



## Daily Compliance Activity Report

Trade Date: 03/06/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	ACGL	S	6,600	48.06	n/a	n/a	264.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	70,000	8.84	n/a	6-Mar	2,100.00	3.0
WHITE PINE CAPITAL	030	AMERICAN INTL GROUP	S	100,000	45.00		n/a	n/a	500.00 0.0
BUCK CAPITAL MGMT	001	ARO	S	30,000	22.94	n/a	6-Mar	1,200.00	4.0
BUCK CAPITAL MGMT	001	BKE	S	100,903	22.63	n/a	n/a	4,036.12	4.0
BUCK CAPITAL MGMT	001	BKS	SS	20,000	15.33	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	BK	B	25,000	19.53	21-Jan	26-Feb	1,250.00	5.0
FORD FDN.	032	BK	S	85,000	18.36	21-Jan	26-Feb	4,250.00	5.0
SANDLER O'NEILL ASSET	031	BK	S	50,000	17.50	21-Jan	26-Feb	2,500.00	5.0
EATON VANCE MGMT	039	BSX	B	33,995	6.41	n/a	22-Apr	679.90	2.0
BMO NESBITT BURNS	041	BWA	B	25,000	15.04	27-Jan	13-Feb	1,250.00	5.0
LITESPEED	028	BWA	B	207,800	15.13	27-Jan	13-Feb	6,234.00	3.0
DAVIDSON KEMPNER ADVISOR	040	CAT	SS	50,000	23.11	n/a	27-Jan	2,500.00	5.0
JET CAPITAL/CHRIS	041	CAT	C	30,000	23.46	n/a	27-Jan	900.00	3.0
IRIDIAN ASSET MGMT.	036	CHRW	C	18,000	38.57	n/a	n/a	900.00	5.0
AMBER CAPITAL	046	CX	B	122,100	4.42	n/a	n/a	4,884.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HILLTOP PARK ASSOC	041	DELL	S	100,000	8.30	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	DSW	B	5,000	7.10	14-Nov	13-Feb	200.00	4.0
JAT CAPITAL MANAGEMENT	041	ERIC	S	126,400	7.62	n/a	n/a	3,792.00	3.0
BARROW HANLEY MEWHINNEY	031	FDO	S	105,000	29.92	5-Mar	6-Mar	4,200.00	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	5,000	5.99	12-Feb	12-Feb	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>60,000</b>	<b>13.30</b>	<b>n/a</b>	<b>10-Jan</b>	<b>2,400.00</b>	<b>4.0</b>
TOKIO MARINE ASSET MGMT	045	GENZ	B	10,000	51.99	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>100,000</b>	<b>13.09</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
SCOPUS FUND	041	GES	S	5,000	13.04	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	GNTX	C	20,000	7.23	30-Jan	30-Jan	800.00	4.0
EOS PARTNERS	045	GPI	SS	3,100	8.69	n/a	20-Feb	124.00	4.0
SIGMA CAPITAL ASSOCIATES	237	GPS	B	25,000	9.82	n/a	30-Jan	1,250.00	5.0
SLS CAPITAL LLC	224	GPS	S	255,520	9.60	n/a	30-Jan	7,665.60	3.0
WAGONHOUND/NIC	048	GYMB	B	4,853	15.69	5-Mar	5-Mar	194.12	4.0
HOLDEN CAPITAL MGMT	035	HMC	SS	30,000	21.31	n/a	n/a	1,500.00	5.0
BARROW HANLEY MEWHINNEY	031	IBM	S	24,000	85.00	n/a	n/a	960.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JCP	B	100,000	14.41	6-Feb	6-Mar	4,000.00	4.0
DIAMONDBACK CAP MGMT	232	JPM	S	45,000	17.18	16-Jan	27-Feb	2,250.00	5.0
HIGHBRIDGE CAPITAL	038	LPX	B	4,500	1.19	3-Mar	4-Mar	90.00	2.0
NEUBERGER BERMAN	036	MAA	S	21,200	22.77	n/a	n/a	954.00	4.5
FIRST NEW YORK LEDDY	035	MCD	B	10,000	51.50	13-Oct	3-Mar	600.00	6.0
SCHOTTENFELD ASSOC	041	MCD	B	25,000	51.50	13-Oct	3-Mar	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	MS	S	100,000	18.96	18-Dec	26-Feb	5,000.00	5.0
COUGAR TRADING	044	M	B	25,000	6.87	n/a	6-Mar	1,000.00	4.0
COUGAR TRADING	044	M	S	15,000	7.28	n/a	6-Mar	600.00	4.0
PERMIAN/BAYPIONT	028	NFLX	SS	8,000	37.41	n/a	n/a	320.00	4.0
BUCK CAPITAL MGMT	001	NKE	B	20,000	39.65	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	NTRS	S	10,000	49.14	14-Jan	26-Feb	500.00	5.0
MATRIX ASSET ADV.	036	OMC	S	15,000	22.06	n/a	n/a	600.00	4.0
TOKIO MARINE ASSET MGMT	045	OXY	S	37,100	51.01	n/a	n/a	1,484.00	4.0
COUGAR TRADING	044	PVH	B	5,000	14.51	22-Jan	22-Jan	250.00	5.0
KLEINHEINZ CAP PART	031	QCOM	S	75,000	33.05	n/a	n/a	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	20,000	32.19	n/a	5-Feb	800.00	4.0
