



## Daily Compliance Activity Report

Trade Date: 04/01/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	ABT	S	100,000	46.72	n/a	22-Apr	5,000.00	5.0
CUMBERLAND	038	ADS	B	2,000	35.44	n/a	n/a	80.00	4.0
ADAGE CAPITAL MGMT	030	AEO	B	100,000	12.41	n/a	12-Mar	4,000.00	4.0
ADAGE CAPITAL MGMT	030	BJ	B	200,000	31.83	n/a	27-Jul	8,000.00	4.0
NORTHPOINT	030	BJ	S	8,400	31.82	n/a	27-Jul	336.00	4.0
VINIK ASSET MGMT.	030	BJ	S	65,000	31.67	n/a	27-Jul	1,950.00	3.0
ASCEND PARTNERS	033	BWA	SS	50,000	20.38	12-Mar	19-Mar	2,500.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	10,000	20.68	12-Mar	19-Mar	500.00	5.0
STRAUSS ASSET MGMT	040	CRNT	S	15,000	4.47	n/a	n/a	600.00	4.0
MORGENS WATERFALL	040	CRR	SS	16,800	29.00	5-Feb	17-Mar	504.00	3.0
DAVIDSON KEMPNER ADVISOR	040	CX	C	100,000	6.38	n/a	n/a	5,000.00	5.0
SANDLER O'NEILL ASSET	031	DFS	B	50,400	6.28	n/a	1-Apr	1,512.00	3.0
ADAGE CAPITAL MGMT	030	DKS	B	16,906	14.27	24-Mar	24-Mar	676.24	4.0
ARAGON GLOBAL	041	DLTR	S	33,600	43.79	10-Feb	6-Mar	1,680.00	5.0
AVESTA CAP	229	DLTR	B	25,000	43.89	10-Feb	6-Mar	1,000.00	4.0
SENVEST PART	045	DSW	SS	20,000	9.96	24-Mar	25-Mar	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	ELY	SS	25,000	7.32	n/a	n/a	1,000.00	4.0
CASTLEROCK	040	FIS	B	184,219	17.23	n/a	n/a	7,368.76	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>20.68</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	GHL	SS	20,000	77.19	n/a	n/a	800.00	4.0
WHITE PINE CAPITAL	030	GIL	S	60,900	7.96	11-Dec	12-Feb	3,045.00	5.0
THIRD COAST CAPITAL	035	GPS	B	12,000	13.29	n/a	30-Jan	600.00	5.0
MILLENIUUM PARTNERS	028	GT	S	30,000	6.39	n/a	n/a	1,200.00	4.0
WHITE PINE CAPITAL	030	IBI	B	275	8.41	n/a	n/a	13.75	5.0
WHITE PINE CAPITAL	030	IFF	B	125	30.92	21-Jan	4-Mar	6.25	5.0
MILLENIUUM PARTNERS	028	IR	B	40,000	13.88	n/a	n/a	2,000.00	5.0
WHITE PINE CAPITAL	030	JCP	B	75	20.46	30-Mar	30-Mar	3.75	5.0
WHITE PINE CAPITAL	030	KNSY	B	125	20.58	n/a	n/a	6.25	5.0
KEEFE BRUYETTE WOODS A	045	LAZ	SS	15,000	28.68	n/a	1-Apr	600.00	4.0
WAGONHOUND/NIC	048	LAZ	S	25,799	29.21	n/a	1-Apr	1,031.96	4.0
ADAGE CAPITAL MGMT	030	LOW	S	250,000	18.04	31-Mar	31-Mar	10,000.00	4.0
CASTLEROCK	040	MET	B	183,579	23.00	n/a	n/a	7,343.16	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	MI	B	400	5.94	n/a	n/a	20.00	5.0
REINHART & MAHONEY	031	MMM	B	450	49.03	8-Dec	17-Mar	22.50	5.0
WHITE PINE CAPITAL	030	MMR	B	450	4.59	n/a	n/a	18.00	4.0
DARUMA ASSET MGMT INC	034	NP	S	50,000	3.49	13-Mar	13-Mar	2,500.00	5.0
WHITE PINE CAPITAL	030	OME	B	325	2.61	n/a	n/a	6.50	2.0
MILLRACE FUND LP	028	PAG	SS	5,000	9.31	n/a	18-Feb	150.00	3.0
RAMIUS CAP	040	PCH	S	51,550	22.63	n/a	26-Feb	2,062.00	4.0
RAMIUS CAP	040	PCL	B	55,075	29.28	n/a	5-Feb	2,203.00	4.0
NEWCASTLE FUNDS	033	PFCB	C	25,900	21.93	8-Jan	12-Feb	1,036.00	4.0
REINHART & MAHONEY	031	PFE	S	2,100	13.50	n/a	31-Mar	105.00	5.0
DADA	035	PFG	B	60,560	8.00	n/a	n/a	2,422.40	4.0
JP MORGAN VENTURES	046	PVH	B	20,000	22.55	27-Mar	27-Mar	1,000.00	5.0
