



Daily Compliance Activity Report

Trade Date: 02/26/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ACC	S	10,100	17.83	n/a	n/a	454.50	4.5
BUCK CAPITAL MGMT	001	ADM	SS	50,000	27.18	5-Jan	3-Feb	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	ALV	SS	103,060	15.77	30-Jan	4-Feb	4,122.40	4.0
TRELLUS PARTNERS LP	028	ALV	SS	5,000	15.61	30-Jan	4-Feb	250.00	5.0
BUCK CAPITAL MGMT	001	AVP	SS	100,000	18.27	25-Feb	25-Feb	4,000.00	4.0
PORTER-ORLIN-FELDMAN	044	BAC	S	200,000	5.77	16-Jan	26-Feb	10,000.00	5.0
PHILADELPHIA FINANCIAL	033	BEN	B	22,163	49.79	13-Nov	20-Feb	886.52	4.0
SANDLER O'NEILL ASSET	031	BK	S	150,000	23.30	21-Jan	26-Feb	7,500.00	5.0
HUNTER GLOBAL INVESTOR	067	BWA	SS	125,000	17.51	27-Jan	13-Feb	5,000.00	4.0
BUCK CAPITAL MGMT	001	CAB	SS	60,000	8.18	n/a	n/a	1,800.00	3.0
OPPENHEIMER MGMT.	231	CIT	B	17,250	2.35	22-Jan	26-Feb	345.00	2.0
BUCK CAPITAL MGMT	001	CRI	S	50,000	16.60	n/a	n/a	2,000.00	4.0
HIGHBRIDGE CAPITAL	038	DTV	SS	6,000	21.16	n/a	4-Jan	300.00	5.0
CATAPULT	040	DV	SS	25,000	49.59	n/a	n/a	1,000.00	4.0
CATAPULT	040	ENDP	B	47,000	20.14	5-Jan	24-Feb	2,350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	EV	B	40,000	17.94	26-Feb	26-Feb	1,600.00	4.0
G WEISS /SASHA	070	FCX	S	7,400	30.21	n/a	n/a	296.00	4.0
JP MORGAN VENTURES	046	FDX	B	78,000	44.02	n/a	n/a	3,900.00	5.0
BUCK CAPITAL MGMT	001	FO	SS	20,000	24.77	n/a	n/a	800.00	4.0
KLEINHEINZ CAP PART	031	HD	B	75,000	20.81	n/a	25-Feb	3,750.00	5.0
PROSPECTOR PARTNERS LLC	036	HE	B	20,600	14.73	n/a	n/a	824.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	B	20,000	12.20	9-Jan	26-Feb	1,000.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	225,000	3.00	n/a	11-Feb	4,500.00	2.0
MATLIN PATTERSON	046	JWN	B	50,000	13.04	20-Feb	24-Feb	1,500.00	3.0
ROARING BLUE LION MGMT	012	KEG	S	55,000	2.57	14-Jan	26-Feb	1,100.00	2.0
COUGAR TRADING	044	KSS	B	10,000	36.10	n/a	6-Feb	500.00	5.0
BMO NESBITT BURNS	041	LM	B	30,000	14.10	29-Jan	25-Feb	1,500.00	5.0
SANDLER O'NEILL ASSET	031	LM	B	20,000	14.17	29-Jan	25-Feb	1,000.00	5.0
TRELLUS PARTNERS LP	028	LM	B	25,000	14.14	29-Jan	25-Feb	1,250.00	5.0
MORTAR ROCK	033	MCD	B	15,000	53.37	13-Oct	9-Feb	600.00	4.0
TRELLUS PARTNERS LP	028	MGA	SS	2,900	26.92	n/a	n/a	145.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	MTW	SS	20,000	4.20	n/a	17-Feb	600.00	3.0
PZENA INV ADV	044	NOC	S	33,200	40.23	n/a	n/a	1,162.07	3.5
MATRIX ASSET ADV.	036	OMC	S	4,000	24.50	n/a	n/a	160.00	4.0
EATON VANCE MGMT	039	PEP	B	100,000	50.34	n/a	n/a	3,000.00	3.0
JP MORGAN VENTURES	046	SD	S	200,000	6.61	n/a	n/a	10,000.00	5.0
