



Daily Compliance Activity Report

Trade Date: 06/04/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	AEO	B	75,000	14.92	20-Apr	1-Jun	3,000.00	4.0
BALYASNY ASSET MGMT	044	AGCO	B	5,000	29.16	n/a	n/a	250.00	5.0
BALYASNY ASSET MGMT	044	ALK	S	5,000	15.53	n/a	n/a	250.00	5.0
HOLDEN CAPITAL MGMT	035	ALV	B	16,000	29.13	12-Mar	22-Apr	800.00	5.0
HIGHBRIDGE/MS OLDS	041	AMZN	SS	25,000	85.10	n/a	n/a	1,000.00	4.0
TOKIO MARINE ASSET MGMT	045	APA	B	6,500	82.96	3-Feb	1-Jun	260.00	4.0
BUCK CAPITAL MGMT	001	AVP	SS	20,000	26.74	2-Jun	2-Jun	800.00	4.0
SCHOTTENFELD ASSOC	041	AXL	B	40,127	2.40	n/a	n/a	1,203.81	3.0
SCOPUS FUND	041	AXL	B	70,000	2.42	n/a	n/a	3,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	BAC	B	154,400	11.50	11-May	27-May	5,404.00	3.5
GARDNER LEWIS ASSET MGMT	028	BAX	S	6,900	46.52	n/a	22-Apr	345.00	5.0
SONTERRA CAP	041	BA	SS	5,000	50.37	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	BKC	B	50,000	16.66	16-Apr	29-Apr	2,000.00	4.0
NORTHPOINT	030	BRCD	S	3,500	7.24	n/a	n/a	105.00	3.0
HIGHBRIDGE/MS OLDS	041	BXP	S	25,000	52.60	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	CAM	S	12,600	30.19	n/a	n/a	504.00	4.0
MISSION GLOBAL LLC	041	CAT	B	10,000	36.98	n/a	22-Apr	500.00	5.0
BMO NESBITT BURNS	041	CMG	SS	8,000	88.45	14-May	14-May	400.00	5.0
BUCK CAPITAL MGMT	001	CMG	B	10,000	89.02	14-May	14-May	400.00	4.0
COBALT	041	COST	S	100,000	47.43	n/a	27-Jul	5,000.00	5.0
EGS ASSOCIATES LP	091	CPKI	B	3,500	14.01	29-May	29-May	210.00	6.0
SONTERRA CAP	041	CVX	SS	5,000	69.21	n/a	n/a	200.00	4.0
ROTHSCHILD ASSET	040	DF	B	18,288	18.49	n/a	n/a	822.98	4.5
TOKIO MARINE ASSET MGMT	045	EOG	B	29,600	72.89	n/a	n/a	1,184.00	4.0
ROTHSCHILD ASSET	040	ESRX	S	5,786	63.10	n/a	n/a	260.38	4.5
CUMBERLAND	038	EXH	B	11,000	18.73	27-May	2-Jun	440.00	4.0
HIGHBRIDGE/MS OLDS	041	EXPE	S	5,000	16.57	n/a	n/a	200.00	4.0
MACKLOWE ASSET MGMT	041	F	B	300,000	6.36	n/a	3-Jun	9,000.00	3.0
MACKLOWE ASSET MGMT	041	F	SS	300,000	6.35	n/a	3-Jun	9,000.00	3.0
PATTEN & PATTEN	067	GE	B	3,700	13.50	n/a	n/a	185.00	5.0
BRENCOURT	028	GMGMQ	B	104,042	0.71	n/a	n/a	2,080.84	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	GR	B	99,200	53.30	30-Mar	29-Apr	4,464.00	4.5
BALYASNY ASSET MGMT	044	GWV	C	5,000	83.44	n/a	14-Apr	250.00	5.0
UBS OCONNOR	031	HBAN	S	150,000	3.90	n/a	n/a	4,500.00	3.0
BUCK CAPITAL MGMT	001	HOG	SS	20,000	18.13	n/a	n/a	800.00	4.0
ROTHSCHILD ASSET	040	IM	B	19,165	17.00	n/a	n/a	862.45	4.5
BUCK CAPITAL MGMT	001	JCP	SS	20,000	28.91	13-Apr	1-Jun	800.00	4.0
SCOPUS FUND	041	JNY	B	15,000	9.81	n/a	30-Apr	750.00	5.0
RBC CAPITAL MARKETS	040	JWN	S	20,000	21.70	20-Feb	1-Jun	800.00	4.0
BMO NESBITT BURNS	041	LM	S	26,300	22.88	5-May	3-Jun	1,315.00	5.0
HUNTER GLOBAL INVESTOR	067	LRY	B	38,100	23.94	n/a	n/a	1,905.00	5.0
NEWCASTLE FUNDS	255	LTM	S	30,000	20.45	n/a	n/a	1,200.00	4.0
BMO NESBITT BURNS	041	MCD	B	16,500	60.19	n/a	4-Jun	825.00	5.0
NEWCASTLE FUNDS	255	MCD	SS	20,000	60.11	n/a	4-Jun	800.00	4.0
US BANCORP	030	MS	B	149,452	31.25	11-May	2-Jun	7,472.60	5.0
