



Daily Compliance Activity Report

Trade Date: 04/08/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSG CAPITAL	225	AKS	S	15,000	8.50	n/a	n/a	750.00	5.0
PRINCIPLE CAPITAL	040	AMZN	S	22,800	76.12	n/a	n/a	912.00	4.0
TRUST CO/COWEN/CALF.	040	AXP	B	135,650	15.46	n/a	8-Apr	5,426.00	4.0
BNP PARIBAS SEC	040	BBBY	SS	10,000	28.81	n/a	n/a	400.00	4.0
BASIX	033	BIG	B	32,000	22.65	4-Mar	6-Apr	960.00	3.0
MTB INV ADV	034	BWLD	B	5,412	36.57	n/a	n/a	270.60	5.0
UBS OCONNOR	031	CAT	SS	50,000	29.60	n/a	27-Jan	1,500.00	3.0
AVESTA CAP	229	CHK	B	100,000	19.39	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	CHS	B	50,000	6.33	5-Dec	30-Jan	1,500.00	3.0
CAMBIAR CAP	046	CHTT	B	3,755	53.72	8-Apr	8-Apr	150.20	4.0
DECADE CAPITAL PARTNERS	040	CNW	SS	27,000	18.42	n/a	n/a	1,350.00	5.0
UBS OCONNOR	031	DE	B	35,000	35.22	26-Jan	19-Feb	1,050.00	3.0
JP MORGAN VENTURES	046	DSW	B	30,000	10.55	24-Mar	25-Mar	1,500.00	5.0
BUCK CAPITAL MGMT	001	ETH	B	20,000	12.51	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	34,800	20.46	n/a	10-Jan	1,392.00	4.0
TOKIO MARINE ASSET MGMT	045	GENZ	S	5,600	55.88	n/a	n/a	224.00	4.0
PORTER-ORLIN-FELDMAN	044	GE	S	150,000	10.49	n/a	n/a	4,500.00	3.0
BALYASNY ASSET MGMT	044	GPS	S	25,000	14.26	n/a	30-Jan	1,250.00	5.0
ROYCE TRADING	216	GY	S	25,000	2.24	n/a	n/a	750.00	3.0
FIRST NEW YORK LEDDY	035	HERO	S	10,000	1.78	n/a	n/a	600.00	6.0
11:11 CAPITAL CORP	046	HLS	B	73,000	8.52	n/a	n/a	3,650.00	5.0
TROUBH PART	067	ITRI	B	35,000	44.46	n/a	n/a	1,750.00	5.0
SOUTH POINT CAP	067	IYH	SS	28,600	48.92	n/a	n/a	1,430.00	5.0
CRAMER ROSENTHAL/SCOTT	012	JWN	C	13,190	18.61	20-Feb	3-Apr	527.60	4.0
TROUBH PART	067	LMT	B	15,000	72.44	n/a	n/a	750.00	5.0
BMO NESBITT BURNS	041	LM	S	33,900	16.96	29-Jan	7-Apr	1,695.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	9.52	8-Jan	30-Jan	1,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	LTD	SS	10,700	9.57	8-Jan	30-Jan	428.00	4.0
TOKIO MARINE ASSET MGMT	045	MCD	S	5,600	55.38	n/a	3-Apr	224.00	4.0
TROUBH PART	067	MET	B	10,000	25.39	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	MMM	S	6,100	51.02	8-Dec	17-Mar	244.00	4.0
JP MORGAN VENTURES	046	MON	B	35,000	80.26	n/a	2-Apr	1,750.00	5.0
RDK CAPITAL MGMT	034	MO	B	25,000	16.35	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	MW	B	29,000	17.22	n/a	n/a	1,450.00	5.0
BARCLEYS CAP (OLD LEHM)	041	M	B	150,000	10.24	n/a	3-Apr	6,000.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	S	35,000	57.96	14-Jan	8-Apr	1,750.00	5.0