COUGAR TRADING	044	SHW	B	5,000	47.22	24-Feb	24-Feb	250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	40,000	6.89	n/a	13-Mar	1,200.00	3.0
COUGAR TRADING	044	SLM	B	25,000	5.14	22-Jan	25-Feb	750.00	3.0
OZ MGMT	040	SLM	B	1,000,000	5.38	22-Jan	25-Feb	30,000.00	3.0
CATAPULT	040	SVU	SS	50,000	16.44	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	TEX	B	10,000	8.09	13-Feb	13-Feb	400.00	4.0
TROUBH PART	067	TGT	S	25,000	27.71	25-Feb	25-Feb	1,250.00	5.0
WASHINGTON ASSET	048	TGT	B	10,000	28.03	25-Feb	25-Feb	500.00	5.0
SCOPUS FUND	041	TIN	B	21,000	4.80	5-Dec	28-Jan	1,050.00	5.0
NOMURA CAPITAL	045	TSO	B	5,000	15.36	n/a	n/a	250.00	5.0
NORTHPOINT	030	URS	B	8,516	32.40	n/a	n/a	340.64	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WDR	SS	30,000	14.61	n/a	20-Feb	1,500.00	5.0
BUCK CAPITAL MGMT	001	WEN	SS	100,000	4.86	n/a	24-Apr	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	WMT	S	50,000	49.05	10-Oct	18-Feb	2,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	20.51	7-Nov	27-Jan	800.00	4.0
TOTAL (Trade Date):								126,486.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	02/25	SAC CAP/ROSEN FOR BOBBY (SACROSEN)	044	AIG	SS	200,000	0.46	n/a	n/a	2000.00	1.0
AO,CRT	02/25	SAC CAP/ROSEN FOR BOBBY (SACROSEN)	044	AIG	SS	200,000	0.46	n/a	n/a	10000.00	5.0
AO,CXL	02/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	BNI	B	15,000	60.56	n/a	n/a	750.00	5.0
AO,CRT	02/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	BNI	B	15,000	60.56	n/a	n/a	600.00	4.0
AO,CXL	02/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	CNI	B	27,000	32.46	n/a	n/a	1350.00	5.0
AO,CRT	02/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	CNI	B	27,000	32.46	n/a	n/a	1080.00	4.0
AO,CRT	02/24	AVESTA CAP (AVESDEUTSC)	229	CVS	S	100,000	26.72	n/a	n/a	5000.00	5.0
AO,CXL	02/24	AVESTA CAP (AVESGSUSE)	229	CVS	S	100,000	26.72	n/a	n/a	5000.00	5.0
CRT	02/26	SANDLER O'NEILL ASSET (SANO)	031	IVZ	B	20,000	12.20	9-Jan	26-Feb	1000.00	5.0
AO,CXL	02/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	NSC	B	26,000	32.36	n/a	n/a	1300.00	5.0
AO,CRT	02/25	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	NSC	B	26,000	32.36	n/a	n/a	1040.00	4.0
AO,CRT	02/24	SENATOR INVESTMENT GROUP (SENAJPMORG)	036	TRA	S	30,000	24.88	n/a	n/a	1200.00	4.0
AO,CXL	02/24	SENATOR INVESTMENT GROUP (SENAGS)	036	TRA	S	30,000	24.88	n/a	n/a	1200.00	4.0

TOTAL (AO, CXL, CRT) :**8,320.00**

TOTAL (Trade Date) :

126,486.13

TOTAL (AO, CXL, CRT) :

8,320.00

TOTAL (RUN DATE) / NFS:

134,806.13

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