



## Daily Compliance Activity Report

Trade Date: 04/24/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	AAPL	B	225	123.12	n/a	n/a	11.25	5.0
RBC CAPITAL MARKETS	034	AAP	B	10,000	42.75	n/a	n/a	400.00	4.0
REINHART & MAHONEY	031	ABT	B	380	43.03	n/a	22-Apr	19.00	5.0
REINHART & MAHONEY	031	AFG	B	1,000	16.89	n/a	n/a	50.00	5.0
REINHART & MAHONEY	031	AGL	B	200	28.60	n/a	n/a	10.00	5.0
AAD CAPITAL	048	ALV	SS	30,000	25.80	12-Mar	22-Apr	1,200.00	4.0
BALYASNY ASSET MGMT	044	ARO	B	25,000	33.21	n/a	13-Apr	1,250.00	5.0
REINHART & MAHONEY	031	ATVI	B	500	10.32	n/a	n/a	25.00	5.0
ROTHSCHILD ASSET	040	AXE	S	19,060	34.83	30-Mar	30-Mar	857.70	4.5
PORTER-ORLIN-FELDMAN	044	BAC	B	100,000	9.22	2-Mar	24-Apr	3,000.00	3.0
CIRCLE T PART	035	BKC	S	25,000	18.62	16-Apr	16-Apr	1,250.00	5.0
REINHART & MAHONEY	031	BRKB	B	52,874.50		n/a	n/a	0.25	5.0
BMO NESBITT BURNS	041	BWA	SS	35,000	27.13	12-Mar	20-Apr	1,750.00	5.0
BNP PARIBAS SEC	040	BWA	SS	5,000	27.74	12-Mar	20-Apr	200.00	4.0
ROYCE TRADING	216	CAB	S	5,000	12.12	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	CIT	B	1,089,900	2.43	23-Apr	24-Apr	27,247.50	2.5
BARROW HANLEY MEWHINNEY	031	COP	B	54,400	41.16	n/a	n/a	2,176.00	4.0
REINHART & MAHONEY	031	CSCO	B	610	18.33	n/a	22-Mar	30.50	5.0
NEUBERGER BERMAN	036	CTSH	S	266,500	22.80	n/a	n/a	11,992.50	4.5
T. ROWE PRICE	033	CVS	S	328,300	29.64	n/a	n/a	9,849.00	3.0
KEEFE BRUYETTE WOODS A	045	DFS	B	49,600	8.80	n/a	24-Apr	1,984.00	4.0
REINHART & MAHONEY	031	DNR	B	500	16.55	n/a	n/a	25.00	5.0
UBS OCONNOR	031	EV	C	65,500	25.77	7-Apr	20-Apr	1,965.00	3.0
NEWCASTLE FUNDS	033	FBN	B	40,000	2.56	n/a	n/a	1,600.00	4.0
SYSTEMATIC FINANCIAL MGT	035	FL	B	250,000	11.96	24-Mar	24-Mar	8,749.99	3.5
CANTILLON CAPITAL	040	F	B	1,000,000	5.22	n/a	23-Apr	20,000.00	2.0
TRELLUS PARTNERS LP	028	F	S	100,000	5.12	n/a	23-Apr	3,000.00	3.0
REINHART & MAHONEY	031	GE	B	2,500	12.20	n/a	n/a	125.00	5.0
REINHART & MAHONEY	031	GLD	B	180	89.76	n/a	n/a	9.00	5.0
COUGAR TRADING	044	HAR	B	10,000	19.62	12-Mar	20-Apr	500.00	5.0
BARROW HANLEY MEWHINNEY	031	HON	B	53,300	31.26	n/a	24-Apr	2,132.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	HON	B	25,000	31.56	n/a	24-Apr	1,250.00	5.0
REINHART & MAHONEY	031	HPQ	B	500	35.77	n/a	n/a	25.00	5.0
WAGONHOUND/NIC	048	HSC	B	6,854	27.56	29-Jan	24-Apr	274.16	4.0
BMO NESBITT BURNS	041	HST	B	12,600	7.80	n/a	n/a	378.00	3.0
REINHART & MAHONEY	031	IBM	B	190	100.01	n/a	n/a	9.50	5.0
REINHART & MAHONEY	031	INTC	B	1,400	15.60	n/a	n/a	70.00	5.0
MILLENIUM PARTNERS	028	IP	B	55,000	10.11	n/a	20-Apr	2,750.00	5.0
REINHART & MAHONEY	031	IWC	B	1,000	30.13	n/a	n/a	50.00	5.0
RBC CAPITAL MARKETS	034	JCP	B	10,000	27.51	13-Apr	23-Apr	400.00	4.0
REINHART & MAHONEY	031	JNJ	B	665	50.97	n/a	22-Apr	33.25	5.0
REINHART & MAHONEY	031	JPM	B	300	34.03	16-Jan	24-Apr	15.00	5.0
