



Daily Compliance Activity Report

Trade Date: 06/18/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	ABC	B	12,300	18.34	n/a	n/a	492.00	4.0
STADIA CAPITAL	035	ABT	S	5,600	47.41	n/a	22-Apr	224.00	4.0
COUGAR TRADING	044	AEO	B	5,000	13.68	20-Apr	5-Jun	250.00	5.0
JMP ASSET MGMT	210	AGCO	B	3,000	27.60	n/a	20-May	150.00	5.0
SUN AMERICA ASSET MGMT	030	ALTR	B	10,200	16.17	n/a	n/a	408.00	4.0
WAGONHOUND/NIC	048	ALV	S	608	26.82	10-Jun	10-Jun	24.32	4.0
BASIX	033	AOS	B	24,000	31.77	16-Jun	16-Jun	720.00	3.0
CIRCLE T/SES PART	035	AXL	B	25,000	3.49	n/a	10-Jun	750.00	3.0
FIRST NEW YORK LEDDY	035	AXL	B	10,000	3.49	n/a	10-Jun	600.00	6.0
SCOPUS FUND	041	AXL	B	35,000	3.47	n/a	10-Jun	1,750.00	5.0
TRELLUS PARTNERS LP	028	AXL	B	17,500	3.24	n/a	10-Jun	525.00	3.0
WAGONHOUND/NIC	048	AXL	B	100,210	3.41	n/a	10-Jun	3,006.30	3.0
HIGHBRIDGE/MS OLDS	041	CCI	S	12,331	22.49	n/a	n/a	493.24	4.0
MORGAN BANK /JPM	070	CELG	B	23,622	46.06	n/a	n/a	708.66	3.0
COUGAR TRADING	044	COH	B	5,000	25.28	n/a	22-Apr	250.00	5.0
SUN AMERICA ASSET MGMT	030	CRAY	B	19,700	6.30	n/a	n/a	788.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE/MS OLDS	041	CTV	B	11,440	24.12	n/a	n/a	457.60	4.0
GRANITE CAPITAL	045	DECK	B	10,000	68.31	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	DFS	S	58,361	9.53	n/a	18-Jun	1,750.83	3.0
NEUBERGER BERMAN	036	DFT	B	24,600	9.34	n/a	n/a	738.00	3.0
M&I FUNDS	256	DLTR	S	6,240	41.84	8-May	9-Jun	249.60	4.0
MORGAN BANK /JPM	070	DRI	S	15,882	33.56	19-Mar	17-Jun	476.46	3.0
SUN AMERICA ASSET MGMT	030	DV	S	11,400	48.76	n/a	n/a	456.00	4.0
BUCK CAPITAL MGMT	001	HGG	B	10,000	15.56	n/a	n/a	400.00	4.0
SUN AMERICA ASSET MGMT	030	IACI	S	16,900	16.23	n/a	n/a	676.00	4.0
BMO NESBITT BURNS	041	IP	B	25,000	14.20	n/a	1-May	1,250.00	5.0
COLONIAL FUND LLC	036	IP	B	72,500	14.25	n/a	1-May	3,625.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	68,000	14.22	n/a	1-May	3,400.00	5.0
NEWLAND CAPITAL MGT	067	IP	B	20,000	14.25	n/a	1-May	800.00	4.0
SCOPUS FUND	041	IP	B	48,000	14.22	n/a	1-May	2,400.00	5.0
NEUBERGER BERMAN	036	ISLE	B	7,600	11.71	n/a	26-Jan	342.00	4.5
DEFIANCE ASSET	028	JAKK	S	20,000	12.01	n/a	n/a	800.00	4.0
THE JAY GOLDMAN	034	JCP	B	30,000	26.02	13-Apr	5-Jun	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	KSS	B	10,000	43.57	8-May	5-Jun	600.00	6.0
GREEN ARROW CAPITAL	040	KSS	B	25,000	43.57	8-May	5-Jun	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	KSS	C	20,000	43.39	8-May	5-Jun	800.00	4.0
COLUMBIA PARTNERS	028	LHO	S	30,000	11.86	n/a	n/a	1,200.00	4.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	100,000	10.66	n/a	5-Jun	4,000.00	4.0
MKT MAKER	099	NCX	S	8	5.92	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	OVTI	S	20,000	11.05	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	OXM	SS	30,000	11.44	n/a	n/a	1,200.00	4.0
RAMIUS CAP	040	PCL	B	57,800	29.38	n/a	29-Apr	2,312.00	4.0
MOORE CAPITAL	036	PFE	SS	50,000	15.07	n/a	31-Mar	2,000.00	4.0
SCOPUS FUND	041	PKG	B	40,100	14.69	8-Apr	21-Apr	2,005.00	5.0
MORGAN BANK /JPM	070	PNRA	S	10,451	51.22	n/a	11-Jun	313.53	3.0
JP MORGAN VENTURES	046	PSUN	S	50,000	30.08	6-Feb	6-Feb	1,500.00	3.0
BUCK CAPITAL MGMT	001	RL	B	20,000	50.86	n/a	28-May	800.00	4.0
FIRST NEW YORK LEDDY	035	RSH	B	20,000	13.58	n/a	n/a	800.00	4.0
&SEN	028	TIN	B	31,100	12.12	5-Jun	5-Jun	1,244.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARCHON CAPITAL	035	TRMB	B	25,000	20.01	n/a	n/a	750.00	3.0
SACC-SCHWARTZ	044	VALE	B	50,000	18.74	n/a	n/a	2,000.00	4.0
SUFFOLK CAPITAL MGMT	040	WAG	B	297,500	31.54	n/a	n/a	11,900.00	4.0