NEWCASTLE FUNDS	033	NUE	B	25,000	40.61	n/a	n/a	1,000.00	4.0
RESURGENCE ASSET MGMT	070	OLN	SS	20,000	15.40	n/a	20-Jun	1,000.00	5.0
CENTURION GLOBAL MGMT LL	041	OVTI	S	30,000	8.13	n/a	n/a	900.00	3.0
TRELLUS PARTNERS LP	028	PCAR	SS	15,000	28.44	25-Mar	25-Mar	750.00	5.0
TOKIO MARINE ASSET MGMT	045	PG	S	6,400	48.52	12-Mar	20-Mar	256.00	4.0
RESURGENCE ASSET MGMT	070	PH	SS	7,500	36.32	n/a	5-Mar	375.00	5.0
SCOPUS FUND	041	PKG	SS	20,000	12.73	8-Apr	8-Apr	1,000.00	5.0
ROYCE TRADING	216	PMC	S	600	16.20	n/a	n/a	30.00	5.0
ROSEDALE CAPITAL	046	PNC	S	10,000	31.38	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	10,000	44.21	n/a	5-Feb	400.00	4.0
MTB INV ADV	034	RRGB	B	16,000	19.36	n/a	n/a	800.00	5.0
DAVIDSON KEMPNER ADVISOR	040	SLM	SS	25,000	5.86	27-Feb	8-Apr	1,250.00	5.0
CUMBERLAND	038	SPY	SS	5,000	82.07	n/a	n/a	200.00	4.0
SOUTH POINT CAP	067	SPY	B	17,000	82.34	n/a	n/a	850.00	5.0
MILLENIUM KOZLOW	028	TIN	B	30,000	5.40	5-Dec	8-Apr	1,200.00	4.0
NEWLAND CAPITAL MGT	067	TIN	B	25,000	5.39	5-Dec	8-Apr	750.00	3.0
NWQ INVESTMENT MGMT CO	048	TIN	S	70,400	5.41	5-Dec	8-Apr	2,112.00	3.0
TRELLUS PARTNERS LP	028	TIN	B	100,000	5.40	5-Dec	8-Apr	3,000.00	3.0
MTB INV ADV	034	TXRH	B	29,825	10.34	n/a	n/a	1,491.25	5.0
BMO NESBITT BURNS	041	WDR	B	33,700	17.57	n/a	7-Apr	1,685.00	5.0
TOKIO MARINE ASSET MGMT	045	WMT	S	5,900	52.67	n/a	6-Apr	236.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	100,000	25.45	27-Mar	27-Mar	4,000.00	4.0
GREENLIGHT CAPITAL	041	XLFX	B	500,000	9.17	n/a	n/a	15,000.00	3.0
TOTAL (Trade Date):								92,718.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/07	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	GBL	B	12,610	35.93	n/a	7-Apr	504.40 4.0
AO,	04/07	COLUMBUS CIRCLE (COLC3060)	036	MS	B	5,700	24.29	18-Dec	8-Apr	228.00 4.0
AO,	04/07	COLUMBIA PARTNERS (COLP000GOL)	028	PLD	S	32,690	7.53	n/a	n/a	980.70 3.0
AO,	04/07	ROYCE TRADING (ROYC59)	216	PMC	S	3,200	16.20	n/a	n/a	160.00 5.0
AO,	04/07	ROYCE TRADING (ROYC59)	216	PMC	S	3,600	16.13	n/a	n/a	180.00 5.0
AO,	04/07	ROYCE TRADING (ROYC33)	216	PMC	S	1,200	16.20	n/a	n/a	60.00 5.0
AO,	04/07	ROYCE TRADING (ROYC33)	216	PMC	S	1,400	16.13	n/a	n/a	70.00 5.0
CRT	04/08	MILLENIUUM KOZLOW (MILKKOZLO)	028	TIN	B	30,000	5.40	5-Dec	8-Apr	1200.00 4.0

TOTAL (AO, CXL, CRT) :**3,383.10**

TOTAL (Trade Date):

92,718.65

TOTAL (AO, CXL, CRT):

3,383.10

TOTAL (RUN DATE) / NFS:**96,101.75**

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