



Daily Compliance Activity Report

Trade Date: 06/10/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	ADVS	S	22,900	30.57	n/a	n/a	1,030.50	4.5
HIGHBRIDGE CAPITAL	038	ALV	SS	7,140	31.60	10-Jun	10-Jun	357.00	5.0
HIGHBRIDGE CAPITAL	038	ALV	S	22,860	31.52	10-Jun	10-Jun	1,143.00	5.0
BUCK CAPITAL MGMT	001	AN	B	47,000	18.09	10-Jun	10-Jun	1,880.00	4.0
SCOPUS FUND	041	AN	S	80,000	18.17	10-Jun	10-Jun	4,000.00	5.0
NEUBERGER BERMAN	036	ARD	S	23,900	35.15	n/a	n/a	1,075.50	4.5
DSG CAPITAL	225	AXL	B	5,300	3.85	n/a	10-Jun	265.00	5.0
DSG CAPITAL	225	AXL	S	5,300	4.20	n/a	10-Jun	265.00	5.0
TRELLUS PARTNERS LP	028	AXL	B	69,000	3.99	n/a	10-Jun	690.00	1.0
TRELLUS PARTNERS LP	028	AXL	S	69,000	4.56	n/a	10-Jun	2,070.00	3.0
JP MORGAN VENTURES	046	BKC	B	6,600	16.56	16-Apr	29-Apr	330.00	5.0
BUCK CAPITAL MGMT	001	BWA	B	112,500	35.33	10-Jun	10-Jun	4,500.00	4.0
COOPER CREEK PART	028	CBL	S	75,000	6.32	n/a	n/a	2,250.00	3.0
DC CAPITAL	044	CBS	B	200,000	8.33	n/a	n/a	10,000.00	5.0
JP MORGAN VENTURES	046	COH	SS	20,000	27.69	9-Jan	22-Apr	1,000.00	5.0
AELTUS/ING INVESTMENT MGT	215	DOV	B	122,856	35.48	n/a	n/a	4,299.97	3.5
MORGAN BANK /JPM	070	EBAY	B	116,000	17.43	n/a	n/a	3,480.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.60	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	F	SS	50,000	6.25	n/a	3-Jun	2,000.00	4.0
NEUBERGER BERMAN	036	GCA	B	150,300	7.02	n/a	n/a	4,509.00	3.0
STANDARD PACIFIC CAPITAL	040	GIL	SS	70,000	16.69	n/a	14-May	3,500.00	5.0
DSG CAPITAL	225	GLW	B	10,000	16.20	28-May	28-May	500.00	5.0
SCOPUS FUND	041	GNTX	S	40,900	13.59	10-Jun	10-Jun	2,045.00	5.0
JP MORGAN VENTURES	046	GPS	SS	40,000	16.67	n/a	30-Jan	2,000.00	5.0
DSG CAPITAL	225	HAR	B	2,500	21.03	10-Jun	10-Jun	125.00	5.0
DSG CAPITAL	225	HAR	S	2,500	21.82	10-Jun	10-Jun	125.00	5.0
LAGRANGE CAP ADV	048	HAR	SS	5,000	22.00	10-Jun	10-Jun	250.00	5.0
BUCK CAPITAL MGMT	001	HAS	SS	10,000	26.17	n/a	n/a	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	56,600	15.63	n/a	1-May	2,830.00	5.0
TYEE/TYGH	035	IVZ	B	25,000	17.90	5-Jun	9-Jun	1,000.00	4.0
JP MORGAN VENTURES	046	IWM	B	2,000	51.86	n/a	n/a	100.00	5.0
JP MORGAN VENTURES	046	IYR	B	4,000	33.82	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	26.25	n/a	30-Jan	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWCASTLE FUNDS	255	LTM	S	3,600	20.83	n/a	n/a	144.00	4.0
NEUBERGER BERMAN	036	MDAS	B	125,000	16.77	n/a	n/a	5,625.00	4.5
ROTHSCHILD ASSET	040	MKC	S	5,900	31.13	n/a	n/a	265.50	4.5
AELTUS/ING INVESTMENT MGT	215	MON	B	10,000	84.46	n/a	27-May	350.00	3.5
