,	03/06	NOMURA CAPITAL (NOMUSPH)	045	MIR	S	16	9.95	n/a	n/a	0.64 4.0
AO,	03/06	NOMURA CAPITAL (NOMU7MS7)	045	MIR	S	1,125	9.95	n/a	n/a	45.00 4.0
AO,CXL	03/05	AVESTA CAP (&AVESDEUTS)	229	ROST	B	50,000	31.34	n/a	n/a	2500.00 5.0
AO,CRT	03/05	AVESTA CAP (AVESGSUSE)	229	ROST	B	50,000	31.34	n/a	n/a	2500.00 5.0

**TOTAL (AO, CXL, CRT) :****614.00**

TOTAL (Trade Date) :

114,121.44

TOTAL (AO, CXL, CRT) :

614.00

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TOTAL (RUN DATE) / NFS:

114,735.44

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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