



Daily Compliance Activity Report

Trade Date: 03/11/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	50,000	10.01	n/a	6-Mar	1,500.00	3.0
COUGAR TRADING	044	AN	B	5,000	11.67	30-Jan	30-Jan	250.00	5.0
EPOCH INV MGMT	030	BA	B	16,600	33.27	n/a	n/a	664.00	4.0
SYSTEMATIC FINANCIAL MGT	035	BKE	B	10,000	23.80	n/a	n/a	350.00	3.5
EPOCH INV MGMT	030	BSX	B	68,000	6.79	n/a	22-Apr	2,720.00	4.0
BMO NESBITT BURNS	041	BWA	S	25,000	16.48	27-Jan	13-Feb	1,250.00	5.0
MARINER/TRICADIA	041	BWA	SS	15,000	16.66	27-Jan	13-Feb	600.00	4.0
STERLING JOHNSTON	035	CAKE	S	55,300	9.02	n/a	13-Feb	2,212.00	4.0
HOLDEN CAPITAL MGMT	035	CAT	SS	50,000	26.25	n/a	27-Jan	2,500.00	5.0
ROTHSCHILD ASSET	040	CE	B	13,434	10.45	n/a	n/a	604.54	4.5
JP MORGAN VENTURES	046	CHIC	B	40,000	6.55	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	CMG	B	30,000	52.65	23-Oct	12-Feb	1,200.00	4.0
BMO NESBITT BURNS	041	CMI	B	25,000	22.57	14-Nov	4-Feb	1,250.00	5.0
ROTHSCHILD ASSET	040	CR	B	7,416	14.52	n/a	n/a	333.73	4.5
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	100	41.46	10-Feb	6-Mar	4.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	DST	B	6,265	28.28	n/a	n/a	281.95	4.5
RAINIER INV MGMT	035	ETR	S	43,950	62.16	n/a	n/a	2,197.50	5.0
ROARING BLUE LION MGMT	012	EV	SS	11,400	16.89	9-Mar	9-Mar	456.00	4.0
SANDLER O'NEILL ASSET	031	EV	SS	25,000	16.71	9-Mar	9-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	13.79	n/a	10-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	30,000	14.54	n/a	n/a	1,200.00	4.0
BMO NESBITT BURNS	041	GT	S	100,000	4.65	n/a	n/a	5,000.00	5.0
COUGAR TRADING	044	GWW	B	10,000	64.75	n/a	26-Jan	500.00	5.0
COUGAR TRADING	044	GWW	SS	10,000	64.51	n/a	26-Jan	500.00	5.0
MTB INV ADV	034	GYMB	B	8,500	18.06	5-Mar	5-Mar	425.00	5.0
COUGAR TRADING	044	HAR	B	5,000	10.94	5-Feb	5-Feb	250.00	5.0
MILLENIUM PARTNERS	028	HD	B	181,100	19.51	n/a	25-Feb	7,244.00	4.0
MTB INV ADV	034	HOTT	S	37,250	8.72	n/a	30-Jan	1,490.00	4.0
EPOCH INV MGMT	030	IHS	S	26,600	37.50	n/a	n/a	1,064.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	268,000	10.73	n/a	30-Jan	10,720.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	16.44	6-Feb	6-Mar	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	JNJ	S	20,000	48.23	n/a	22-Apr	1,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	200,000	14.35	20-Feb	6-Mar	8,000.00	4.0
SEMINOLE CAP	036	LLY	B	140,000	29.91	n/a	n/a	7,000.00	5.0
AVESTA CAP	229	LOW	SS	50,000	15.01	23-Feb	23-Feb	2,500.00	5.0
SANDLER O'NEILL ASSET	031	MS	SS	50,000	22.50	18-Dec	26-Feb	2,500.00	5.0
ROTHSCHILD ASSET	040	OSG	B	8,651	22.46	n/a	n/a	389.31	4.5
CHILTON CAPITAL MGMT.	036	PCX	S	150,000	3.10	n/a	n/a	4,500.00	3.0
HOTCHKIS & WILEY	035	PHH	B	41,300	10.79	n/a	n/a	2,065.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	450,000	7.69	n/a	n/a	13,500.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	15.47	22-Jan	22-Jan	1,200.00	4.0
COUGAR TRADING	044	PVH	B	5,000	15.59	22-Jan	22-Jan	250.00	5.0
CUMBERLAND	038	QQQQ	B	75,000	27.91	n/a	n/a	2,250.00	3.0
FIRST NEW YORK LEDDY	035	Q	S	10,000	2.99	n/a	n/a	600.00	6.0
HUNTER GLOBAL INVESTOR	067	RJF	B	118,000	15.24	n/a	n/a	4,130.00	3.5
