

Daily Compliance Activity Report Trade Date: 07/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
JP MORGAN VENTURES	046	AA	SS	100,000	9.95	n/a	n/a	4,000.00	4.0
CAXTON PART	040	ABT	В	26,475	45.06	n/a	22-Apr	926.65	3.5
CAMBIAR CAP	046	ADM	S	290,160	27.93	1-Jun	1–Jun	11,606.40	4.0
BUCK CAPITAL MGMT	001	AEO	В	125,000	13.75	25-Jun	10-Jul	5,000.00	4.0
LATEFF MGMT	035	ALK	S	300	21.14	n/a	n/a	90.00	30.0
PZENA INV ADV	044	ALL	S	2,175	24.43	n/a	n/a	76.13	3.5
PZENA INV ADV	044	APA	S	625	73.30	3-Feb	1-Jul	21.88	3.5
PZENA INV ADV	044	AVP	S	2,100	26.35	2-Jun	2-Jun	73.50	3.5
LAGRANGE CAP ADV	048	AXL	В	10,000	1.50	n/a	9-Jul	500.00	5.0
DIAMONDBACK CAP MGMT	232	AXP	SS	10,000	27.44	n/a	15-Jul	500.00	5.0
BUCK CAPITAL MGMT	001	BBY	В	20,000	35.40	n/a	27-Jul	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	20,000	31.64	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	BK	В	20,650	29.60	11-May	10-Jul	826.00	4.0
PHILADELPHIA FINANCIAL	033	BLK	S	5,128	179.34	12-Jun	15-Jul	205.12	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	WAGONHOUND/NIC	048	BLK	S	2,023	174.79	12-Jun	15-Jul	80.92	4.0
	DSG CAPITAL	225	CAKE	В	16,000	17.24	29-May	15-Jul	800.00	5.0
	STRONG/MARK GRONET	030	DAL	В	78 , 500	6.02	n/a	n/a	2,355.00	3.0
	1798 CAPITAL MGMT	040	EBAY	В	25,000	17.89	n/a	n/a	1,250.00	5.0
	LATEFF MGMT	035	ENR	S	200	54.51	8-Jul	8-Jul	100.00	50.0
	HIGHBRIDGE CAPITAL	038	HUM	В	33,000	28.20	n/a	n/a	1,320.00	4.0
	CASTLE ARK	031	INTC	В	141,300	17.85	n/a	n/a	8,478.00	6.0
	BMO NESBITT BURNS	041	IR	S	50,000	21.29	n/a	1-Jul	2,500.00	5.0
	MILLENIUM PARTNERS	028	IWM	SS	10,000	51.27	n/a	n/a	400.00	4.0
õ õ	Steven Maguire Steven Maguire		JBHT JBHT	B B		27.4000 27.4000	n/a n/a	n/a n/a	0.00	0.0
	HOOVER INV. MGMT	033	JCG	В	25,800	27.08	n/a	30-Jan	1,032.00	4.0
	LATEFF MGMT	035	JNJ	S	200	58.80	n/a	22-Apr	100.00	50.0
	WAGONHOUND/NIC	048	JNS	В	27,166	10.47	5-May	15-Jul	1,086.64	4.0
	THIRD COAST CAPITAL	035	KMX	В	20,000	14.87	n/a	10-Jan	1,000.00	5.0
	COBALT	041	KR	В	50,000	21.78	n/a	n/a	2,500.00	5.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
COUGAR TRADING	044	LVS	В	10,000	8.00	n/a	14-Jul	400.00	4.0	
HOLDEN CAPITAL MGMT	035	LVS	В	25,000	8.12	n/a	14-Jul	1,250.00	5.0	
THIRD COAST CAPITAL	035	LVS	В	50,000	8.03	n/a	14-Jul	2,500.00	5.0	
WAGONHOUND/NIC	048	LVS	В	50,000	7.83	n/a	14-Jul	1,500.00	3.0	
ARCHON PARTNERS	032	MAR	В	30,213	21.54	n/a	n/a	906.39	3.0	
HOTCHKIS & WILEY	035	MET	S	49,700	30.05	n/a	n/a	2,485.00	5.0	
MILLENIUM PARTNERS	028	MHK	В	10,000	36.72	n/a	n/a	400.00	4.0	
HIGHBRIDGE CAPITAL	038	МОН	SS	35,000	22.70	n/a	n/a	1,400.00	4.0	
LATEFF MGMT	035	MRO	S	300	30.13	n/a	n/a	96.00	32.0	
JENNISON	032	MSFT	В	232,000	23.84	n/a	3-Apr	8,584.00	3.7	
