



Daily Compliance Activity Report

Trade Date: 02/11/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	AMG	S	879	46.11	13-Nov	10-Feb	35.16	4.0
MTB INV ADV	034	ANF	B	5,400	20.25	n/a	6-Feb	270.00	5.0
PECONIC PARTNERS	036	ANF	SS	50,000	19.94	n/a	6-Feb	2,500.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	22.37	n/a	6-Feb	2,000.00	4.0
MTB INV ADV	034	ARO	B	5,275	21.98	n/a	6-Feb	263.75	5.0
LISTED ERR	099	AZO	S	66	138.67	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	BAC	B	165,000	5.96	16-Jan	10-Feb	4,950.00	3.0
MTB INV ADV	034	BKE	B	5,300	23.55	n/a	n/a	265.00	5.0
SANDLER O'NEILL ASSET	031	BK	B	25,000	26.57	21-Jan	10-Feb	1,250.00	5.0
GREEN ARROW CAPITAL	034	BLK	S	15,000	112.35	11-Feb	11-Feb	750.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	7,000	68.24	n/a	n/a	350.00	5.0
BALYASNY ASSET MGMT	044	BWA	SS	50,000	19.37	27-Jan	27-Jan	2,500.00	5.0
COUGAR TRADING	044	BWA	SS	10,000	18.86	27-Jan	27-Jan	500.00	5.0
MILLRACE FUND LP	028	BWA	SS	5,000	18.89	27-Jan	27-Jan	200.00	4.0
RESURGENCE ASSET MGMT	070	BWA	SS	50,000	18.73	27-Jan	27-Jan	2,500.00	5.0
T. ROWE PRICE	033	CI	S	126,900	20.63	n/a	n/a	5,076.00	4.0
NATIONAL BK OF CAN	031	C	SS	285,000	3.44	n/a	10-Feb	5,700.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ETN	SS	5,000	44.42	26-Jan	26-Jan	250.00	5.0
DSG CAPITAL	225	FOR	B	10,000	9.00	n/a	5-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	100,000	14.50	n/a	10-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	16.81	n/a	n/a	400.00	4.0
MATRIX ASSET ADV.	036	GE	S	35,000	11.96	n/a	n/a	1,050.00	3.0
CAXTON PART	040	GS	S	12,028	92.04	15-Sep	10-Feb	420.98	3.5
HOLDEN CAPITAL MGMT	035	HD	SS	50,000	22.01	n/a	11-Feb	2,500.00	5.0
RBC CAPITAL MARKETS	034	HD	SS	10,000	22.11	n/a	11-Feb	400.00	4.0
CAXTON PART	040	HPQ	S	12,039	34.76	n/a	n/a	421.37	3.5
NORTHPOINT	030	ICON	S	24,919	8.98	n/a	n/a	747.57	3.0
NORTHPOINT	030	INTU	S	22,400	23.22	n/a	n/a	896.00	4.0
POST ROAD CAP	045	IR	S	5,000	17.26	n/a	n/a	150.00	3.0
FRIESS MGMT	033	JOSB	B	100,000	26.19	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	S	50,000	37.45	n/a	6-Feb	2,000.00	4.0
RBC CAPITAL MARKETS	034	KSS	B	10,000	37.55	n/a	6-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	MAR	B	100,000	15.40	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WESS	070	MCO	C	25,000	24.39	n/a	n/a	1,000.00	4.0
CAXTON PART	040	MON	B	14,000	80.00	n/a	22-Jan	490.01	3.5
AMBER CAPITAL	046	MTB	SS	25,000	38.45	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	NDN	B	48,004	7.52	31-Oct	5-Feb	1,440.12	3.0
PAULSON & CO INC	041	NRG	S	100,000	23.81	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	NTRS	SS	25,000	60.05	14-Jan	10-Feb	1,250.00	5.0
EATON VANCE MGMT	039	OXY	B	50,000	56.83	n/a	n/a	1,500.00	3.0
MTB INV ADV	034	PETM	B	8,525	19.43	n/a	n/a	426.25	5.0
MILLRACE FUND LP	028	PFCB	SS	8,500	18.34	8-Jan	11-Feb	340.00	4.0
