



Daily Compliance Activity Report

Trade Date: 02/25/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	AAP	S	8,700	37.94	n/a	n/a	348.00	4.0
MILLENIUM PARTNERS	028	ACV	B	6,590	22.43	n/a	n/a	263.60	4.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	9.97	n/a	6-Feb	600.00	3.0
SAC CAP/ROSEN FOR BOBBY	044	AIG	SS	200,000	0.46	n/a	n/a	2,000.00	1.0
FIRST NEW YORK LEDDY	035	AKS	B	10,000	6.35	n/a	n/a	600.00	6.0
PZENA INV ADV	044	APA	B	24,075	60.19	3-Feb	3-Feb	842.69	3.5
BUCK CAPITAL MGMT	001	ARO	B	30,000	23.43	n/a	6-Feb	1,200.00	4.0
CASTLEROCK	040	BBY	B	75,913	27.89	n/a	27-Jul	3,036.52	4.0
RBC CAPITAL MARKETS	034	BJ	B	10,000	28.23	n/a	27-Jul	400.00	4.0
MERRILL ASSET	032	BKC	B	42,000	20.75	6-Feb	25-Feb	1,890.00	4.5
HIGHBRIDGE CAPITAL	038	BNI	B	15,000	60.56	n/a	n/a	750.00	5.0
PERMIAN/BAYPIONT	028	BWA	SS	16,000	17.75	27-Jan	13-Feb	640.00	4.0
DIAMONDBACK CAP MGMT	232	CAT	S	50,000	25.31	n/a	27-Jan	2,500.00	5.0
BULL PATH CAPITAL	044	CFR	B	12,000	40.95	n/a	n/a	600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	CHD	B	3,010	49.09	n/a	23-Feb	120.40	4.0
OPPENHEIMER MGMT.	231	CIT	B	10,000	2.00	22-Jan	25-Feb	200.00	2.0
HIGHBRIDGE CAPITAL	038	CNI	B	27,000	32.46	n/a	n/a	1,350.00	5.0
ROSEDALE CAPITAL	046	CSCO	B	10,000	14.66	n/a	22-Mar	500.00	5.0
FRED ALGER MGMT	035	CTSH	S	68,800	18.80	n/a	n/a	2,752.00	4.0
ALFR	035	CTSH	S	17,800	18.80	n/a	n/a	712.00	4.0
OPPENHEIMER MGMT.	231	CVX	B	5,000	63.90	n/a	n/a	200.00	4.0
FRONTPOINT CHRIS C	041	CXW	B	10,000	10.39	n/a	n/a	500.00	5.0
AMBER CAPITAL	046	CX	B	152,100	6.08	n/a	n/a	6,084.00	4.0
AMBER CAPITAL	046	C	B	100,000	2.25	n/a	17-Feb	2,500.00	2.5
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	5,800	36.81	10-Feb	25-Feb	232.00	4.0
RBC CAPITAL MARKETS	034	DLTR	S	40,000	36.85	10-Feb	25-Feb	1,600.00	4.0
TRELLUS PARTNERS LP	028	DVN	B	25,000	46.36	5-Feb	5-Feb	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ERTS	S	3,800	16.96	n/a	n/a	152.00	4.0
CUMBERLAND	038	EXH	B	60,000	18.04	27-Jan	3-Feb	2,400.00	4.0
RBC CAPITAL MARKETS	034	FDO	B	10,000	27.57	7-Jan	4-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	S	35,000	6.95	11-Dec	12-Feb	1,050.00	3.0
COUGAR TRADING	044	GPI	SS	10,000	10.85	n/a	20-Feb	500.00	5.0
