



Daily Compliance Activity Report

Trade Date: 03/26/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGENS WATERFALL	040	ADBE	S	80,000	22.39	n/a	n/a	2,400.00	3.0
ROSEDALE CAPITAL	046	AEO	S	20,000	12.57	n/a	12-Mar	1,000.00	5.0
BALYASNY ASSET MGMT	044	AFL	SS	10,000	20.19	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	ALTR	S	156,200	18.22	n/a	n/a	7,029.00	4.5
NEUBERGER BERMAN	036	AMSG	B	15,800	16.43	n/a	n/a	711.00	4.5
FARALLON CAP MGMT	040	AMTD	B	62,500	14.59	n/a	n/a	2,500.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ANF	S	18,450	25.27	n/a	6-Feb	645.75	3.5
PERMIAN/BAYPIONT	028	AVB	S	6,000	49.77	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	AVP	B	50,000	19.78	25-Feb	20-Mar	2,000.00	4.0
JP MORGAN VENTURES	046	BBBY	SS	30,000	26.52	n/a	n/a	1,500.00	5.0
HIGHBRIDGE CAPITAL	038	BBY	SS	80,000	37.80	n/a	27-Jul	3,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	50,000	31.73	n/a	n/a	2,500.00	5.0
LISTED ERR	099	BK	S	25,000	28.30	21-Jan	23-Mar	0.00	0.0
TRELLUS PARTNERS LP	028	BWA	SS	5,900	21.66	12-Mar	19-Mar	295.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	BWA	B	5,000	21.60	12-Mar	19-Mar	0.00	0.0
LISTED ERR	099	BWA	SS	5,000	21.60	12-Mar	19-Mar	0.00	0.0
STELLIAM INV ADV	040	CLW	B	6,200	7.89	n/a	n/a	186.00	3.0
JP MORGAN VENTURES	046	COST	B	27,300	48.49	n/a	27-Jul	1,365.00	5.0
MORGENS WATERFALL	040	CRR	SS	7,000	30.04	5-Feb	17-Mar	210.00	3.0
PAW PARTNERS	041	CTXS	SS	5,000	23.31	n/a	n/a	250.00	5.0
FORD FDN.	032	DE	S	75,000	35.85	26-Jan	19-Feb	3,750.00	5.0
NEUBERGER BERMAN	036	DGIT	B	70,500	19.42	n/a	n/a	3,172.50	4.5
BUCK CAPITAL MGMT	001	DSW	B	40,000	9.17	24-Mar	25-Mar	1,200.00	3.0
COUGAR TRADING	044	DSW	B	5,000	9.13	24-Mar	25-Mar	250.00	5.0
WAGONHOUND/NIC	048	EDC	B	10,000	48.51	n/a	n/a	300.00	3.0
ADALY INV MGMT	067	FOR	S	25,000	8.61	12-Feb	12-Feb	750.00	3.0
GRUSS CAPITAL	045	FOR	S	1,000	8.58	12-Feb	12-Feb	40.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	18.66	n/a	10-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	30,000	20.08	n/a	n/a	1,200.00	4.0
WASHINGTON ASSET	048	GHL	SS	4,000	74.30	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	69,000	8.62	11-Dec	12-Feb	2,070.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	GME	S	39,800	26.53	n/a	n/a	1,592.00	4.0
STRAUSS ASSET MGMT	040	GYMB	B	15,000	21.95	5-Mar	5-Mar	600.00	4.0
COUGAR TRADING	044	HAR	B	5,000	14.15	12-Mar	12-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	71,100	10.51	n/a	n/a	2,133.00	3.0
AELTUS/ING INVESTMENT MGT	215	HNZ	S	74,764	34.48	n/a	n/a	2,616.74	3.5
MFP INVESTORS	032	HOT	S	23,800	14.44	n/a	n/a	1,190.00	5.0
SACC-SCHWARTZ	044	IR	S	38,900	15.38	n/a	n/a	1,556.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	15,000	14.59	24-Mar	24-Mar	750.00	5.0
SOUTH POINT CAP	067	IYT	B	25,000	50.05	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	75,000	19.94	6-Feb	6-Mar	3,000.00	4.0
CADIAN CAPITAL	067	JCP	B	100,000	20.30	6-Feb	6-Mar	4,000.00	4.0
US BANCORP	030	JCP	B	164,569	20.25	6-Feb	6-Mar	8,228.45	5.0
NEWCASTLE FUNDS	033	LOW	B	250,000	19.00	23-Feb	23-Feb	10,000.00	4.0
PROSPECTOR PARTNERS LLC	036	L	B	10,000	23.27	n/a	n/a	400.00	4.0
PAW PARTNERS	041	MFE	B	5,000	33.62	n/a	3-Apr	250.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	5,000	29.12	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	MHK	SS	56,800	33.51	n/a	n/a	1,704.00	3.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	4.00	13-Mar	13-Mar	400.00	4.0
BMO NESBITT BURNS	041	NTRS	B	10,000	62.16	14-Jan	23-Mar	500.00	5.0
SANDLER O'NEILL ASSET	031	NTRS	SS	50,000	63.28	14-Jan	23-Mar	2,500.00	5.0
COUGAR TRADING	044	NWY	S	10,000	3.25	n/a	30-Jan	300.00	3.0
PAW PARTNERS	041	ORCL	B	5,000	18.50	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	4,400	10.31	n/a	18-Feb	220.00	5.0
MANNING & NAPIER	034	PCAR	S	750,000	27.19	25-Mar	25-Mar	22,500.00	3.0
RAIL-SPLITTER	031	PCAR	SS	10,000	27.13	25-Mar	25-Mar	500.00	5.0