COUGAR TRADING	044	М	SS	10,000	11.81	n/a	10-Jul	500.00	5.0	
CATAPULT	040	NAV	В	26,067	40.93	n/a	n/a	1,303.35	5.0	
LATEFF MGMT	035	OLN	S	1,000	12.17	n/a	20-Jun	120.00	12.0	
CSFB GLOBAL PROPRIETARY	041	PKG	В	5,000	16.84	8-Apr	23-Jun	250.00	5.0	
LATEFF MGMT	035	PKG	S	500	17.01	8-Apr	23-Jun	100.00	20.0	
BUCK CAPITAL MGMT	001	PVH	В	20,000	29.45	20-Apr	21-May	800.00	4.0	
ROTHSCHILD ASSET	040	RAH	S	26,130	61.43	n/a	n/a	1,175.92	4.5	
	COUGAR TRADING HOLDEN CAPITAL MGMT THIRD COAST CAPITAL WAGONHOUND/NIC ARCHON PARTNERS HOTCHKIS & WILEY MILLENIUM PARTNERS HIGHBRIDGE CAPITAL LATEFF MGMT JENNISON COUGAR TRADING CATAPULT LATEFF MGMT CSFB GLOBAL PROPRIETARY LATEFF MGMT BUCK CAPITAL MGMT	COUGAR TRADING 044 HOLDEN CAPITAL MGMT 035 THIRD COAST CAPITAL 035 WAGONHOUND/NIC 048 ARCHON PARTNERS 032 HOTCHKIS & WILEY 035 MILLENIUM PARTNERS 028 HIGHBRIDGE CAPITAL 038 LATEFF MGMT 035 JENNISON 032 COUGAR TRADING 044 CATAPULT 040 LATEFF MGMT 035 CSFB GLOBAL PROPRIETARY 041 LATEFF MGMT 035 BUCK CAPITAL MGMT 001	COUGAR TRADING 044 LVS HOLDEN CAPITAL MGMT 035 LVS THIRD COAST CAPITAL 035 LVS WAGONHOUND/NIC 048 LVS ARCHON PARTNERS 032 MAR HOTCHKIS & WILEY 035 MET MILLENIUM PARTNERS 028 MHK HIGHBRIDGE CAPITAL 038 MOH LATEFF MGMT 035 MRO JENNISON 032 MSFT COUGAR TRADING 044 M CATAPULT 040 NAV LATEFF MGMT 035 OLN CSFB GLOBAL PROPRIETARY 041 PKG LATEFF MGMT 035 PKG BUCK CAPITAL MGMT 001 PVH	COUGAR TRADING 044 LVS B HOLDEN CAPITAL MGMT 035 LVS B WAGONHOUND/NIC 048 LVS B HOTCHKIS & WILEY 035 MET S MILLENIUM PARTNERS 028 MHK B HIGHBRIDGE CAPITAL 035 MRO S JENNISON 032 MSFT B COUGAR TRADING 044 M SS CATAPULT 040 NAV B LATEFF MGMT 035 OLN S CSFB GLOBAL PROPRIETARY 041 PKG B LATEFF MGMT 035 PKG S BUCK CAPITAL MGMT 001 PVH B	COUGAR TRADING 044 LVS B 10,000 HOLDEN CAPITAL MGMT 035 LVS B 25,000 THIRD COAST CAPITAL 035 LVS B 50,000 WAGONHOUND/NIC 048 LVS B 50,000 ARCHON PARTNERS 032 MAR B 30,213 HOTCHKIS & WILEY 035 MET S 49,700 MILLENIUM PARTNERS 028 MHK B 10,000 HIGHBRIDGE CAPITAL 038 MOH SS 35,000 LATEFF MGMT 035 MRO S 300 COUGAR TRADING 044 M SS 10,000 CATAPULT 040 NAV B 26,067 LATEFF MGMT 035 OLN S 1,000 CSFB GLOBAL PROPRIETARY 041 PKG B 5,000 LATEFF MGMT 035 PKG S 500 BUCK CAPITAL MGMT 001 PVH B 20,000	COUGAR TRADING 044 LVS B 10,000 8.00 HOLDEN CAPITAL MGMT 035 LVS B 25,000 8.12 THIRD COAST CAPITAL 035 LVS B 50,000 8.03 WAGONHOUND/NIC 048 LVS B 50,000 7.83 ARCHON PARTNERS 032 MAR B 30,213 21.54 HOTCHKIS & WILEY 035 MET S 49,700 30.05 MILLENIUM PARTNERS 028 MHK B 10,000 36.72 HIGHBRIDGE CAPITAL 038 MOH SS 35,000 22.70 LATEFF MGMT 035 MRO S 300 30.13 JENNISON 032 MSFT B 232,000 23.84 COUGAR TRADING 044 M SS 10,000 11.81 CATAPULT 040 NAV B 26,067 40.93 LATEFF MGMT 035 OLN S 