



Daily Compliance Activity Report

Trade Date: 05/01/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	048	AOC	B	10,200	36.97	n/a	n/a	408.00	4.0
COUGAR TRADING	044	ARO	B	5,000	33.70	n/a	13-Apr	250.00	5.0
TROUBH PART	067	BAC	B	25,000	8.96	2-Mar	24-Apr	1,250.00	5.0
WHITE PINE CAPITAL	030	BEBE	B	100	9.22	n/a	n/a	5.00	5.0
MILLENNIUM-ANDEW	031	BGC	S	20,000	33.15	n/a	n/a	1,600.00	8.0
FIRST NY SEC/CHRIS	041	BKC	B	10,000	16.81	16-Apr	29-Apr	500.00	5.0
BRENCOURT	028	BWA	SS	50,000	28.73	1-May	1-May	2,500.00	5.0
TRUST CO/COWEN/CALF.	040	BX	S	88,120	11.02	n/a	n/a	3,524.80	4.0
BUCK CAPITAL MGMT	001	CAT	B	70,000	36.61	n/a	22-Apr	2,800.00	4.0
NEWCASTLE FUNDS	033	CHD	S	10,000	53.71	27-Apr	27-Apr	400.00	4.0
GLOBAL 56 LLC	060	CHK	B	3,500	20.84	n/a	n/a	140.00	4.0
WELLS/STRONG LEDDY	035	CHRS	B	4,700	3.57	n/a	22-Mar	141.00	3.0
WHITE PINE CAPITAL	030	CHS	B	200	7.61	5-Dec	30-Jan	10.00	5.0
KACELA CAPITAL	034	CLX	B	13,000	55.69	10-Feb	20-Mar	520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	CL	B	71,300	59.57	16-Mar	1-May	2,852.00	4.0
NEWCASTLE FUNDS	033	CL	SS	58,500	60.29	16-Mar	1-May	2,340.00	4.0
JP MORGAN VENTURES	046	DKS	B	20,000	18.90	27-Apr	27-Apr	1,000.00	5.0
S.A.C. CAP/ORENSTEIN	044	DOV	B	200,000	30.80	n/a	n/a	8,000.00	4.0
Õ Steven Maguire		DRYS	B	5000	8.5300	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EAT	B	58,000	17.89	n/a	24-Apr	2,320.00	4.0
Õ Steven Maguire		EGLE	B	10000	7.2000	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	EVR	S	8,420	19.30	n/a	n/a	336.80	4.0
COOKBIELER	028	FDO	S	75,000	32.13	5-Mar	8-Apr	3,000.00	4.0
BRANDWINE	028	FO	S	41,000	42.09	n/a	n/a	1,640.00	4.0
BUCK CAPITAL MGMT	001	GES	B	30,000	26.07	n/a	n/a	1,200.00	4.0
TROUBH PART	067	GE	B	75,000	12.68	n/a	n/a	3,750.00	5.0
M&I FUNDS	031	GME	B	20,000	29.34	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	HAR	SS	10,000	19.53	12-Mar	1-May	500.00	5.0
BASIX	033	HAR	B	18,000	19.63	12-Mar	1-May	540.00	3.0
PEQUOT CAPITAL MGMT	070	HAR	SS	11,000	18.86	12-Mar	1-May	440.00	4.0
JETSTREAM GLOBAL FUND LP	065	HPQ	S	9,800	36.52	n/a	n/a	490.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REICH AND TANG	067	HSC	S	115,000	27.25	29-Jan	24-Apr	5,750.00	5.0
ELM RIDGE ADVISORS	044	IP	B	41,000	12.96	n/a	1-May	1,640.00	4.0
BUCK CAPITAL MGMT	001	JWN	SS	10,000	22.27	20-Feb	13-Apr	400.00	4.0
CUMBERLAND	038	LINTA	B	25,000	5.70	n/a	n/a	750.00	3.0
MILLENIUM PARTNERS	028	LOW	B	118,580	21.12	31-Mar	31-Mar	4,743.20	4.0
AVESTA CAP	229	MCD	B	25,000	52.07	n/a	22-Apr	1,000.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	B	100,000	52.43	n/a	22-Apr	4,000.00	4.0
RAINIER INV MGMT	035	ME	B	71,760	12.05	n/a	n/a	3,588.00	5.0
STADIA CAPITAL	035	M	B	62,300	13.80	n/a	13-Apr	2,492.00	4.0
SCOPUS FUND	041	PAG	B	100	13.30	n/a	23-Apr	5.00	5.0
