



Daily Compliance Activity Report

Trade Date: 05/13/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	60,000	14.02	20-Apr	8-May	2,400.00	4.0
LOCUS WOOD CAPITAL MGMT	044	ALV	SS	20,000	22.36	12-Mar	22-Apr	800.00	4.0
FIRST NEW YORK LEDDY	035	AMD	B	10,000	4.43	n/a	n/a	600.00	6.0
PILOT ROCK	028	ARO	SS	50,000	32.30	n/a	8-May	2,000.00	4.0
KEEFE BRUYETTE WOODS A	045	AXP	SS	9,000	24.50	n/a	12-May	450.00	5.0
SAB CAPITAL	034	AXS	S	45,000	24.10	n/a	n/a	1,800.00	4.0
JMP ASSET MGMT	210	BEBE	SS	3,000	8.46	n/a	n/a	120.00	4.0
UBS OCONNOR	031	BEN	S	30,000	61.93	11-May	12-May	900.00	3.0
THOMAS WEISEL ASSET MGMT	035	BWLD	B	1,195	34.51	n/a	n/a	35.85	3.0
IRONBOUND CAPITAL	012	CBE	S	3,100	33.51	n/a	27-Apr	62.00	2.0
COUGAR TRADING	044	CHUX	B	10,000	8.56	n/a	n/a	400.00	4.0
CUMBERLAND	038	CIT	S	20,000	3.00	23-Apr	6-May	600.00	3.0
KEEFE BRUYETTE WOODS A	045	COF	SS	9,000	24.17	n/a	12-May	450.00	5.0
BUCK CAPITAL MGMT	001	COH	S	100,000	22.63	9-Jan	22-Apr	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	CVS	S	50,000	31.94	n/a	n/a	2,500.00	5.0
JMP ASSET MGMT	210	DAR	S	12,000	6.40	n/a	n/a	600.00	5.0
FORD FDN.	032	DE	S	30,000	41.24	26-Jan	19-Feb	1,500.00	5.0
ARTX	304	DFS	S	277,290	8.77	n/a	12-May	8,318.70	3.0
CRAMER ROSENTHAL/SCOTT	012	DNR	B	353,900	16.23	n/a	n/a	14,156.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	15,000	30.87	5-Mar	5-May	750.00	5.0
DSG CAPITAL	225	FL	B	7,000	10.05	27-Apr	5-May	350.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	22.69	n/a	10-Jan	800.00	4.0
WAGONHOUND/NIC	048	GES	S	1,462	22.80	n/a	n/a	58.48	4.0
WILLOW CREEK	033	GIL	SS	5,000	11.31	11-Dec	14-Apr	200.00	4.0
WILLOW CREEK	033	GMT	SS	5,000	25.61	n/a	n/a	200.00	4.0
ROTHSCHILD ASSET	040	IDC	S	16,940	22.50	n/a	n/a	762.30	4.5
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	12.34	n/a	1-May	1,000.00	5.0
SCOPUS FUND	041	IP	B	35,000	12.45	n/a	1-May	1,750.00	5.0
MATRIX ASSET ADV.	036	JCI	S	3,000	17.80	22-Apr	22-Apr	90.00	3.0
11:11 CAPITAL CORP	046	KG	S	154,900	9.26	n/a	12-May	6,196.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	20,000	42.30	8-May	8-May	800.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	28.41	n/a	28-Apr	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	LOW	B	200,000	18.87	12-May	12-May	8,000.00	4.0
MATRIX ASSET ADV.	036	MSFT	S	2,000	19.74	n/a	3-Apr	60.00	3.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	50,000	11.67	n/a	8-May	2,000.00	4.0
BUCK CAPITAL MGMT	001	NKE	S	50,000	49.13	n/a	n/a	2,000.00	4.0
WILLOW CREEK	033	OC	SS	5,000	14.07	n/a	n/a	200.00	4.0
WAGONHOUND/NIC	048	PCLN	S	953	102.31	n/a	n/a	38.12	4.0
EPOCH INV MGMT	030	PEP	B	7,304	49.50	n/a	n/a	292.16	4.0
SCOPUS FUND	041	PKG	B	13,000	15.99	8-Apr	21-Apr	650.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	1,500	32.26	19-Mar	8-May	60.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	25.38	20-Apr	20-Apr	800.00	4.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	86,500	3.87	n/a	n/a	4,325.00	5.0
BUCK CAPITAL MGMT	001	RL	B	30,000	46.84	n/a	16-Apr	1,200.00	4.0
JMP ASSET MGMT	210	RSH	S	10,000	11.76	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	SLM	B	10,000	5.40	23-Apr	11-May	500.00	5.0
NEWCASTLE FUNDS	255	SMG	S	50,600	33.78	5-Feb	29-Apr	2,024.00	4.0
LISTED ERR	099	SMG	B	32	33.78	5-Feb	29-Apr	0.00	0.0
RK CAPITAL MGMT LLC	045	SR	B	27,000	4.14	n/a	n/a	810.00	3.0
G WEISS /SASHA	070	STT	SS	50,000	38.23	n/a	n/a	2,000.00	4.0
WILLOW CREEK	033	TEX	SS	5,000	14.41	13-Feb	28-Apr	200.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	50,000	27.57	4-May	8-May	2,000.00	4.0
CASTLE ARK	031	TJX	B	163,400	27.60	4-May	8-May	9,804.00	6.0
COUGAR TRADING	044	TJX	B	5,000	27.69	4-May	8-May	250.00	5.0
AVESTA CAP	229	TYC	B	50,000	25.20	1-May	1-May	2,000.00	4.0
TROUBH PART	067	WFC	B	25,000	24.30	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	WSM	SS	100,000	11.64	n/a	n/a	4,000.00	4.0
CSFB GLOBAL PROPRIETARY	041	XLI	B	20,000	21.79	n/a	n/a	1,000.00	5.0
MARINER/TRICADIA	041	XRT	SS	50,000	25.54	n/a	n/a	2,500.00	5.0
LISTED ERR	099	XRT	B	29,788	25.46	n/a	n/a	0.00	0.0
LISTED ERR	099	XRT	S	262	25.51	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								104,362.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/12	SAB CAPITAL (SABCMORGAN)	034	AXS	S	127,863	24.36	n/a	n/a	5114.52 4.0
AO,CXL	05/12	SAB CAPITAL (SABCGOLDMA)	034	AXS	S	166,530	24.36	n/a	n/a	8326.50 5.0
AO,	05/12	SAB CAPITAL (SABCGOLDMA)	034	AXS	S	38,667	24.36	n/a	n/a	1546.68 4.0
AO,CXL	05/12	COUGAR TRADING (COUGPB MS)	044	CHUX	SS	10,000	8.54	n/a	n/a	500.00 5.0
AO,CRT	05/12	COUGAR TRADING (COUGPB MS)	044	CHUX	SS	10,000	8.54	n/a	n/a	400.00 4.0
TOTAL (AO, CXL, CRT) :										-1,765.30

TOTAL (Trade Date) :	104,362.61
TOTAL (AO, CXL, CRT) :	-1,765.30

TOTAL (RUN DATE) / NFS :	102,597.31
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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