1,000 12.17 CSFB GLOBAL PROPRIETARY 041 PKG B 5,000 16.84 LATEFF MGMT 035 PKG S 500 17.01 BUCK CAPITAL MGMT 001 PVH B 20,000 29.45	COUGAR TRADING 044 LVS B 10,000 8.00 n/a HOLDEN CAPITAL MGMT 035 LVS B 25,000 8.12 n/a THIRD COAST CAPITAL 035 LVS B 50,000 8.03 n/a WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a ARCHON PARTNERS 032 MAR B 30,213 21.54 n/a HOTCHKIS & WILEY 035 MET S 49,700 30.05 n/a MILLENIUM PARTNERS 028 MHK B 10,000 36.72 n/a HIGHBRIDGE CAPITAL 038 MOH SS 35,000 22.70 n/a LATEFF MGMT 035 MRO S 300 30.13 n/a COUGAR TRADING 044 M SS 10,000 11.81 n/a CATAPULT 040 NAV B 26,067 40.93 n/a LATEFF MGMT 035 OLN S 1,000 12.17 n/a CSFB GLOBAL PROPRIETARY 041 PKG B 5,000 16.84 8-Apr LATEFF MGMT 035 PKG S 500 17.01 8-Apr BUCK CAPITAL MGMT 001 PVH B 20,000 29.45 20-Apr	COUGAR TRADING 044 LVS B 10,000 8.00 n/a 14-Jul HOLDEN CAPITAL MEMT 035 LVS B 25,000 8.12 n/a 14-Jul THIRD COAST CAPITAL 035 LVS B 50,000 8.03 n/a 14-Jul WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul ARCHON PARTNERS 032 MAR B 30,213 21.54 n/a n/a n/a HOTCHKIS & WILEY 035 MET S 49,700 30.05 n/a n/a n/a MILLENIUM PARTNERS 028 MHK B 10,000 36.72 n/a n/a n/a HIGHBRIDGE CAPITAL 038 MOH SS 35,000 22.70 n/a n/a n/a LATEFF MGMT 035 MRO S 300 30.13 n/a n/a 3-Apr COUGAR TRADING 044 M SS 10,000 11.81 n/a 10-Jul CATAPULT 040 NAV B 26,067 40.93 n/a n/a 10-Jul CATAPULT 040 NAV B 26,067 40.93 n/a n/a 10-Jul CATAPULT 035 PKG S 500 17.01 8-Apr 23-Jun LATEFF MGMT 035 PKG S 500 17.01 8-Apr 23-Jun BUCK CAPITAL MGMT 001 PVH B 20,000 29.45 20-Apr 21-May	CCUCAR TRADING 044 LVS B 10,000 B.00 n/a 14-Jul 400.00 HOLDEN CAPITAL MGMT 035 LVS B 25,000 B.12 n/a 14-Jul 1,250.00 THIRD COAST CAPITAL 035 LVS B 50,000 8.03 n/a 14-Jul 2,500.00 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 ARCHON FARTNERS 032 MAR B 30,213 21.54 n/a n/a n/a 906.39 HOTCHKIS & WILEY 035 MET S 49,700 30.05 n/a n/a n/a 2,485.00 MILLENIUM FARTNERS 028 MHK B 10,000 36.72 n/a n/a 14-Jul 1,400.00 HIGHBRIDGE CAPITAL 038 MOH SS 35,000 22.70 n/a n/a n/a 1,400.00 LATEFF MGMT 035 MRO S 300 30.13 n/a n/a 96.00 JENNISON 032 MSFT B 232,000 23.84 n/a 3-Apr 8,584.00 COUGAR TRADING 044 M SS 10,000 11.81 n/a 10-Jul 500.00 CATAPULT 040 NAV B 26,067 40.93 n/a n/a 1,303.35 LATEFF MGMT 035 PKG S 500 17.01 B-Apr 23-Jun 120.00 BUCK CAPITAL MGMT 035 PKG S 500 17.01 B-Apr 23-Jun 100.00 BUCK CAPITAL MGMT 001 PVH B 20,000 29.45 20-Apr 21-May 800.00	COUGAR TRADING 044 LVS B 10,000 8.00 n/a 14-Jul 400.00 4.0 HOLDEN CAPITAL MGMT 035 LVS B 25,000 8.12 n/a 14-Jul 1,250.00 5.0 THIRD COAST CAPITAL 035 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 5.0 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 3.0 