WASHINGTON ASSET	048	HD	SS	10,000	20.25	n/a	25-Feb	500.00	5.0
FRED ALGER MGMT	035	INTU	B	76,100	23.50	n/a	n/a	3,044.00	4.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	S	25,500	12.22	9-Jan	20-Feb	1,020.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	400,000	2.59	n/a	11-Feb	8,000.00	2.0
COUGAR TRADING	044	JWN	B	15,000	13.35	20-Feb	24-Feb	750.00	5.0
EATON VANCE MGMT	039	KR	B	41,082	21.94	n/a	n/a	1,232.46	3.0
MILLENIUM PARTNERS	028	KR	S	20,510	21.87	n/a	n/a	820.40	4.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	36.04	n/a	6-Feb	800.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	8.75	8-Jan	30-Jan	1,500.00	3.0
SAXON WOODS ADVISORS	038	MCD	B	200,000	54.16	13-Oct	9-Feb	8,000.00	4.0
RBC CAPITAL MARKETS	034	MW	B	15,000	10.78	n/a	n/a	600.00	4.0
NEWCASTLE FUNDS	033	M	SS	30,500	8.12	n/a	25-Feb	1,220.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	20,000	5.46	16-Dec	20-Jan	800.00	4.0
HIGHBRIDGE CAPITAL	038	NSC	B	26,000	32.36	n/a	n/a	1,300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPPENHEIMER MGMT.	231	OMX	S	10,000	3.90	n/a	15-Apr	200.00	2.0
SCOPUS FUND	041	PH	S	20,000	36.05	n/a	11-Dec	1,000.00	5.0
MILLENIUUM PARTNERS	028	PTV	B	8,920	16.34	n/a	n/a	356.80	4.0
BENNETT LAWRENCE	045	RATE	S	37,750	25.42	n/a	n/a	1,698.75	4.5
BUCK CAPITAL MGMT	001	RL	SS	10,000	35.24	n/a	5-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	6.85	n/a	13-Mar	1,500.00	3.0
TRELLUS PARTNERS LP	028	SUP	C	10,000	8.39	23-Dec	12-Jan	300.00	3.0
COUGAR TRADING	044	TEX	B	10,000	8.68	13-Feb	13-Feb	400.00	4.0
COUGAR TRADING	044	TEX	SS	20,000	8.66	13-Feb	13-Feb	800.00	4.0
KACELA CAPITAL	034	TGT	B	20,000	28.29	25-Feb	25-Feb	800.00	4.0
KLEINHEINZ CAP PART	031	TGT	B	100,000	28.13	25-Feb	25-Feb	5,000.00	5.0
TROUBH PART	067	TGT	B	25,000	28.00	25-Feb	25-Feb	1,250.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	83,603	4.53	5-Dec	28-Jan	2,508.09	3.0
MILLENIUUM PARTNERS	028	TIN	B	20,000	4.70	5-Dec	28-Jan	800.00	4.0
MERRILL ASSET	032	URBN	B	43,900	17.02	n/a	30-Jan	1,975.50	4.5
SUFFOLK CAPITAL MGMT	040	WFC	B	200,000	12.60	n/a	n/a	8,000.00	4.0
FIRST NY SEC/CHRIS	041	WRC	B	39,900	20.03	7-Nov	27-Jan	1,995.00	5.0