HOLLIS CAPITAL	033	MOS	B	5,000	55.55	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	MVL	SS	10,000	36.87	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	MWV	S	14,033	16.53	28-Jan	30-Apr	631.50	4.5
BUCK CAPITAL MGMT	001	MW	SS	10,000	19.99	n/a	n/a	400.00	4.0
AELTUS/ING INVESTMENT MGT	215	ORI	S	135,200	9.89	n/a	n/a	4,732.00	3.5
M&I FUNDS	256	PBY	S	28,629	9.60	n/a	n/a	858.87	3.0
JP MORGAN VENTURES	046	PHM	B	15,000	9.30	n/a	n/a	450.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	17.08	8-Apr	21-Apr	500.00	5.0
SCOPUS FUND	041	PKG	B	10,000	16.89	8-Apr	21-Apr	500.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	14.23	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	SLAB	B	52,500	38.23	n/a	n/a	2,362.50	4.5
DIAMONDBACK CAP MGMT	232	SMG	S	10,000	36.51	10-Jun	10-Jun	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	SOHU	S	3,124	68.15	n/a	n/a	140.61	4.5
COOPER CREEK PART	028	TEN	S	10,000	9.79	n/a	n/a	300.00	3.0
ASCEND PARTNERS	033	TJX	B	99,500	30.45	4-May	5-Jun	4,975.00	5.0
AVESTA CAP	229	TJX	B	25,000	30.25	4-May	5-Jun	1,000.00	4.0
SCHOTTENFELD ASSOC	041	TLB	S	50,000	4.90	n/a	30-Jan	2,500.00	5.0
JP MORGAN VENTURES	046	TLT	B	3,000	88.38	n/a	n/a	150.00	5.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	23,798	22.36	n/a	30-Jan	951.92	4.0
ROTHSCHILD ASSET	040	WDR	B	11,342	27.18	5-Jun	10-Jun	510.40	4.5
NEWCASTLE FUNDS	255	WFMI	SS	20,000	21.45	n/a	n/a	800.00	4.0
TROUBH PART	067	WMT	B	25,000	50.32	11-May	9-Jun	1,250.00	5.0
ASCEND PARTNERS	033	XRT	C	61,800	28.28	n/a	n/a	3,090.00	5.0
BMO NESBITT BURNS	041	YUM	B	25,000	35.16	n/a	22-Apr	1,250.00	5.0
TOTAL (Trade Date) :								95,507.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/09	STELLIAM INV ADV (STLLGSBULK)	034	BEAV	B	22,000	16.48	n/a	n/a	1100.00 5.0
AO,CRT	06/09	STELLIAM INV ADV (STLLMSEXEC)	034	BEAV	B	22,000	16.48	n/a	n/a	1100.00 5.0
AO,	06/09	AELTUS/ING IVESTMENT MGT (AELTBALFEM)	215	WDR	B	800	27.73	5-Jun	10-Jun	28.00 3.5
AO,	06/09	AELTUS/ING IVESTMENT MGT (AELTINGPMC)	215	WDR	B	10,600	27.73	5-Jun	10-Jun	371.00 3.5
AO,	06/09	AELTUS/ING IVESTMENT MGT (AELTPMCP)	215	WDR	B	42,400	27.73	5-Jun	10-Jun	1484.00 3.5
AO,	06/09	AELTUS/ING IVESTMENT MGT (AELTBALPEM)	215	WDR	B	4,000	27.73	5-Jun	10-Jun	140.00 3.5
AO,	06/09	RK CAPITAL MGMT LLC (RKCAMS)	045	ZOLT	B	30,000	12.47	n/a	n/a	1500.00 5.0
TOTAL (AO, CXL, CRT) :										3,523.00

TOTAL (Trade Date) :	95,507.27
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TOTAL (RUN DATE) / NFS :	99,030.27
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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