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 3.0 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 3.0 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 3.0 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 3.0 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 3.0 WAGONHOUND/NIC 048 LVS B 50,000 7.83 n/a 14-Jul 1,500.00 5.0 WAGONHOUND/NIC 048 LVS B 50,000 30.05 n/a n/a 2,485.00 5.0 WAGONHOUND/NIC 048 MAR B 10,000 36.72 n/a n/a 1,400.00 4.0 WAGONHOUND/NIC 048 MAR B 10,000 36.72 n/a n/a 1,400.00 4.0 WAGONHOUND/NIC 048 MAR B 10,000 36.72 n/a n/a 1,400.00 4.0 WAGONHOUND/NIC 048 MAR B 10,000 36.72 n/a n/a 1,400.00 4.0 WAGONHOUND/NIC 048 MAR B 10,000 36.72 n/a n/a 1,400.00 4.0 WAGONHOUND/NIC 048 MAR B 232,000 23.84 n/a 3-Apr 8,584.00 3.7 WAGONHOUND/NIC 049 WAGON

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
MATLIN PATTERSON	046	SFG	В	30,000	30.79	n/a	n/a	900.00	3.0
GRANITE CAPITAL	045	SHPGY	S	19,400	40.92	20-Feb	14-Jul	970.00	5.0
MILLENIUM PARTNERS	028	SHW	В	20,000	54.75	17-Apr	9-Jul	800.00	4.0
HUNTER GLOBAL INVESTOR	067	SYY	SS	30,100	22.06	n/a	24-Apr	1,505.00	5.0
LATEFF MGMT	035	TEVA	S	150	49.84	18-Feb	14-Jul	75.00	50.0
MTB INV ADV	034	THS	S	3,950	28.57	n/a	n/a	197.50	5.0
BMO NESBITT BURNS	041	TIN	SS	25,000	13.77	9-Jul	9-Jul	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	S	25,800	13.52	9-Jul	9-Jul	1,290.00	5.0
THOMAS WEISEL ASSET MGMT	035	TWP	В	4,200	12.79	n/a	n/a	126.00	3.0
ELM RIDGE ADVISORS	044	UFS	В	74,537	14.50	n/a	n/a	2,981.48	4.0
LATEFF MGMT	035	UN	S	250	25.32	n/a	n/a	80.00	32.0
HOLLIS CAPITAL	033	URBN	В	10,000	21.89	n/a	30-Jan	500.00	5.0
PATTEN & PATTEN	067	VXX	В	3,800	67.15	n/a	n/a	190.00	5.0
HOTCHKIS & WILEY	035	WFC	S	115,000	25.06	n/a	n/a	5,750.00	5.0
COUGAR TRADING	044	WRC	S	10,000	33.11	13-May	13-May	500.00	5.0

TOTAL (Trade Date): 89,313.88

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
CRT	07/15	MILLENIUM PARTNERS (MILPUSE)	028	МНК	В	10,000	36.72	n/a	n/a	400.00	4.0
AO,CXL	07/14	STELLIAM INV ADV (STLLGSBULK)	034	NVLS	SS	20,000	19.05	n/a	n/a	1000.00	5.0
AO,	07/14	STELLIAM INV ADV (STLLGSBULK)	034	NVLS	SS	10,000	19.10	n/a	n/a	500.00	5.0
AO,CRT	07/14	STELLIAM INV ADV (STLLGSBULK)	034	NVLS	SS	10,000	19.00	n/a	n/a	500.00	5.0
CRT	07/15	MILLENIUM PARTNERS (MILPUSE)	028	SHW	В	20,000	54.75	17-Apr	9-Jul	800.00	4.0
AO,	07/14	LISTED ERR (LISTED ERR)	099	YUM	В	40	36.27	n/a	15-Jul	0.00	0.0
AO, CXL	07/14	LISTED ERR (LISTED ERR)	099	YUM	S	40	36.45	n/a	15-Jul	0.00	0.0
AO, CRT	07/14	LISTED ERR (LISTED ERR)	099	YUM	s	40	36.27	n/a	15-Jul	0.00	0.0

TOTAL (RUN DATE) / NFS:	90,513.88
TOTAL (AO, CXL, CRT):	1,200.00
TOTAL (Trade Date):	89,313.88

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