



Daily Compliance Activity Report

Trade Date: 03/03/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	ALV	SS	50,000	13.85	30-Jan	4-Feb	2,000.00	4.0
TRELLUS PARTNERS LP	028	ALV	C	21,600	13.65	30-Jan	4-Feb	1,080.00	5.0
CATAPULT	040	ARO	S	15,000	23.02	n/a	2-Mar	600.00	4.0
SCOPUS FUND	041	ASH	S	3,600	5.58	n/a	27-Jan	180.00	5.0
NEWLAND CAPITAL MGT	067	AXE	B	10,000	28.12	22-Dec	3-Mar	400.00	4.0
WAGONHOUND/NIC	048	AXE	B	2,332	27.77	22-Dec	3-Mar	93.28	4.0
DIAMONDBACK CAP MGMT	232	AXP	C	50,000	11.82	n/a	27-Feb	2,500.00	5.0
BUCK CAPITAL MGMT	001	BBY	SS	60,000	26.92	n/a	27-Jul	2,400.00	4.0
COUGAR TRADING	044	BIG	B	25,000	14.55	5-Dec	3-Mar	1,250.00	5.0
COUGAR TRADING	044	BIG	S	15,000	14.58	5-Dec	3-Mar	750.00	5.0
ENTRUST CAPITAL	040	BIG	B	97,800	14.63	5-Dec	3-Mar	4,890.00	5.0
FIRST NY SEC/CHRIS	041	BIG	S	10,000	14.64	5-Dec	3-Mar	600.00	6.0
SCHOTTENFELD ASSOC	041	BIG	B	6,500	14.22	5-Dec	3-Mar	195.00	3.0
LISTED ERR	099	BIG	B	1,300	14.32	5-Dec	3-Mar	0.00	0.0
LISTED ERR	099	BIG	S	1,300	14.39	5-Dec	3-Mar	0.00	0.0
ROARING BLUE LION MGMT	012	BLK	SS	2,850	93.35	11-Feb	3-Mar	114.00	4.0
JAT CAPITAL MANAGEMENT	041	BRCM	S	105,700	15.82	n/a	n/a	4,228.00	4.0
ACK ASSET	028	BWA	B	8,800	16.38	27-Jan	13-Feb	264.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	BWA	SS	23,173	16.50	27-Jan	13-Feb	926.92	4.0
TRELLUS PARTNERS LP	028	BWA	C	38,500	16.37	27-Jan	13-Feb	1,925.00	5.0
CAMBIAR CAP	046	CHTT	B	5,090	59.19	16-Oct	23-Feb	203.60	4.0
ROARING BLUE LION MGMT	012	CKR	B	10,000	6.11	n/a	n/a	400.00	4.0
OMEGA ADVISORS	041	COF	B	322,800	10.58	n/a	27-Feb	9,684.00	3.0
DC CAPITAL	044	COST	B	15,000	40.87	n/a	27-Jul	750.00	5.0
BULL PATH CAPITAL	044	CPKI	SS	9,000	9.78	30-Oct	13-Feb	450.00	5.0
PRINCIPLE CAPITAL	040	CVS	B	43,679	25.05	n/a	n/a	1,310.37	3.0
MATRIX ASSET ADV.	036	DE	B	5,000	25.01	26-Jan	19-Feb	200.00	4.0
WAGONHOUND/NIC	048	DRI	B	394	26.23	19-Dec	26-Jan	15.76	4.0
BABSON/OFI/TRINITY	039	DXPE	B	9,800	10.32	n/a	n/a	392.00	4.0
SIGMA CAPITAL ASSOCIATES	237	EAT	B	25,000	10.65	n/a	24-Apr	1,250.00	5.0
BABSON/OFI/TRINITY	039	EPAX	B	9,001	7.28	n/a	n/a	360.04	4.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	26.30	7-Jan	2-Mar	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	FDO	B	25,000	26.42	7-Jan	2-Mar	1,250.00	5.0
UBS OCONNOR	031	FII	C	50,000	17.58	13-Nov	3-Mar	1,500.00	3.0
STANDARD PACIFIC CAPITAL	040	FL	B	200,000	8.19	7-Oct	13-Feb	10,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	6.50	12-Feb	12-Feb	400.00	4.0
SUN AMERICA ASSET MGMT	030	FO	B	107,300	22.42	n/a	n/a	4,292.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	13.96	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	6.71	11-Dec	12-Feb	600.00	3.0