EATON VANCE MGMT	039	SGP	B	46,203	16.46	n/a	n/a	1,386.09	3.0
BUCK CAPITAL MGMT	001	SKX	B	79,200	5.55	n/a	13-Mar	2,376.00	3.0
IRIDIAN ASSET MGMT.	036	SONC	C	90,000	6.68	n/a	n/a	4,500.00	5.0
SANDELL ADV	040	SPY	B	65,000	68.13	n/a	n/a	2,600.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	312,500	2.73	5-Dec	28-Jan	9,375.00	3.0
HOLDEN CAPITAL MGMT	035	TM	SS	5,000	57.70	n/a	n/a	250.00	5.0
LISTED ERR	099	TM	B	5,000	57.70	n/a	n/a	0.00	0.0
LISTED ERR	099	TM	S	5,000	57.41	n/a	n/a	0.00	0.0
HILLTOP PARK ASSOC	041	TSM	S	100,000	8.24	n/a	n/a	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	URBN	SS	50,000	14.15	n/a	30-Jan	2,500.00	5.0
BUCK CAPITAL MGMT	001	VNO	S	20,000	27.83	n/a	n/a	800.00	4.0
MAIRS AND POWER INV	030	WFC	B	10,000	8.82	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WMT	B	88,800	49.28	10-Oct	6-Mar	3,108.00	3.5
CASTLEROCK	040	WRC	B	56,762	18.05	27-Feb	27-Feb	2,270.48	4.0
WELLS/STRONG LEDDY	035	WTSLA	B	4,400	2.33	n/a	n/a	88.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDELL ADV	040	XLU	B	150,000	22.90	n/a	n/a	6,000.00	4.0
<b>TOTAL (Trade Date):</b>							<b>129,985.31</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/05	JET CAPITAL/CHRIS (JETCSILVER)	041	CAT	B	14,169	23.57	n/a	27-Jan	425.07 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCPROV)	041	CAT	B	6,923	23.57	n/a	27-Jan	207.69 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCREDWOO)	041	CAT	B	13,325	23.57	n/a	27-Jan	399.75 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCMSBULK)	041	CAT	B	20,833	23.57	n/a	27-Jan	624.99 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCGSBULK)	041	CAT	B	9,750	23.57	n/a	27-Jan	292.50 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCSILVER)	041	CAT	SS	8,720	23.83	n/a	27-Jan	261.60 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCPROV)	041	CAT	SS	4,260	23.83	n/a	27-Jan	127.80 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCREDWOO)	041	CAT	SS	8,200	23.83	n/a	27-Jan	246.00 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCMSBULK)	041	CAT	SS	12,820	23.83	n/a	27-Jan	384.60 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCGSBULK)	041	CAT	SS	6,000	23.83	n/a	27-Jan	180.00 3.0
AO,CXL	03/05	SANDELL ADV (SANLMORGAN)	040	KFT	B	40,000	21.55	n/a	n/a	2400.00 6.0
AO,CRT	03/05	SANDLER CAPITAL (SANDOMINBU)	038	KFT	B	40,000	21.55	n/a	n/a	2400.00 6.0
AO,	02/26	LISTED ERR (LISTED ERR)	099	WMT	B	50,000	49.05	10-Oct	6-Mar	0.00 0.0
AO,	02/26	LISTED ERR (LISTED ERR)	099	WMT	S	50,000	49.05	10-Oct	6-Mar	0.00 0.0
AO,CXL	02/26	LEVIN CAPITAL STRATEGIES (LEVSMS)	012	WMT	S	50,000	49.05	10-Oct	6-Mar	2000.00 4.0
AO,	02/26	LEVIN CAPITAL STRATEGIES (LEVSMS)	012	WMT	S	50,000	49.05	10-Oct	6-Mar	2000.00 4.0
AO,	03/05	JET CAPITAL/CHRIS (JETCSILVER)	041	WTR	SS	10,900	18.38	n/a	n/a	327.00 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCPROV)	041	WTR	SS	5,325	18.38	n/a	n/a	159.75 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCREDWOO)	041	WTR	SS	10,250	18.38	n/a	n/a	307.50 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCMSBULK)	041	WTR	SS	16,025	18.38	n/a	n/a	480.75 3.0
AO,	03/05	JET CAPITAL/CHRIS (JETCGSBULK)	041	WTR	SS	7,500	18.38	n/a	n/a	225.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,650.00</b>

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TOTAL (Trade Date):	129,985.31
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>134,635.31</b>
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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