FIRST NY SEC/CHRIS	041	KG	B	25,000	8.16	n/a	24-Apr	1,250.00	5.0
BMO NESBITT BURNS	041	KNX	B	25,000	17.05	n/a	n/a	1,250.00	5.0
COLUMBIA PARTNERS	028	KR	S	50,951	21.43	n/a	n/a	2,038.04	4.0
RBC CAPITAL MARKETS	034	KR	S	15,000	21.46	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	034	LOW	S	20,000	21.06	31-Mar	31-Mar	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE/MS OLDS	041	LPX	S	350,000	4.11	3-Mar	20-Apr	17,500.00	5.0
NEWCASTLE FUNDS	033	LTM	B	270,000	17.59	n/a	n/a	10,800.00	4.0
RBC CAPITAL MARKETS	034	MAR	B	10,000	21.95	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MOV</b>	<b>SS</b>	<b>30,000</b>	<b>8.67</b>	<b>n/a</b>	<b>n/a</b>	<b>900.00</b>	<b>3.0</b>
REINHART & MAHONEY	031	MSFT	B	1,700	21.00	n/a	3-Apr	85.00	5.0
TRUST CO/COWEN/CALF.	040	MU	B	126,080	4.79	n/a	n/a	5,043.20	4.0
MAZAMA CAPITAL MGMT.	035	NILE	S	31,360	41.54	n/a	n/a	1,254.40	4.0
ELM RIDGE ADVISORS	044	PCL	S	121,500	36.59	n/a	20-Apr	4,860.00	4.0
CAXTON PART	040	PEP	B	12,720	48.65	n/a	n/a	445.21	3.5
CR INTRINIC INVESTMENT	044	PFE	S	40,000	13.17	n/a	31-Mar	1,600.00	4.0
REINHART & MAHONEY	031	PG	B	350	49.70	12-Mar	20-Mar	17.50	5.0
BASIX	033	PKG	B	10,000	16.09	8-Apr	21-Apr	300.00	3.0
REINHART & MAHONEY	031	RGA	B	1,000	30.12	n/a	n/a	50.00	5.0
ROYCE TRADING	216	RSC	S	3,500	12.37	n/a	n/a	175.00	5.0
REINHART & MAHONEY	031	RSG	B	500	19.65	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	RTN	S	15,000	43.91	n/a	n/a	600.00	4.0
ROYCE TRADING	216	SEH	B	12,500	4.06	n/a	n/a	375.00	3.0
REINHART & MAHONEY	031	SHPGY	B	550	38.93	20-Feb	21-Apr	27.50	5.0
COUGAR TRADING	044	SMG	B	4,200	38.14	5-Feb	15-Apr	210.00	5.0
NEWCASTLE FUNDS	033	SMG	B	25,000	38.58	5-Feb	15-Apr	1,000.00	4.0
ROYCE TRADING	216	SM	B	25,000	17.67	n/a	n/a	1,250.00	5.0
REINHART & MAHONEY	031	SRE	B	800	45.00	n/a	n/a	40.00	5.0
REINHART & MAHONEY	031	TEVA	B	390	44.27	18-Feb	21-Apr	19.50	5.0
RBC CAPITAL MARKETS	034	TGT	B	10,000	40.32	25-Feb	22-Apr	400.00	4.0
BMO NESBITT BURNS	041	TIN	SS	45,000	10.98	n/a	22-Apr	2,250.00	5.0
MILLENIUM PARTNERS	028	TIN	S	50,000	10.93	n/a	22-Apr	2,500.00	5.0
ROYCE TRADING	216	TIN	S	10,000	10.16	n/a	22-Apr	500.00	5.0
FORD FDN.	032	TMO	B	40,000	32.84	n/a	n/a	2,000.00	5.0
REINHART & MAHONEY	031	TTEK	B	600	22.11	n/a	n/a	30.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>SS</b>	<b>75,000</b>	<b>68.51</b>	<b>n/a</b>	<b>n/a</b>	<b>3,000.00</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	WGL	S	12,960	30.53	n/a	n/a	583.20	4.5
RBC CAPITAL MARKETS	034	WMT	S	15,000	48.00	n/a	9-Apr	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	034	WRC	B	10,000	28.50	20-Apr	20-Apr	400.00	4.0
<b>TOTAL (Trade Date):</b>							<b>172,092.15</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/23	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	AB	B	90,581	16.19	20-Feb	22-Apr	3623.24 4.0