SIGMA CAPITAL ASSOCIATES	237	HANS	SS	50,000	33.46	n/a	n/a	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	HAR	B	33,400	10.01	5-Feb	5-Feb	1,336.00	4.0
BABSON/OFI/TRINITY	039	HIBB	B	1,500	12.91	n/a	n/a	60.00	4.0
KLEINHEINZ CAP PART	031	HRB	S	40,000	18.26	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	40,000	10.74	n/a	30-Jan	1,600.00	4.0
EATON VANCE MGMT	039	JNJ	S	150,000	47.49	n/a	22-Apr	4,500.00	3.0
FORD FDN.	032	JNJ	S	25,000	48.11	n/a	22-Apr	1,250.00	5.0
BELLMAN WALTERSS CAP	091	JNS	B	25,000	4.14	2-Mar	3-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	34.64	n/a	2-Mar	800.00	4.0
DECADE CAPITAL PARTNERS	040	LIZ	S	33,500	2.49	n/a	14-Jan	1,005.00	3.0
FORD FDN.	032	LLY	S	20,000	28.39	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	MAT	B	150,000	10.72	n/a	n/a	7,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRENCOURT	028	MGA	B	25,000	23.65	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	MHK	SS	40,000	20.72	n/a	n/a	1,600.00	4.0
NOMURA CAPITAL	045	MIR	S	10,000	10.50	n/a	n/a	500.00	5.0
FORD FDN.	032	MRK	S	40,000	23.74	n/a	n/a	2,000.00	5.0
DIAMONDBACK CAP MGMT	232	MS	B	25,000	18.22	18-Dec	26-Feb	1,250.00	5.0
COUGAR TRADING	044	M	S	5,000	7.23	n/a	2-Mar	200.00	4.0
THE BOSTON COMPANY	401	NKE	C	36,640	40.74	n/a	n/a	1,465.60	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	25,000	5.11	16-Dec	20-Jan	1,000.00	4.0
RAMIUS CAP	040	PCH	B	50,000	20.36	n/a	26-Feb	2,000.00	4.0
FORD FDN.	032	PFE	S	35,000	12.02	n/a	31-Mar	1,750.00	5.0
MILLENIUM PARTNERS	028	PTV	S	25,000	12.30	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	15.61	22-Jan	22-Jan	800.00	4.0
NEUBERGER BERMAN	036	REG	S	21,500	24.11	n/a	n/a	967.50	4.5
BUCK CAPITAL MGMT	001	RL	SS	30,000	32.74	n/a	5-Feb	1,200.00	4.0
SUN AMERICA ASSET MGMT	030	ROK	B	126,800	18.93	n/a	n/a	5,072.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	RRD	B	327,200	7.53	n/a	n/a	13,088.00	4.0
COUGAR TRADING	044	SHW	S	5,000	45.33	24-Feb	27-Feb	250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	5.99	n/a	13-Mar	900.00	3.0
BUCK CAPITAL MGMT	001	SPG	S	32,900	29.27	n/a	n/a	1,316.00	4.0
NEUBERGER BERMAN	036	SSS	S	52,400	18.97	n/a	n/a	2,358.00	4.5
PILOT ROCK	028	STJ	B	150,000	32.33	n/a	n/a	6,000.00	4.0
HUNTER GLOBAL INVESTOR	067	SUN	SS	65,259	31.07	n/a	n/a	3,262.95	5.0
BUCK CAPITAL MGMT	001	TIN	B	112,000	3.19	5-Dec	28-Jan	3,360.00	3.0
ROBX	302	TLM	B	31,000	8.43	n/a	n/a	1,240.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	30,000	19.24	27-Feb	27-Feb	1,200.00	4.0
BUCK CAPITAL MGMT	001	WSM	SS	40,000	8.49	n/a	n/a	1,200.00	3.0
TOTAL (Trade Date) :								139,685.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/02	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	ANN	SS	100,000	6.46	n/a	30-Jan	4000.00	4.0
AO,CRT	03/02	WEINTRAUB CAPITAL MGT. (WEINMAIN A)	040	ANN	SS	100,000	6.46	n/a	30-Jan	3000.00	3.0
