



Daily Compliance Activity Report

Trade Date: 01/05/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	ANF	B	20,000	24.65	7-Aug	12-Dec	1,000.00	5.0
COUGAR TRADING	044	ANF	B	5,000	23.89	7-Aug	12-Dec	250.00	5.0
JMP ASSET MGMT	210	BKC	S	4,600	23.45	27-Oct	3-Nov	230.00	5.0
BUCK CAPITAL MGMT	001	BKS	SS	40,000	16.99	n/a	n/a	1,600.00	4.0
RBC CAPITAL MARKETS	034	BKS	SS	10,000	16.66	n/a	n/a	400.00	4.0
POST ROAD CAP	045	BWA	SS	16,000	23.74	16-Dec	16-Dec	480.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	10,000	23.98	16-Dec	16-Dec	500.00	5.0
THE BOSTON COMPANY	401	CHS	S	117,650	3.82	5-Dec	12-Dec	1,764.75	1.5
BUCK CAPITAL MGMT	001	COH	SS	20,000	21.50	18-Dec	18-Dec	800.00	4.0
JMP ASSET MGMT	210	DKS	S	7,500	14.87	7-Oct	12-Dec	375.00	5.0
JMP ASSET MGMT	210	DPZ	B	12,100	5.12	n/a	24-Apr	484.00	4.0
BALYASNY ASSET MGMT	044	FII	B	30,000	17.73	13-Nov	5-Jan	1,500.00	5.0
ROARING BLUE LION MGMT	012	FII	B	19,000	18.17	13-Nov	5-Jan	760.00	4.0
JMP ASSET MGMT	210	GES	B	7,000	16.01	n/a	n/a	350.00	5.0
JMP ASSET MGMT	210	HE	SS	2,500	22.08	n/a	n/a	125.00	5.0
LAGRANGE CAP ADV	048	IGT	S	10,000	13.40	n/a	31-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	IVZ	B	35,000	14.56	13-Nov	5-Jan	1,750.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	12.69	n/a	12-Dec	1,200.00	4.0
COUGAR TRADING	044	JCP	B	10,000	21.31	17-Nov	12-Dec	500.00	5.0
RBC CAPITAL MARKETS	034	JCP	B	10,000	21.50	17-Nov	12-Dec	400.00	4.0
BALYASNY ASSET MGMT	044	JWN	S	25,000	15.21	14-Nov	12-Dec	1,250.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	70,000	15.04	14-Nov	12-Dec	2,800.00	4.0
RBC CAPITAL MARKETS	034	JWN	B	10,000	15.21	14-Nov	12-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	37.67	n/a	12-Dec	1,600.00	4.0
RBC CAPITAL MARKETS	034	KSS	B	5,000	37.46	n/a	12-Dec	200.00	4.0
BARROW HANLEY MEWHINNEY	031	LM	B	33,300	23.53	29-Oct	5-Jan	1,332.00	4.0
BRENCOURT	028	MGA	SS	25,000	31.57	n/a	n/a	1,250.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	10,000	8.79	n/a	23-Dec	300.00	3.0
PRINCIPLE CAPITAL	040	RBA	B	40,600	21.46	n/a	n/a	1,218.00	3.0
BUCK CAPITAL MGMT	001	RL	B	65,000	46.78	n/a	6-Nov	2,600.00	4.0
JMP ASSET MGMT	210	SBUX	B	5,500	9.92	n/a	5-Jan	220.00	4.0
TRELLUS PARTNERS LP	028	TGT	SS	15,000	36.11	17-Nov	22-Dec	750.00	5.0
BALYASNY ASSET MGMT	044	WDR	S	30,000	17.01	n/a	5-Jan	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	25,000	4.70	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								31,638.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/02	WAGONHOUND/NIC (WAGOP02453)	048	AMG	S	444	43.52	13-Nov	5-Jan	17.76 4.0
AO,	01/02	WAGONHOUND/NIC (WAGONIC)	048	AMG	S	1,542	43.52	13-Nov	5-Jan	61.68 4.0
AO,	01/02	BARON ASSET MGMT* (BAROBSC)	012	JCG	B	24,858	13.16	n/a	12-Dec	994.32 4.0
AO,	01/02	BARON ASSET MGMT* (BAROBGF)	012	JCG	B	55,187	13.16	n/a	12-Dec	2207.48 4.0
AO,CRT	12/30	SAXON WOODS ADVISORS (SAXOTOTDYN)	038	SJM	S	36,700	42.99	n/a	n/a	1468.00 4.0
AO,CXL	12/30	SAXON WOODS ADVISORS (SAXODYNDIV)	038	SJM	S	36,700	42.99	n/a	n/a	1468.00 4.0

TOTAL (AO, CXL, CRT) :**3,281.24**

TOTAL (Trade Date) :

31,638.75

TOTAL (AO, CXL, CRT) :

3,281.24

TOTAL (RUN DATE) / NFS:**34,919.99**

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