AELTUS/ING INVESTMENT MGT	215	PFE	B	253,250	14.39	n/a	31-Mar	8,863.75	3.5
COUGAR TRADING	044	PLCE	B	5,000	23.48	19-Mar	19-Mar	250.00	5.0
PAW PARTNERS	041	POWI	B	15,000	18.49	n/a	n/a	750.00	5.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	5,900	6.19	12-Feb	12-Feb	177.00	3.0
BUCK CAPITAL MGMT	001	RL	B	50,764	43.83	n/a	5-Feb	2,030.56	4.0
SENVEST PART	045	RVI	S	22,500	1.95	n/a	n/a	675.00	3.0
PAW PARTNERS	041	SAP	B	5,000	37.77	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	SLM	S	1,200	4.40	27-Feb	25-Mar	36.00	3.0
SLS CAPITAL LLC	224	SLM	B	125,000	3.75	27-Feb	25-Mar	3,750.00	3.0
WOOSTER CAPITAL	035	SLM	S	75,000	4.26	27-Feb	25-Mar	2,250.00	3.0
LISTED ERR	099	SLM	B	20,000	4.28	27-Feb	25-Mar	0.00	0.0
LISTED ERR	099	SLM	S	20,000	4.26	27-Feb	25-Mar	0.00	0.0
SCOPUS FUND	041	TIN	S	132,000	5.38	5-Dec	20-Mar	6,600.00	5.0
CASTLE ARK	031	TJX	S	175,410	26.73	n/a	6-Mar	10,524.60	6.0
SYSTEMATIC FINANCIAL MGT	035	TRV	S	150,000	39.81	n/a	n/a	5,250.00	3.5
TROUBH PART	067	TYC	S	25,000	20.78	12-Nov	3-Feb	1,250.00	5.0
SOUTH POINT CAP	067	UNP	S	25,000	44.09	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	VIVO	B	9,350	17.12	n/a	n/a	420.75	4.5
FARALLON CAP MGMT	040	V	S	110,000	54.15	n/a	13-Feb	4,400.00	4.0
PZENA INV ADV	044	WHR	S	10,325	32.21	n/a	n/a	361.38	3.5
BUCK CAPITAL MGMT	001	WRC	B	60,000	24.43	27-Feb	27-Feb	2,400.00	4.0
COUGAR TRADING	044	WRC	S	4,790	25.09	27-Feb	27-Feb	239.50	5.0
BUCK CAPITAL MGMT	001	ZQK	B	150,000	1.38	12-Mar	12-Mar	3,000.00	2.0
TOTAL (Trade Date):								162,332.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/26	LISTED ERR (LISTED ERR)	099	BWA	SS	5,000	21.60	12-Mar	19-Mar	0.00 0.0
AO,CXL	03/24	MFP INVESTORS (MFPIMAIN B)	032	HOT	S	8,100	14.02	n/a	n/a	324.00 4.0
AO,CRT	03/24	MFP INVESTORS (MFPIMAIN B)	032	HOT	S	8,100	14.02	n/a	n/a	405.00 5.0
AO,CXL	03/25	MFP INVESTORS (MFPIMAIN B)	032	HOT	S	30,000	14.24	n/a	n/a	1200.00 4.0
AO,CRT	03/25	MFP INVESTORS (MFPIMAIN B)	032	HOT	S	30,000	14.24	n/a	n/a	1500.00 5.0
AO,CXL	03/25	DC CAPITAL (DCCAGOLDMA)	044	IP	S	50,000	9.04	n/a	20-Mar	2500.00 5.0
AO,CRT	03/25	DC CAPITAL (DCCAGOLDMA)	044	IP	S	50,000	9.04	n/a	20-Mar	1500.00 3.0
CRT	03/26	SACC-SCHWARTZ (SACSSCHWAR)	044	IR	S	38,900	15.38	n/a	n/a	1556.00 4.0
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTIIMANE)	215	JNJ	B	1,950	53.08	n/a	22-Apr	68.25 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTSEP583)	215	JNJ	B	510	53.08	n/a	22-Apr	17.85 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTSEP466)	215	JNJ	B	360	53.08	n/a	22-Apr	12.60 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTLUXUSG)	215	JNJ	B	1,260	53.08	n/a	22-Apr	44.10 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTALLIED)	215	JNJ	B	190	53.08	n/a	22-Apr	6.65 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTSEP00)	215	JNJ	B	6,820	53.08	n/a	22-Apr	238.70 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTIIMHEB)	215	JNJ	B	310	53.08	n/a	22-Apr	10.85 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTAIMPRO)	215	JNJ	B	430	53.08	n/a	22-Apr	15.05 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTAIMSCH)	215	JNJ	B	180	53.08	n/a	22-Apr	6.30 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTAIMTIG)	215	JNJ	B	27,030	53.08	n/a	22-Apr	946.05 3.5
AO,	03/25	AELTUS/ING IVESTMENT MGT (AELTINGGPR)	215	JNJ	B	2,030	53.08	n/a	22-Apr	71.05 3.5
AO,CXL	03/25	WOOSTER CAPITAL (WOOSGOLDMA)	035	SLM	B	75,000	3.58	27-Feb	25-Mar	3750.00 5.0
AO,CRT	03/25	WOOSTER CAPITAL (WOOSGOLDMA)	035	SLM	B	75,000	3.58	27-Feb	25-Mar	2250.00 3.0
TOTAL (AO, CXL, CRT) :										874.45

TOTAL (Trade Date):	162,332.98
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TOTAL (AO, CXL, CRT):	874.45
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TOTAL (RUN DATE) / NFS:	163,207.43
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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