



## Daily Compliance Activity Report

Trade Date: 03/05/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BABSON/OFI/TRINITY	039	AEO	B	2,400	9.20	n/a	2-Mar	96.00	4.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	33.03	13-Nov	3-Mar	500.00	5.0
DENVER INST. ADV	046	ANF	S	130,000	17.87	n/a	6-Feb	5,200.00	4.0
AVESTA CAP	229	BBY	B	25,000	26.17	n/a	27-Jul	1,250.00	5.0
CROWN ADVISORS	045	BIG	SS	2,500	17.70	4-Mar	4-Mar	125.00	5.0
ENTRUST CAPITAL	040	BIG	SS	63,300	17.00	4-Mar	4-Mar	3,165.00	5.0
RAMIUS CAP	040	BIG	SS	125,000	17.36	4-Mar	4-Mar	5,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKE</b>	<b>S</b>	<b>20,000</b>	<b>23.96</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>SS</b>	<b>30,000</b>	<b>16.21</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWA</b>	<b>SS</b>	<b>100,000</b>	<b>15.83</b>	<b>27-Jan</b>	<b>13-Feb</b>	<b>4,000.00</b>	<b>4.0</b>
LITESPEED	028	BWA	B	59,200	15.75	27-Jan	13-Feb	1,776.00	3.0
MARINER/TRICADIA	041	BWA	B	17,000	15.84	27-Jan	13-Feb	850.00	5.0
RESURGENCE ASSET MGMT	070	BWA	SS	50,000	16.20	27-Jan	13-Feb	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BXP</b>	<b>S</b>	<b>20,000</b>	<b>31.54</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
TROUBH PART	067	CAT	B	25,000	24.03	n/a	27-Jan	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>30,000</b>	<b>12.40</b>	<b>9-Jan</b>	<b>22-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
NEUBERGER BERMAN	036	COV	B	16,400	29.03	n/a	n/a	738.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUGENT CAPITAL	031	CSX	S	8,900	22.38	n/a	n/a	356.00	4.0
BABSON/OFI/TRINITY	039	CTRN	B	1,700	12.00	n/a	n/a	68.00	4.0
<b>Õ Mark Megalli</b>		<b>C</b>	<b>B</b>	<b>10000</b>	<b>1.0200</b>	<b>n/a</b>	<b>27-Feb</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	DHR	B	5,000	49.44	n/a	n/a	250.00	5.0
BABSON/OFI/TRINITY	039	DXPE	B	1,700	10.18	n/a	n/a	68.00	4.0
LIEBAU ASSET MGMT	048	EMR	B	10,000	24.61	n/a	n/a	500.00	5.0
BABSON/OFI/TRINITY	039	EPAX	B	2,500	6.89	n/a	n/a	100.00	4.0
CHARTER OAK	033	FDO	B	20,000	29.97	5-Mar	5-Mar	1,000.00	5.0
BABSON/OFI/TRINITY	039	FGXI	B	1,000	9.78	n/a	n/a	40.00	4.0
BALYASNY ASSET MGMT	044	FII	B	10,000	17.71	13-Nov	3-Mar	500.00	5.0
COUGAR TRADING	044	FL	SS	10,000	8.67	7-Oct	5-Mar	400.00	4.0
METROPOLITAN CAPITAL	044	FL	S	29,100	8.78	7-Oct	5-Mar	1,164.00	4.0
SCOPUS FUND	041	GES	S	16,200	13.52	n/a	n/a	810.00	5.0
FIRST NY SEC/CHRIS	041	GE	B	25,000	6.65	n/a	n/a	1,250.00	5.0
GRUSS CAPITAL	045	GLD	SS	25,000	89.46	n/a	n/a	750.00	3.0
BABSON/OFI/TRINITY	039	GME	S	800	23.91	n/a	n/a	32.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	GYMB	B	10,000	14.50	5-Mar	5-Mar	500.00	5.0
COUGAR TRADING	044	GYMB	S	10,000	15.60	5-Mar	5-Mar	500.00	5.0
MILLRACE FUND LP	028	GYMB	B	2,000	14.66	5-Mar	5-Mar	80.00	4.0
KLEINHEINZ CAP PART	031	HRB	S	75,000	17.25	n/a	n/a	3,750.00	5.0
NEUBERGER BERMAN	036	HST	S	19,300	3.49	n/a	n/a	386.00	2.0
MARINER/TRICADIA	041	JCP	B	40,000	15.43	6-Feb	2-Mar	2,000.00	5.0
THE JAY GOLDMAN	034	JCP	B	20,000	14.33	6-Feb	2-Mar	800.00	4.0
EIDELMAN, FINGER & CO	045	JSM	B	1,400	7.64	n/a	n/a	70.00	5.0
SANDELL ADV	040	KFT	B	40,000	21.55	n/a	n/a	2,400.00	6.0
TRELLUS PARTNERS LP	028	KMT	SS	9,700	14.97	n/a	30-Jan	485.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>3,700</b>	<b>36.25</b>	<b>n/a</b>	<b>2-Mar</b>	<b>148.00</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	LM	B	15,000	13.18	29-Jan	5-Mar	750.00	5.0
UBS OCONNOR	031	LM	B	50,000	13.16	29-Jan	5-Mar	1,500.00	3.0
HIGHBRIDGE CAPITAL	038	LPX	B	40,558	1.17	3-Mar	4-Mar	811.16	2.0
THE JAY GOLDMAN	034	LTD	S	50,000	6.48	8-Jan	30-Jan	1,500.00	3.0
SIGMA CAPITAL ASSOCIATES	237	MAT	B	100,000	10.58	n/a	n/a	5,000.00	5.0
BABSON/OFI/TRINITY	039	MOV	B	1,500	5.05	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
T. ROWE PRICE	033	MSFT	S	250,000	15.54	n/a	3-Apr	7,500.00	3.0
SANDLER O'NEILL ASSET	031	MS	B	75,000	18.12	18-Dec	26-Feb	3,750.00	5.0
COUGAR TRADING	044	M	B	15,000	6.59	n/a	2-Mar	600.00	4.0
BRANDWINE	028	NOK	B	27,900	9.11	n/a	n/a	1,116.00	4.0
TRUGENT CAPITAL	031	NSC	B	6,700	27.62	n/a	n/a	268.00	4.0
RAMIUS CAP	040	PFCB	B	25,000	17.66	8-Jan	12-Feb	1,000.00	4.0
COUGAR TRADING	044	PVH	B	10,000	15.01	22-Jan	22-Jan	500.00	5.0
COUGAR TRADING	044	PVH	S	20,000	14.91	22-Jan	22-Jan	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>50,000</b>	<b>32.34</b>	<b>n/a</b>	<b>5-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
AVESTA CAP	229	ROST	B	50,000	31.34	n/a	n/a	2,500.00	5.0
BRANDWINE	028	RTN	B	22,800	36.49	n/a	n/a	912.00	4.0
NEUBERGER BERMAN	036	RX	B	79,300	11.89	n/a	n/a	3,568.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>20,000</b>	<b>5.50</b>	<b>n/a</b>	<b>13-Mar</b>	<b>600.00</b>	<b>3.0</b>
BABSON/OFI/TRINITY	039	SMBL	B	3,100	5.77	n/a	n/a	124.00	4.0
BRANDWINE	028	TGT	B	17,800	26.30	25-Feb	2-Mar	712.00	4.0
THE JAY GOLDMAN	034	TGT	S	50,000	27.30	25-Feb	2-Mar	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	TIN	B	12,500	2.95	5-Dec	28-Jan	375.00	3.0
BABSON/OFI/TRINITY	039	TITN	B	1,400	8.11	n/a	n/a	56.00	4.0
BABSON/OFI/TRINITY	039	TSCO	B	700	28.86	n/a	n/a	28.00	4.0
BRANDWINE	028	T	B	55,400	22.70	n/a	4-Jan	2,216.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>UA</b>	<b>B</b>	<b>39,800</b>	<b>14.04</b>	<b>n/a</b>	<b>13-Feb</b>	<b>1,592.00</b>	<b>4.0</b>
WHITE PINE CAPITAL	030	UNT	B	14,025	18.65	n/a	24-Feb	701.25	5.0
SIGMA CAPITAL ASSOCIATES	237	URBN	SS	20,000	15.00	n/a	30-Jan	1,000.00	5.0
SERENGETI MGMT	030	WAB	B	100,000	24.61	n/a	n/a	5,000.00	5.0
GALT INVESTMENT	041	WMT	B	20,000	49.87	10-Oct	2-Mar	1,000.00	5.0
NEWCASTLE FUNDS	033	WMT	S	20,000	50.89	10-Oct	2-Mar	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>20,000</b>	<b>18.00</b>	<b>27-Feb</b>	<b>27-Feb</b>	<b>800.00</b>	<b>4.0</b>
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>WRC</b>	<b>B</b>	<b>4,000</b>	<b>18.11</b>	<b>27-Feb</b>	<b>27-Feb</b>	<b>240.00</b>	<b>6.0</b>
SIGMA CAPITAL ASSOCIATES	237	WSM	SS	25,000	8.45	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	XLI	SS	70,000	15.82	n/a	n/a	3,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>YUM</b>	<b>B</b>	<b>100,000</b>	<b>25.49</b>	<b>n/a</b>	<b>5-Feb</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	ZQK	S	15,000	0.99	19-Dec	27-Jan	150.00	1.0

