



Daily Compliance Activity Report

Trade Date: 03/17/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	120,000	10.63	n/a	12-Mar	4,800.00	4.0
EPOCH INV MGMT	030	AET	S	2,230	23.39	n/a	n/a	89.20	4.0
EPOCH INV MGMT	030	AMP	S	1,550	18.07	n/a	n/a	62.00	4.0
NEWLAND CAPITAL MGT	067	AOS	S	136,400	22.63	12-Feb	12-Feb	5,456.00	4.0
EPOCH INV MGMT	030	ARB	S	2,124	12.92	n/a	n/a	84.96	4.0
EPOCH INV MGMT	030	ATK	S	870	65.71	n/a	n/a	34.80	4.0
DIAMONDBACK CAP MGMT	232	AUO	SS	50,000	8.00	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	BA	S	1,300	34.22	n/a	n/a	52.00	4.0
BAYPOINT CRIT/B COLBURN	033	BBY	B	85,000	31.01	n/a	27-Jul	4,250.00	5.0
MORRISON/TLB/BAYPOINT	040	BEAV	B	5,000	7.29	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	BEN	S	950	46.83	10-Mar	17-Mar	38.00	4.0
EPOCH INV MGMT	030	BK	S	2,540	24.07	21-Jan	16-Mar	101.60	4.0
SCOPUS FUND	041	BLL	S	56,454	40.46	n/a	n/a	2,822.70	5.0
BENCHMARK	028	BRS	B	2,500	22.31	n/a	n/a	125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	BSX	S	5,260	7.56	n/a	22-Apr	210.40	4.0
EPOCH INV MGMT	030	BTU	S	750	26.22	n/a	n/a	30.00	4.0
METROPOLITAN CAPITAL	044	BWA	SS	1,000	17.91	12-Mar	12-Mar	40.00	4.0
HOLDEN CAPITAL MGMT	035	CAT	SS	25,000	25.84	n/a	27-Jan	1,250.00	5.0
BENCHMARK	028	CHK	B	2,500	16.92	n/a	n/a	125.00	5.0
SACS	044	CLF	B	61,900	12.54	n/a	n/a	2,476.00	4.0
EPOCH INV MGMT	030	CMCSK	S	5,210	12.38	n/a	n/a	208.40	4.0
NEWCASTLE FUNDS	033	CONN	B	13,000	13.35	n/a	n/a	520.00	4.0
LISTED ERR	099	CONN	S	90	13.44	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	COP	S	1,450	37.32	n/a	n/a	58.00	4.0
MATRIX ASSET ADV.	036	CSCO	S	14,000	15.75	n/a	22-Mar	420.00	3.0
EPOCH INV MGMT	030	DD	S	2,100	20.45	n/a	27-Jan	84.00	4.0
EPOCH INV MGMT	030	DE	S	950	30.47	26-Jan	19-Feb	38.00	4.0
EPOCH INV MGMT	030	DVA	S	2,270	45.61	n/a	n/a	90.80	4.0
MATRIX ASSET ADV.	036	DVN	B	6,000	45.73	5-Feb	17-Mar	240.00	4.0
EPOCH INV MGMT	030	ENDP	S	3,131	17.35	5-Jan	17-Mar	125.24	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORRISON/TLB/BAYPOINT	040	EQIX	B	5,000	51.63	n/a	n/a	200.00	4.0
NEWCASTLE FUNDS	033	ETH	B	30,000	8.33	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	15.49	n/a	10-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	30,000	15.60	n/a	n/a	1,200.00	4.0
MORRISON/TLB/BAYPOINT	040	GLNG	B	5,000	3.14	n/a	n/a	200.00	4.0
CADIAN CAPITAL	067	GPS	B	150,000	11.85	n/a	30-Jan	6,000.00	4.0
JMP ASSET MGMT	210	GYMB	S	3,300	18.21	5-Mar	5-Mar	165.00	5.0
ASCEND PARTNERS	033	HAR	SS	50,000	11.34	12-Mar	12-Mar	2,500.00	5.0
AMBER CAPITAL	046	IBKC	SS	40,000	46.23	n/a	n/a	1,600.00	4.0
JAT CAPITAL MANAGEMENT	041	INTC	SS	137,000	14.63	n/a	n/a	5,480.00	4.0
SONTERRA CAP	041	IP	B	50,000	7.18	n/a	29-Jan	1,500.00	3.0
SACS	044	ITW	SS	15,000	27.03	30-Jan	17-Feb	600.00	4.0
THE JAY GOLDMAN	034	JCP	B	30,000	16.22	6-Feb	6-Mar	1,200.00	4.0