ROTHSCHILD ASSET	040	WGL	S	25,040	32.23	n/a	n/a	1,126.80	4.5
STADIA CAPITAL	035	WLP	S	4,500	50.00	n/a	n/a	180.00	4.0
JMP ASSET MGMT	210	ZZRT	B	16,800	2.09	n/a	n/a	336.00	2.0
TOTAL (Trade Date) :								67,578.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/17	US BANCORP (USBCAMALGA)	030	CL	B	1,588	69.67	8-Jun	8-Jun	79.40 5.0
AO,CXL	06/17	US BANCORP (USBCAMALGA)	030	CL	B	1,588	69.67	8-Jun	8-Jun	79.40 5.0
AO,	06/17	ROTHSCHILD ASSET (ROTH464)	040	HRL	S	1,200	34.00	n/a	n/a	54.00 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH469)	040	HRL	S	9,290	34.00	n/a	n/a	418.05 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH466)	040	HRL	S	3,380	34.00	n/a	n/a	152.10 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH452)	040	HRL	S	500	34.00	n/a	n/a	22.50 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH000300)	040	HRL	S	1,020	34.00	n/a	n/a	45.90 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH345)	040	HRL	S	360	34.00	n/a	n/a	16.20 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH3721)	040	HRL	S	320	34.00	n/a	n/a	14.40 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH3021)	040	HRL	S	2,740	34.00	n/a	n/a	123.30 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH369)	040	HRL	S	750	34.00	n/a	n/a	33.75 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH322)	040	HRL	S	1,280	34.00	n/a	n/a	57.60 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH302)	040	HRL	S	1,730	34.00	n/a	n/a	77.85 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH329)	040	HRL	S	580	34.00	n/a	n/a	26.10 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH368)	040	HRL	S	180	34.00	n/a	n/a	8.10 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH367)	040	HRL	S	640	34.00	n/a	n/a	28.80 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH355)	040	HRL	S	640	34.00	n/a	n/a	28.80 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH476)	040	HRL	S	430	34.00	n/a	n/a	19.35 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH359)	040	HRL	S	11,070	34.00	n/a	n/a	498.15 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH362)	040	HRL	S	1,360	34.00	n/a	n/a	61.20 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH356)	040	HRL	S	560	34.00	n/a	n/a	25.20 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH3631)	040	HRL	S	530	34.00	n/a	n/a	23.85 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH332)	040	HRL	S	280	34.00	n/a	n/a	12.60 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH315)	040	HRL	S	540	34.00	n/a	n/a	24.30 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH310)	040	HRL	S	310	34.00	n/a	n/a	13.95 4.5
AO,	06/17	ROTHSCHILD ASSET (ROTH467)	040	HRL	S	230	34.00	n/a	n/a	10.35 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/17	JMP ASSET MGMT (JMPAGS)	210	SKS	B	20,000	3.96	n/a	n/a	800.00 4.0
AO,CRT	06/17	JMP ASSET MGMT (JMPAGS)	210	SKS	B	20,000	3.96	n/a	n/a	600.00 3.0
AO,	06/17	US BANCORP (USBCAMALGA)	030	SLB	S	1,856	56.04	n/a	n/a	92.80 5.0
AO,CXL	06/17	US BANCORP (USBCAMALGA)	030	SLB	S	1,856	56.04	n/a	n/a	92.80 5.0
AO,CXL	06/01	LISTED ERR (LISTED ERR)	099	STI	B	1,500	13.25	n/a	n/a	0.00 0.0
AO,CRT	06/01	LISTED ERR (LISTED ERR)	099	STI	B	1,500	13.25	n/a	n/a	0.00 0.0
AO,CRT	06/01	LISTED ERR (LISTED ERR)	099	STI	S	1,500	13.85	n/a	n/a	0.00 0.0
AO,CXL	06/01	LISTED ERR (LISTED ERR)	099	STI	S	1,500	13.85	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										1,596.40
TOTAL (Trade Date) :										67,578.34
TOTAL (AO, CXL, CRT) :										1,596.40
TOTAL (RUN DATE) / NFS:										69,174.74

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