TOTAL (Trade Date):

96,744.21

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100280)	098	AOC	S	510	39.44	n/a	n/a	22.95 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100230)	098	AOC	S	130	39.44	n/a	n/a	5.85 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100250)	098	AOC	S	280	39.44	n/a	n/a	12.60 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100260)	098	AOC	S	320	39.44	n/a	n/a	14.40 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100200)	098	AOC	S	440	39.44	n/a	n/a	19.80 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100170)	098	AOC	S	240	39.44	n/a	n/a	10.80 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100150)	098	AOC	S	160	39.44	n/a	n/a	7.20 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100120)	098	AOC	S	40	39.44	n/a	n/a	1.80 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100100)	098	AOC	S	20	39.44	n/a	n/a	0.90 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH316)	098	AOC	S	930	39.44	n/a	n/a	41.85 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100160)	098	AOC	S	180	39.44	n/a	n/a	8.10 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100110)	098	AOC	S	150	39.44	n/a	n/a	6.75 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH357)	098	AOC	S	600	39.44	n/a	n/a	27.00 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH100180)	098	AOC	S	8,340	39.44	n/a	n/a	375.30 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH000328)	098	AOC	S	230	39.44	n/a	n/a	10.35 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH301)	098	AOC	S	590	39.44	n/a	n/a	26.55 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH3841)	098	AOC	S	240	39.44	n/a	n/a	10.80 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH384)	098	AOC	S	540	39.44	n/a	n/a	24.30 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH3793)	098	AOC	S	210	39.44	n/a	n/a	9.45 4.5
AO, CXL	02/24	ROTHSCHILD ASSET (ROTH3762)	098	AOC	S	680	39.44	n/a	n/a	30.60 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100280)	040	AOC	S	510	39.44	n/a	n/a	22.95 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100230)	040	AOC	S	130	39.44	n/a	n/a	5.85 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100250)	040	AOC	S	280	39.44	n/a	n/a	12.60 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100260)	040	AOC	S	320	39.44	n/a	n/a	14.40 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100200)	040	AOC	S	440	39.44	n/a	n/a	19.80 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100170)	040	AOC	S	240	39.44	n/a	n/a	10.80 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100150)	040	AOC	S	160	39.44	n/a	n/a	7.20 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/24	ROTHSCHILD ASSET (ROTH100120)	040	AOC	S	40	39.44	n/a	n/a	1.80 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100100)	040	AOC	S	20	39.44	n/a	n/a	0.90 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH316)	040	AOC	S	930	39.44	n/a	n/a	41.85 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100160)	040	AOC	S	180	39.44	n/a	n/a	8.10 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100110)	040	AOC	S	150	39.44	n/a	n/a	6.75 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH357)	040	AOC	S	600	39.44	n/a	n/a	27.00 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH100180)	040	AOC	S	8,340	39.44	n/a	n/a	375.30 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH000328)	040	AOC	S	230	39.44	n/a	n/a	10.35 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH301)	040	AOC	S	590	39.44	n/a	n/a	26.55 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH3841)	040	AOC	S	240	39.44	n/a	n/a	10.80 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH384)	040	AOC	S	540	39.44	n/a	n/a	24.30 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH3793)	040	AOC	S	210	39.44	n/a	n/a	9.45 4.5
AO,	02/24	ROTHSCHILD ASSET (ROTH3762)	040	AOC	S	680	39.44	n/a	n/a	30.60 4.5
AO,CXL	02/24	OPPENHEIMER MGMT. (OPPM835)	231	CIT	B	5,000	1.92	22-Jan	25-Feb	200.00 4.0
AO,	02/24	OPPENHEIMER MGMT. (OPPM835)	231	CIT	B	5,000	1.92	22-Jan	25-Feb	100.00 2.0
AO,CXL	02/24	CENTURION PARTNERS (CENTBSPT)	041	DAI	B	20,000	23.36	n/a	n/a	1000.00 5.0
AO,CRT	02/24	CENTURION PARTNERS (CENTBSPT)	041	DAI	B	20,000	23.36	n/a	n/a	800.00 4.0
AO,CXL	02/24	BULL PATH CAPITAL (BULLJPHQ)	044	QQQQ	S	3,300	28.66	n/a	n/a	66.00 2.0
AO,CXL	02/24	BULL PATH CAPITAL (BULLBOAGS)	044	QQQQ	S	146,700	28.66	n/a	n/a	2934.00 2.0
AO,CRT	02/24	STG INVESTORS (STGIGOLDMA)	041	QQQQ	S	3,300	28.66	n/a	n/a	66.00 2.0
AO,CRT	02/24	STG INVESTORS (STGIBANC O)	041	QQQQ	S	146,700	28.66	n/a	n/a	2934.00 2.0
AO,CXL	02/24	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SKX	B	40,000	7.09	n/a	13-Mar	1600.00 4.0
AO,CRT	02/24	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	SKX	B	40,000	7.09	n/a	13-Mar	1200.00 3.0
AO,CRT	02/24	SANDELL ADV (SANLCREDSU)	040	UYG	S	250,000	2.39	n/a	n/a	7500.00 3.0
AO,CXL	02/24	SANDELL ADV (SANLDEUTSC)	040	UYG	S	250,000	2.39	n/a	n/a	7500.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									-700.00
TOTAL (Trade Date) :									96,744.21
TOTAL (AO, CXL, CRT) :									-700.00
TOTAL (RUN DATE) / NFS :									96,044.21

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