AO,	03/02	APEX CAPITAL MGMT. (APEXUBS)	091	COH	S	8,400	13.50	9-Jan	22-Jan	336.00	4.0
AO,	03/02	APEX CAPITAL MGMT. (APEXMORGAN)	091	COH	S	65,600	13.50	9-Jan	22-Jan	2624.00	4.0
AO,	03/02	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	HCP	S	99,559	17.69	n/a	n/a	1991.18	2.0
AO,CXL	03/02	DC CAPITAL (DCCAGOLDMA)	044	IP	B	100,000	5.22	22-Sep	29-Jan	5000.00	5.0
AO,CRT	03/02	DC CAPITAL (DCCAGOLDMA)	044	IP	B	100,000	5.22	22-Sep	29-Jan	3000.00	3.0
AO,CXL	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	LPX	B	92,071	1.30	3-Mar	3-Mar	2762.13	3.0
AO,CRT	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	LPX	B	92,071	1.30	3-Mar	3-Mar	1841.42	2.0
AO,CXL	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PM	SS	30,000	33.19	n/a	n/a	1500.00	5.0
AO,CRT	03/02	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	PM	SS	30,000	33.19	n/a	n/a	1200.00	4.0
AO,CXL	03/02	FORWARD MGMT (FORWLGCPCGW)	033	RHI	B	1,300	14.67	n/a	n/a	65.00	5.0
AO,CRT	03/02	FORWARD MGMT (FORWMIDVAL)	033	RHI	B	1,300	14.67	n/a	n/a	65.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGWORLDW)	039	TIF	SS	3,000	18.32	n/a	30-Jan	150.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGGUGGEN)	039	TIF	SS	2,000	18.32	n/a	30-Jan	100.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGSCOGCP)	039	TIF	SS	25,000	18.32	n/a	30-Jan	1250.00	5.0
AO,	03/02	SCOGGIN CAP (SCOGINTERN)	039	TIF	SS	36,000	18.32	n/a	30-Jan	1800.00	5.0
AO,CXL	03/02	FORWARD MGMT (FORWLGCPCGW)	033	TROW	B	3,800	21.99	n/a	3-Mar	190.00	5.0
AO,CRT	03/02	FORWARD MGMT (FORWMIDVAL)	033	TROW	B	3,800	21.99	n/a	3-Mar	190.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	TROW	SS	3,400	22.78	n/a	3-Mar	136.00 4.0
AO,CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	TROW	SS	3,400	22.78	n/a	3-Mar	170.00 5.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	TROW	SS	700	22.78	n/a	3-Mar	28.00 4.0
AO,CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	TROW	SS	700	22.78	n/a	3-Mar	35.00 5.0
AO,CXL	03/02	CASTLEROCK (CASTMS)	040	UPS	B	838	38.90	n/a	n/a	0.00 0.0
AO,CRT	03/02	CASTLEROCK (CASTMS)	040	UPS	B	838	38.90	n/a	n/a	33.52 4.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	WDR	SS	4,300	13.73	n/a	3-Mar	172.00 4.0
AO,CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	045	WDR	SS	4,300	13.73	n/a	3-Mar	215.00 5.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	WDR	SS	800	13.73	n/a	3-Mar	32.00 4.0
AO,CRT	03/02	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	045	WDR	SS	800	13.73	n/a	3-Mar	40.00 5.0

TOTAL (AO, CXL, CRT) : **4,155.99**

TOTAL (Trade Date) : 139,685.02

TOTAL (AO, CXL, CRT) : 4,155.99

TOTAL (RUN DATE) / NFS: **143,841.01**

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