



Daily Compliance Activity Report

Trade Date: 06/08/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
James Mitchell		AB	B	500	20.4200	5-Jun	5-Jun	0.00	0.0
PRIMECAP MGMT	048	AES	B	5,000	10.21	n/a	n/a	250.00	5.0
CATAPULT	040	AMTD	S	10,000	19.12	n/a	n/a	500.00	5.0
HOOVER INV. MGMT	033	ANF	S	59,500	27.17	3-Jun	5-Jun	2,380.00	4.0
BUCK CAPITAL MGMT	001	AVP	SS	30,000	26.69	2-Jun	2-Jun	1,200.00	4.0
OVERLAND PARK CAP	041	AVP	B	15,000	26.51	2-Jun	2-Jun	600.00	4.0
SCOPUS FUND	041	AXL	B	25,000	2.98	n/a	n/a	1,250.00	5.0
PRIMECAP MGMT	048	BBBY	B	2,000	29.13	n/a	n/a	100.00	5.0
PRINCIPLE CAPITAL	040	BECN	B	32,000	16.34	n/a	n/a	960.00	3.0
SCOPUS FUND	041	BWA	B	50,000	34.08	1-May	1-May	2,500.00	5.0
JP MORGAN VENTURES	046	CAB	S	15,000	12.84	n/a	n/a	750.00	5.0
JP MORGAN VENTURES	046	CAKE	SS	20,000	17.12	29-May	29-May	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	CNS	C	10,000	16.64	n/a	n/a	500.00	5.0
DIAMONDBACK CAP MGMT	232	CNS	SS	10,000	16.76	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	CP	C	15,100	42.49	n/a	n/a	755.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	048	DIS	B	2,000	24.89	n/a	n/a	100.00	5.0
AELTUS/ING IVESTMENT MGT	215	DOV	B	27,394	35.15	n/a	n/a	958.80	3.5
TRELLUS PARTNERS LP	028	DRI	B	20,000	34.20	19-Mar	8-Jun	1,000.00	5.0
JP MORGAN VENTURES	046	DSW	B	20,000	11.72	28-May	28-May	1,000.00	5.0
OVERLAND PARK CAP	041	EL	SS	12,000	33.35	5-May	5-May	480.00	4.0
PRIMECAP MGMT	048	ERIC	B	5,000	8.84	n/a	n/a	200.00	4.0
STANDARD PACIFIC CAPITAL	040	GIL	SS	75,000	15.24	n/a	14-May	3,750.00	5.0
WAGONHOUND/NIC	048	GYMB	S	7,165	36.97	21-May	5-Jun	286.60	4.0
BUCK CAPITAL MGMT	001	HGG	B	20,000	14.85	n/a	n/a	800.00	4.0
SUN AMERICA ASSET MGMT	030	ICLR	S	19,500	20.96	n/a	n/a	780.00	4.0
TYEE/TYGH	035	IVZ	B	66,800	16.99	5-Jun	5-Jun	2,672.00	4.0
PRIMECAP MGMT	048	JBLU	B	10,200	4.24	n/a	n/a	306.00	3.0
BALYASNY ASSET MGMT	044	KMT	C	11,800	20.45	n/a	27-Apr	590.00	5.0
JP MORGAN VENTURES	046	KSS	B	23,400	46.28	8-May	5-Jun	1,170.00	5.0
PRIMECAP MGMT	048	LLY	B	3,000	33.81	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LL	B	10,000	15.08	n/a	n/a	400.00	4.0
COUGAR TRADING	044	MCD	SS	700	58.35	n/a	8-Jun	35.00	5.0
PRIMECAP MGMT	048	MMC	B	1,000	19.71	n/a	n/a	50.00	5.0
PRIMECAP MGMT	048	MON	B	2,000	82.48	n/a	27-May	100.00	5.0
SAXON WOODS ADVISORS	038	MO	B	300,000	17.06	n/a	n/a	9,000.00	3.0
PRIMECAP MGMT	048	MSFT	B	5,000	21.69	n/a	3-Apr	250.00	5.0
DIAMONDBACK CAP MGMT	232	MS	SS	10,000	30.99	11-May	2-Jun	500.00	5.0
Steven Maguire		MS	S	1000	31.2000	11-May	2-Jun	0.00	0.0
BALYASNY ASSET MGMT	044	NSC	B	5,000	40.77	n/a	n/a	250.00	5.0
PRIMECAP MGMT	048	NVS	B	1,000	39.65	n/a	n/a	50.00	5.0
PRIMECAP MGMT	048	PGR	B	3,000	16.59	n/a	n/a	150.00	5.0
CATAPULT	040	RF	S	25,000	4.06	n/a	n/a	1,000.00	4.0
CUMBERLAND	038	RGR	SS	5,900	11.79	n/a	n/a	236.00	4.0
PILOT ADV	038	ROK	SS	15,000	32.72	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	28,600	9.65	n/a	13-Mar	858.00	3.0
TROUBH PART	067	SPY	B	50,000	93.43	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	T	S	10,000	24.40	n/a	4-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	50,000	24.04	29-Apr	29-Apr	2,000.00	4.0
BALYASNY ASSET MGMT	044	UNP	C	12,100	53.75	n/a	n/a	605.00	5.0
PRIMECAP MGMT	048	UPS	B	2,000	50.50	n/a	n/a	100.00	5.0
BARCLEYS CAP (OLD LEHM)	041	URBN	B	50,000	20.93	n/a	30-Jan	2,000.00	4.0
JP MORGAN VENTURES	046	URBN	SS	10,000	20.89	n/a	30-Jan	500.00	5.0
AVESTA CAP	229	WAG	B	50,000	30.92	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	WRC	B	2,500	34.78	13-May	13-May	125.00	5.0
PRIMECAP MGMT	048	WY	B	1,000	33.62	9-Feb	6-May	50.00	5.0
AELTUS/ING INVESTMENT MGT	215	XCO	S	23,900	13.91	n/a	n/a	836.50	3.5
TOTAL (Trade Date):								52,183.90	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	06/05	LISTED ERR (LISTED ERR)	099	AYE	S	400	25.87	n/a	n/a	0.00	0.0
AO,	06/05	DIAMONDBACK CAP MGMT (DIAMCSFB)	232	BLK	B	2,000	164.17	4-Mar	5-Jun	100.00	5.0
AO,CRT	06/05	FIRST NEW YORK NICK (FNYNJPMBS)	029	Q	S	40,000	4.17	n/a	n/a	2000.00	5.0
AO,CXL	06/05	FIRST NEW YORK NICK (FNYNGS)	029	Q	S	40,000	4.17	n/a	n/a	2000.00	5.0
AO,	06/05	NWQ INVESTMENT MGMT CO (NWQI293861)	048	RDEN	B	5,700	7.22	11-May	11-May	171.00	3.0
AO,	06/05	NWQ INVESTMENT MGMT CO (NWQI293924)	048	RDEN	B	900	7.22	11-May	11-May	27.00	3.0
AO,CRT	06/05	LISTED ERR (LISTED ERR)	099	SSW	S	300	6.87	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :										298.00	
TOTAL (Trade Date) :										52,183.90	
TOTAL (AO, CXL, CRT) :										298.00	
TOTAL (RUN DATE) / NFS :										52,481.90	

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