CAXTON PART	040	QCOM	S	12,046	34.81	n/a	n/a	421.61	3.5
COLUMBIA PARTNERS	028	QDEL	B	29,633	12.93	n/a	n/a	1,185.32	4.0
FIRST NEW YORK LEDDY	035	Q	S	10,000	3.25	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	RCL	B	50,000	7.15	30-Jan	30-Jan	1,500.00	3.0
1798 CAPITAL MGMT	040	SHW	S	10,000	47.11	n/a	22-Jan	500.00	5.0
HIGHBRIDGE/MS OLDS	041	STT	S	70,000	28.44	n/a	n/a	3,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WESS	070	STT	S	25,000	28.56	n/a	n/a	1,000.00	4.0
AVESTA CAP	229	TGT	B	75,000	31.89	5-Feb	10-Feb	3,750.00	5.0
WASHINGTON ASSET	048	THS	S	8,000	24.69	n/a	n/a	400.00	5.0
PECONIC PARTNERS	036	TIF	SS	50,000	20.93	n/a	30-Jan	2,500.00	5.0
CAXTON PART	040	TOT	S	24,068	51.37	n/a	n/a	842.40	3.5
MTB INV ADV	034	URBN	B	5,300	16.67	n/a	30-Jan	265.00	5.0
SERENGETI MGMT	030	WAB	SS	50,000	31.33	n/a	n/a	2,500.00	5.0
FINANCIAL STOCK LP	028	WFC	B	100,000	16.91	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	WMS	SS	40,000	18.22	n/a	n/a	1,600.00	4.0
TOTAL (Trade Date):								86,256.54	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	02/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ARO	S	2,900	22.37	n/a	6-Feb	116.00 4.0
AO,CRT	02/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	BNI	B	8,000	71.00	n/a	n/a	400.00 5.0
AO,CXL	02/10	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	BNI	B	8,000	71.00	n/a	n/a	400.00 5.0
AO,	02/10	PILOT ADV (PILOEXPLOR)	038	CQB	S	2,500	14.23	n/a	n/a	100.00 4.0
AO,	02/10	PILOT ADV (PILOBOFA)	038	CQB	S	47,500	14.23	n/a	n/a	1900.00 4.0
AO,CXL	02/10	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	067	DHI	S	400,000	9.06	n/a	n/a	12000.00 3.0
AO,CRT	02/10	HUNTER GLOBAL INVESTOR (HUNTMS P)	067	DHI	S	400,000	9.06	n/a	n/a	12000.00 3.0
AO,CXL	02/10	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DIN	B	8,400	9.05	n/a	n/a	336.00 4.0
AO,CRT	02/10	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	DIN	B	8,400	9.05	n/a	n/a	252.00 3.0
AO,CXL	02/10	PERMIAN/BAYPIONT (PERMGS)	028	NFLX	SS	8,200	36.51	n/a	n/a	410.00 5.0
AO,	02/10	PERMIAN/BAYPIONT (PERMGS)	028	NFLX	SS	8,200	36.51	n/a	n/a	328.00 4.0
AO,CRT	02/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	NSC	B	16,000	39.27	n/a	n/a	800.00 5.0
AO,CXL	02/10	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	NSC	B	16,000	39.27	n/a	n/a	800.00 5.0
AO,CXL	02/10	CENTURION GLOBAL MGMT LL (CGLOMSCO)	041	NTAP	S	18,000	15.68	n/a	n/a	900.00 5.0
AO,CRT	02/10	CENTURION GLOBAL MGMT LL (CGLOMSCO)	041	NTAP	S	18,000	15.68	n/a	n/a	540.00 3.0
CRT	02/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RCL	B	2,500	7.15	30-Jan	30-Jan	75.00 3.0
TOTAL (AO, CXL, CRT) :										1,665.00

TOTAL (Trade Date):	86,256.54
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TOTAL (RUN DATE) / NFS:	87,921.54
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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