ROTHSCHILD ASSET	040	MWV	S	21,194	16.53	28-Jan	30-Apr	953.74	4.5
BARCLEYS CAP (OLD LEHM)	041	M	SS	50,000	12.72	n/a	1-Jun	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	NDAQ	S	18,600	21.46	n/a	n/a	744.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	S	19,751	57.15	22-Apr	19-May	987.55	5.0
MKT MAKER	099	NTRS	S	49	57.15	22-Apr	19-May	0.00	0.0
EIDELMAN, FINGER & CO	045	PALM	SS	5,000	13.00	n/a	n/a	250.00	5.0
HARVEST MGMT	039	PLCE	S	10,000	31.44	19-Mar	4-Jun	500.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	70,000	15.41	n/a	n/a	2,800.00	4.0
HIGHBRIDGE CAPITAL	038	RAI	B	53,000	39.59	n/a	n/a	2,120.00	4.0
PRINCIPLE CAPITAL	040	RCL	SS	44,700	15.15	22-Apr	24-Apr	1,341.00	3.0
HUNTER GLOBAL INVESTOR	067	REG	B	14,000	36.26	n/a	n/a	700.00	5.0
MISSION GLOBAL LLC	041	ROK	B	12,000	32.28	n/a	n/a	600.00	5.0
RBC CAPITAL MARKETS	040	RSH	SS	75,000	13.74	n/a	n/a	3,000.00	4.0
HUNTER GLOBAL INVESTOR	067	SHLD	B	50,000	68.54	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	9.88	n/a	13-Mar	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	012	SLM	B	50,000	6.27	23-Apr	3-Jun	2,000.00	4.0
ROTHSCHILD ASSET	040	SOHU	S	3,506	65.74	n/a	n/a	157.78	4.5
HIGHBRIDGE/MS OLDS	041	SPG	S	25,000	55.04	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	TEN	B	34,500	7.21	n/a	n/a	1,725.00	5.0
TOKIO MARINE ASSET MGMT	045	TGT	B	17,400	39.62	25-Feb	4-Jun	696.00	4.0
BALYASNY ASSET MGMT	044	TJX	S	20,000	30.40	4-May	1-Jun	1,000.00	5.0
HIGHBRIDGE/MS OLDS	041	TS	SS	50,000	31.15	n/a	n/a	2,000.00	4.0
PRINCIPLE CAPITAL	040	TYC	S	11,300	27.93	1-May	1-May	339.00	3.0
TOKIO MARINE ASSET MGMT	045	VFC	S	8,900	58.87	n/a	n/a	356.00	4.0
HIGHBRIDGE/MS OLDS	041	VNO	S	25,000	50.49	n/a	n/a	1,000.00	4.0
BMO NESBITT BURNS	041	WDR	B	22,500	26.36	n/a	3-Jun	1,125.00	5.0
ROTHSCHILD ASSET	040	WDR	B	12,927	25.97	n/a	3-Jun	581.74	4.5
HARVEST MGMT	039	WIND	B	25,000	11.54	n/a	n/a	1,250.00	5.0
HARVEST MGMT	039	WRC	B	10,000	34.15	13-May	13-May	500.00	5.0
PRINCIPLE CAPITAL	040	WYNN	SS	28,900	40.13	n/a	n/a	1,156.00	4.0
ADAGE CAPITAL MGMT	030	XRT	B	525,000	28.58	n/a	n/a	15,750.00	3.0
TOTAL (Trade Date) :							127,381.87		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/03	WHITE PINE CAPITAL (WPIN0002)	030	MWO	B	2,000	16.89	n/a	n/a	100.00 5.0
AO,	06/03	MORGAN BANK /JPM (JPMB160949)	070	NKE	S	2,120	58.13	n/a	n/a	63.60 3.0
AO,	06/03	MORGAN BANK /JPM (JPMB142460)	070	NKE	S	8,900	58.13	n/a	n/a	267.00 3.0
AO,	06/03	PILOT ADV (PILOPERSH)	038	SON	S	36,500	25.38	n/a	n/a	1460.00 4.0
AO,	06/03	PILOT ADV (PILOBOFA)	038	SON	S	3,500	25.38	n/a	n/a	140.00 4.0
AO,	06/03	MORGAN BANK /JPM (JPMB160949)	070	WMT	B	2,440	50.60	11-May	2-Jun	73.20 3.0
AO,	06/03	MORGAN BANK /JPM (JPMB142460)	070	WMT	B	10,200	50.60	11-May	2-Jun	306.00 3.0
TOTAL (AO, CXL, CRT) :										2,409.80

TOTAL (Trade Date):	127,381.87
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TOTAL (RUN DATE) / NFS:	129,791.67
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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