AO,	04/23	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	EV	SS	76,246	24.75	7-Apr	20-Apr	3049.84 4.0
AO,CXL	04/21	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	EVR	B	5,100	14.50	n/a	n/a	255.00 5.0
AO,CRT	04/21	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	EVR	B	5,100	14.50	n/a	n/a	204.00 4.0
AO,CXL	04/23	CATAPULT (CATADEUTCH)	040	HXL	S	16,859	8.46	n/a	n/a	842.95 5.0
AO,CRT	04/23	CATAPULT (CATADEUTCH)	040	HXL	S	16,859	8.46	n/a	n/a	674.36 4.0
AO,CXL	04/23	SCHOTTENFELD ASSOC (SCHOASSOC)	041	MWV	B	30,000	14.40	28-Jan	20-Apr	1200.00 4.0
AO,CRT	04/23	SCHOTTENFELD ASSOC (SCHOASSOC)	041	MWV	B	30,000	14.40	28-Jan	20-Apr	900.00 3.0
AO,	04/23	COLUMBIA PARTNERS (COLP434LAB)	028	PXD	S	8,069	21.46	n/a	3-Apr	322.76 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP496ALL)	028	PXD	S	90	21.46	n/a	3-Apr	3.60 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP526RVP)	028	PXD	S	155	21.46	n/a	3-Apr	6.20 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP000MER)	028	PXD	S	476	21.46	n/a	3-Apr	19.04 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP418NLP)	028	PXD	S	46	21.46	n/a	3-Apr	1.84 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP418BCA)	028	PXD	S	1,016	21.46	n/a	3-Apr	40.64 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP3820FN)	028	PXD	S	163	21.46	n/a	3-Apr	6.52 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP505WNS)	028	PXD	S	24	21.46	n/a	3-Apr	0.96 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP089AB)	028	PXD	S	264	21.46	n/a	3-Apr	10.56 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP421BI)	028	PXD	S	1,244	21.46	n/a	3-Apr	49.76 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP066NMC)	028	PXD	S	522	21.46	n/a	3-Apr	20.88 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP384EFC)	028	PXD	S	176	21.46	n/a	3-Apr	7.04 4.0
AO,	04/23	COLUMBIA PARTNERS (COLP385EFC)	028	PXD	S	176	21.46	n/a	3-Apr	7.04 4.0
AO,CRT	04/23	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	30,000	3.55	n/a	n/a	1500.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/23	FIRST NEW YORK NICK (FNYNGS)	029	Q	S	30,000	3.55	n/a	n/a	1500.00 5.0
AO,CXL	04/22	JMP ASSET MGMT (JMPAGS)	210	RSH	S	7,200	10.97	n/a	n/a	360.00 5.0
AO,CRT	04/22	JMP ASSET MGMT (JMPABOABA)	210	RSH	S	7,200	10.97	n/a	n/a	360.00 5.0
AO,CXL	04/23	THIRD COAST CAPITAL (3CAPPBOA)	035	SKS	S	35,000	4.05	n/a	n/a	1750.00 5.0
AO,CRT	04/23	THIRD COAST CAPITAL (3CAPPBOA)	035	SKS	S	35,000	4.05	n/a	n/a	1050.00 3.0

**TOTAL (AO, CXL, CRT) :** **5,950.33**

TOTAL (Trade Date) : 172,092.15  
TOTAL (AO, CXL, CRT) : 5,950.33

**TOTAL (RUN DATE) / NFS:** **178,042.48**



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