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**TOTAL (Trade Date):**

**109,336.91**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/03	THE JAY GOLDMAN (GOLDGSBULK)	034	COST	B	15,000	40.87	n/a	27-Jul	750.00 5.0
AO,CRT	03/03	THE JAY GOLDMAN (GOLDGSBULK)	034	COST	B	15,000	40.87	n/a	27-Jul	600.00 4.0
AO,CXL	03/04	THE JAY GOLDMAN (GOLDGSBULK)	034	LTD	S	25,000	7.12	8-Jan	30-Jan	1000.00 4.0
AO,CRT	03/04	THE JAY GOLDMAN (GOLDGSBULK)	034	LTD	S	25,000	7.12	8-Jan	30-Jan	750.00 3.0
AO,CXL	03/04	THE JAY GOLDMAN (GOLDGSBULK)	034	M	B	40,000	7.30	n/a	2-Mar	1600.00 4.0
AO,CRT	03/04	THE JAY GOLDMAN (GOLDGSBULK)	034	M	B	40,000	7.30	n/a	2-Mar	1200.00 3.0
AO,	03/04	COLUMBUS CIRCLE (COLC3060)	036	MS	B	4,500	19.13	18-Dec	26-Feb	180.00 4.0

**TOTAL (AO, CXL, CRT) :****-620.00**

TOTAL (Trade Date) :

109,336.91

TOTAL (AO, CXL, CRT) :

-620.00

**TOTAL (RUN DATE) / NFS :****108,716.91**

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