CAXTON PART	040	JPM	B	25,055	24.58	16-Jan	16-Mar	876.94	3.5
BUCK CAPITAL MGMT	001	JWN	SS	75,000	15.05	20-Feb	6-Mar	3,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	130,000	39.19	17-Mar	17-Mar	5,200.00	4.0
SCOGGIN CAP	039	LF	B	95,000	1.60	n/a	n/a	2,850.00	3.0
SUFFOLK CAPITAL MGMT	040	LOW	B	235,700	16.06	23-Feb	23-Feb	9,428.00	4.0
DAVIDSON KEMPNER ADVISOR	040	MOT	B	225,000	3.66	n/a	n/a	11,250.00	5.0
HIGHBRIDGE/MS OLDS	041	MS	SS	70,000	23.81	18-Dec	16-Mar	2,800.00	4.0
SANDLER O'NEILL ASSET	031	MS	B	25,000	22.41	18-Dec	16-Mar	1,250.00	5.0
SACS	044	MT	B	50,000	17.11	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	M	SS	5,000	7.71	n/a	6-Mar	200.00	4.0
PERMIAN/BAYPIONT	028	NFLX	SS	7,400	40.50	n/a	n/a	296.00	4.0
HOTCHKIS & WILEY	035	NOC	B	215,400	37.84	n/a	n/a	10,770.00	5.0
DIAMONDBACK CAP MGMT	232	NVLS	S	50,000	13.82	n/a	n/a	2,500.00	5.0
COOPER CREEK PART	028	PAG	SS	20,000	7.24	n/a	18-Feb	600.00	3.0
MILLENIUM PARTNERS	028	PKG	S	20,000	11.91	5-Dec	21-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	60,000	7.67	n/a	n/a	1,800.00	3.0
CADIAN CAPITAL	067	PVH	B	60,000	16.80	22-Jan	22-Jan	2,400.00	4.0
MILLENIUM PARTNERS	028	RKT	SS	20,000	25.43	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	10,000	36.20	n/a	5-Feb	400.00	4.0
PZENA INV ADV	044	SGP	S	74,225	23.18	n/a	n/a	2,597.95	3.5
AMBER CAPITAL	046	TD	SS	150,000	33.40	n/a	n/a	6,000.00	4.0
ARAGON GLOBAL	041	TD	SS	1,500	33.40	n/a	n/a	60.00	4.0
SCOGGIN CAP	039	THQI	B	20,200	2.70	n/a	n/a	606.00	3.0
BUCK CAPITAL MGMT	001	TIF	B	80,000	19.91	n/a	30-Jan	3,200.00	4.0
SCOPUS FUND	041	TIN	S	10,800	4.46	5-Dec	28-Jan	540.00	5.0
SANDLER O'NEILL ASSET	031	TROW	SS	50,000	25.07	n/a	17-Mar	2,500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	TWC	SS	5,000	26.20	n/a	4-Jan	200.00	4.0
BUCK CAPITAL MGMT	001	URI	B	66,900	3.64	n/a	29-Oct	2,007.00	3.0
CATAPULT	040	WFT	S	50,000	11.38	n/a	n/a	2,500.00	5.0
JMP ASSET MGMT	210	ZUMZ	SS	2,186	7.53	n/a	n/a	87.44	4.0
TOTAL (Trade Date) :								129,096.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/16	COLUMBIA PARTNERS (COLPTID)	028	RCL	B	1,445	7.90	30-Jan	30-Jan	43.35 3.0
AO,	03/16	COLUMBIA PARTNERS (COLPTID)	028	RCL	B	1,445	7.90	30-Jan	30-Jan	43.35 3.0
AO,CXL	03/16	MILLENIUM PARTNERS (MILPUSE)	028	SUP	SS	4,516	11.00	27-Feb	27-Feb	180.64 4.0
AO,CRT	03/16	MILLRACE FUND LP (MILRGS)	028	SUP	SS	4,516	11.00	27-Feb	27-Feb	180.64 4.0
AO,	03/16	LISTED ERR (LISTED ERR)	099	WMT	B	10,000	48.93	10-Oct	6-Mar	0.00 0.0
AO,	03/16	DECADE CAPITAL PARTNERS (DECAMILLCS)	040	WMT	S	10,000	48.93	10-Oct	6-Mar	300.00 3.0

TOTAL (AO, CXL, CRT) :	300.00
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TOTAL (Trade Date) :	129,096.43
TOTAL (AO, CXL, CRT) :	300.00

TOTAL (RUN DATE) / NFS:	129,396.43
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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