SCOPUS FUND	041	PVH	S	48,000	22.53	27-Mar	27-Mar	2,400.00	5.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	12,000	6.00	12-Feb	12-Feb	360.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>41.00</b>	<b>n/a</b>	<b>5-Feb</b>	<b>400.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	RL	SS	20,000	42.56	n/a	5-Feb	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	ROST	S	25,000	36.04	n/a	n/a	1,250.00	5.0
SENVEST PART	045	RVI	S	33,600	1.79	n/a	n/a	1,008.00	3.0
KENNEDY CAPITAL	046	SFD	B	2,850	9.52	n/a	n/a	85.50	3.0
CASTLEROCK	040	SHW	B	40,896	51.46	31-Mar	31-Mar	1,635.84	4.0
THIRD COAST CAPITAL	035	SKS	B	35,000	2.00	n/a	n/a	700.00	2.0
PRINCIPLE CAPITAL	040	TIF	B	41,400	21.67	n/a	30-Jan	1,242.00	3.0
SUN AMERICA ASSET MGMT	030	TRV	B	25,000	41.14	n/a	n/a	1,000.00	4.0
TPG-AXON	040	VZ	SS	50,000	30.84	n/a	4-Jan	2,500.00	5.0
CATAPULT	040	WFC	SS	33,000	14.77	n/a	n/a	1,650.00	5.0
HOLLIS CAPITAL	033	WFC	B	5,000	14.84	n/a	n/a	250.00	5.0
ADAGE CAPITAL MGMT	030	WSM	B	200,000	10.44	n/a	n/a	8,000.00	4.0
MOORE CAPITAL	036	WYE	B	50,000	42.67	n/a	31-Mar	2,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	XLF	C	50,000	8.69	n/a	n/a	2,500.00	5.0
NEWCASTLE FUNDS	033	YUM	S	105,000	28.08	n/a	5-Feb	4,200.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>113,483.86</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/01	ADAGE CAPITAL MGMT (ADAGESHORT)	030	BJ	B	200,000	31.83	n/a	27-Jul	8000.00 4.0
AO,	03/31	BARON ASSET MGMT* (BAROING)	012	JCG	B	7,345	12.95	n/a	30-Jan	293.80 4.0
AO,CXL	03/31	BARON ASSET MGMT* (BAROINGASS)	012	JCG	B	7,345	12.95	n/a	30-Jan	293.80 4.0
AO,CXL	03/31	CRAMER ROSENTHAL/SCOTT (CRSB3240)	012	MUR	B	100	45.61	n/a	n/a	4.00 4.0
AO,	03/31	CRAMER ROSENTHAL/SCOTT (CRSB3404)	012	MUR	B	100	45.61	n/a	n/a	4.00 4.0
CRT	04/01	JP MORGAN VENTURES (JPMVJPM)	046	RL	SS	20,000	42.56	n/a	5-Feb	1000.00 5.0
AO,CXL	03/31	CHART WELL ADV (CHATZC009)	028	WRC	B	56,800	23.96	27-Mar	27-Mar	2272.00 4.0
AO,	03/31	CHART WELL ADV (CHATZC009)	028	WRC	B	165	23.96	27-Mar	27-Mar	6.60 4.0
AO,	03/31	CHART WELL ADV (CHATZC028)	028	WRC	B	185	23.96	27-Mar	27-Mar	7.40 4.0
AO,	03/31	CHART WELL ADV (CHAT327)	028	WRC	B	965	23.96	27-Mar	27-Mar	38.60 4.0
AO,	03/31	CHART WELL ADV (CHAT331)	028	WRC	B	120	23.96	27-Mar	27-Mar	4.80 4.0
AO,	03/31	CHART WELL ADV (CHAT385)	028	WRC	B	2,380	23.96	27-Mar	27-Mar	95.20 4.0
AO,	03/31	CHART WELL ADV (CHAT386)	028	WRC	B	230	23.96	27-Mar	27-Mar	9.20 4.0
AO,	03/31	CHART WELL ADV (CHAT376)	028	WRC	B	52,755	23.96	27-Mar	27-Mar	2110.20 4.0
AO,	03/31	AELTUS/ING IVESTMENT MGT (AELTIGIF)	215	WW	B	91,800	49.84	n/a	n/a	3213.00 3.5
AO,CXL	03/31	AELTUS/ING IVESTMENT MGT (AELTAIMEL)	215	WW	B	91,800	49.84	n/a	n/a	3213.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>9,000.00</b>

TOTAL (Trade Date):	113,483.86
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TOTAL (RUN DATE) / NFS:

122,483.86

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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