ACK ASSET	028	PCAR	SS	11,300	34.43	25-Mar	25-Mar	339.00	3.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.49	n/a	n/a	2,150.00	5.0
WOOSTER CAPITAL	035	RL	SS	35,000	54.39	n/a	16-Apr	1,750.00	5.0
ROTHSCHILD ASSET	040	SJM	S	5,340	39.43	n/a	n/a	240.30	4.5
PZENA INV ADV	044	SLE	B	59,907	8.27	n/a	n/a	2,096.77	3.5
BENCHMARK	028	SLM	B	20,000	5.23	23-Apr	29-Apr	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	SM	B	10,000	18.10	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	TGT	B	20,000	40.54	25-Feb	22-Apr	1,000.00	5.0
ROYCE TRADING	216	TIN	S	10,000	11.84	n/a	22-Apr	500.00	5.0
COUGAR TRADING	044	TJX	B	10,000	27.99	n/a	13-Apr	500.00	5.0
ROYCE TRADING	216	TRN	S	5,000	14.43	n/a	n/a	250.00	5.0
FORD FDN.	032	UHS	S	15,000	49.23	28-Apr	28-Apr	750.00	5.0
JP MORGAN VENTURES	046	URBN	B	25,000	19.16	n/a	30-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	WMT	S	50,000	49.91	n/a	9-Apr	2,000.00	4.0
RBC CAPITAL MARKETS	034	WMT	S	20,000	49.42	n/a	9-Apr	800.00	4.0
TOTAL (Trade Date):								82,551.87	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	04/30	CARDINAL CAPITAL (CARDMIDCAP)	044	AMG	S	200	60.49	30-Apr	30-Apr	10.00	5.0
AO,	04/30	CARDINAL CAPITAL (CARDMIDCAP)	044	AMG	S	200	60.49	30-Apr	30-Apr	10.00	5.0
AO,	04/30	NEUBERGER BERMAN (NBER502183)	036	INTU	B	385	23.08	n/a	n/a	17.33	4.5
AO,	04/30	NEUBERGER BERMAN (NBER545700)	036	INTU	B	1,205	23.08	n/a	n/a	54.23	4.5
AO,	04/30	NEUBERGER BERMAN (NBER551980)	036	INTU	B	1,950	23.08	n/a	n/a	87.75	4.5
AO,CXL	04/30	NEUBERGER BERMAN (NBER551860)	036	INTU	B	19,895	23.08	n/a	n/a	895.28	4.5
AO,CXL	04/30	BUCK CAPITAL MGMT (BUCKJPMBS)	001	IVZ	B	500	15.24	7-Apr	23-Apr	20.00	4.0
AO,CRT	04/30	BUCK CAPITAL MGMT (BUCKGIL)	001	IVZ	B	500	15.24	7-Apr	23-Apr	20.00	4.0
AO,	04/30	GOLDMAN SACHS ASSET MGMT (GSAM508)	044	JCP	B	23,600	30.61	13-Apr	23-Apr	472.00	2.0
AO,	04/30	GOLDMAN SACHS ASSET MGMT (GSAM554)	044	JCP	B	24,900	30.58	13-Apr	23-Apr	498.00	2.0
AO,	04/30	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	JCP	B	132,801	30.58	13-Apr	23-Apr	2656.02	2.0
AO,CXL	04/28	HARVEST MGMT (HARVGSCO)	039	PEET	S	3,800	23.76	n/a	n/a	190.00	5.0
AO,CRT	04/28	JMP ASSET MGMT (JMPAGS)	210	PEET	S	3,800	23.76	n/a	n/a	190.00	5.0
AO,	04/30	COLUMBUS CIRCLE (COLC3060)	036	WFMI	B	9,244	20.40	n/a	n/a	369.76	4.0
AO,	04/30	COLUMBUS CIRCLE (COLC3060)	036	WFMI	B	323	20.33	n/a	n/a	12.92	4.0
AO,CXL	04/29	FARALLON CAP MGMT (FARABULK F)	040	XLY	B	136,921	23.04	n/a	n/a	5476.84	4.0
AO,CRT	04/29	FARALLON CAP MGMT (FARABULK F)	040	XLY	B	136,921	23.04	n/a	n/a	4107.63	3.0
TOTAL (AO, CXL, CRT) :										1,903.52	

TOTAL (Trade Date):	82,551.87
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TOTAL (RUN DATE) / NFS:	84,455.39
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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