BUCK CAPITAL MGMT	001	RL	SS	10,000	35.35	n/a	5-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	RT	B	33,600	1.36	n/a	n/a	672.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	SLGN	B	17,300	47.44	n/a	n/a	692.00	4.0
ADALY INV MGMT	067	SPY	B	11,900	72.86	n/a	n/a	595.00	5.0
WASHINGTON ASSET	048	SSO	S	10,000	16.89	n/a	n/a	500.00	5.0
LISTED ERR	099	SSO	B	10,000	16.89	n/a	n/a	0.00	0.0
LISTED ERR	099	SSO	SS	10,000	16.89	n/a	n/a	0.00	0.0
SOUTH POINT CAP	067	TCK	SS	100,000	3.55	n/a	n/a	4,000.00	4.0
BARON ASSET MGMT*	012	URBN	B	50,000	16.19	n/a	30-Jan	2,000.00	4.0
WAGONHOUND/NIC	048	UYG	B	25,000	1.99	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	WMS	B	86,900	18.75	n/a	n/a	3,476.00	4.0
HUNTER GLOBAL INVESTOR	067	X	B	52,200	19.10	n/a	n/a	2,088.00	4.0
PRINCIPLE CAPITAL	040	YUM	B	57,900	25.30	n/a	5-Feb	1,737.00	3.0
TOTAL (Trade Date) :								120,011.03	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/10	LISTED ERR (LISTED ERR)	012	AMX	S	1,200	25.31	n/a	n/a	60.00 5.0
AO,CXL	03/10	EVERCORE WEALTH MGMT (EVER835085)	012	AMX	S	1,200	25.31	n/a	n/a	60.00 5.0
AO,	03/10	LISTED ERR (LISTED ERR)	099	BA	S	16,200	32.57	n/a	n/a	0.00 0.0
AO,	03/10	EPOCH INV MGMT (EPOCEPERR)	099	BA	B	16,200	31.76	n/a	n/a	0.00 0.0
AO,CXL	03/10	EPOCH INV MGMT (EPOCEPERR)	030	BA	B	16,200	31.76	n/a	n/a	0.00 0.0
AO,CXL	03/10	EPOCH INV MGMT (EPOCEPERR)	030	BA	S	16,200	32.57	n/a	n/a	0.00 0.0
AO,	03/10	UBS OCONNOR (UBSOCSFBCO)	031	BEN	B	3,930	43.96	10-Mar	11-Mar	117.90 3.0
AO,	03/10	UBS OCONNOR (UBSOJPMBS)	031	BEN	B	6,070	43.96	10-Mar	11-Mar	182.10 3.0
AO,	03/10	LISTED ERR (LISTED ERR)	099	BSX	B	74,200	6.63	n/a	22-Apr	0.00 0.0
AO,	03/10	LISTED ERR (LISTED ERR)	099	BSX	S	74,200	6.53	n/a	22-Apr	0.00 0.0
AO,CXL	03/10	EPOCH INV MGMT (EPOCEPERR)	030	BSX	B	74,200	6.63	n/a	22-Apr	0.00 0.0
AO,CXL	03/10	EPOCH INV MGMT (EPOCEPERR)	030	BSX	S	74,200	6.53	n/a	22-Apr	0.00 0.0
CRT	03/11	MAIRS AND POWER INV (MAIRGROWTH)	030	JNJ	S	20,000	48.23	n/a	22-Apr	1000.00 5.0
AO,CRT	03/10	EVERCORE WEALTH MGMT (EVER835085)	012	JPM	B	1,500	19.19	16-Jan	27-Feb	75.00 5.0
AO,CXL	03/10	EVERCORE WEALTH MGMT (EVERMAIN)	012	JPM	B	1,500	19.19	16-Jan	27-Feb	75.00 5.0
AO,CRT	03/10	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	20,000	3.00	n/a	n/a	1000.00 5.0
AO,CXL	03/10	FIRST NEW YORK NICK (FNYNGS)	029	Q	S	20,000	3.00	n/a	n/a	1000.00 5.0
AO,CXL	03/10	THIRD COAST CAPITAL (3CAPPBOA)	035	SKS	B	25,000	1.95	n/a	n/a	1250.00 5.0
AO,CRT	03/10	THIRD COAST CAPITAL (3CAPPBOA)	035	SKS	B	25,000	1.95	n/a	n/a	500.00 2.0
AO,	03/10	OTC ERROR (OTC ERROR)	099	SLGN	B	17,700	47.39	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	03/10	OTC ERROR (OTC ERROR)	099	SLGN	S	17,700	47.08	n/a	n/a	0.00	0.0
AO,CXL	03/10	EPOCH INV MGMT (EPOCEPERR)	030	SLGN	B	17,700	47.39	n/a	n/a	0.00	0.0
AO,CXL	03/10	EPOCH INV MGMT (EPOCEPERR)	030	SLGN	S	17,700	47.08	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										550.00	

TOTAL (Trade Date) :	120,011.03
TOTAL (AO, CXL, CRT) :	550.00

TOTAL (RUN DATE) / NFS:	120,561.03
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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