



Daily Compliance Activity Report

Trade Date: 05/15/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	AAPL	B	5,903	124.40	n/a	n/a	206.62	3.5
EPOCH INV MGMT	030	AAPL	B	1,100	124.36	n/a	n/a	44.00	4.0
EPOCH INV MGMT	030	ADP	B	2,800	36.34	n/a	n/a	112.00	4.0
EPOCH INV MGMT	030	AET	B	4,800	26.79	n/a	n/a	192.00	4.0
MILLRACE FUND LP	028	ALV	SS	10,000	23.46	12-Mar	22-Apr	400.00	4.0
ROXBURY CAPITAL MGMT	035	AMD	B	1,178,000	4.17	n/a	n/a	35,340.00	3.0
EPOCH INV MGMT	030	AMP	B	4,900	25.45	n/a	n/a	196.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	70,000	26.35	16-Apr	8-May	2,800.00	4.0
SAXON WOODS ADVISORS	038	ANF	S	76,100	26.00	16-Apr	8-May	3,044.00	4.0
KACELA CAPITAL	034	ARO	B	24,000	32.02	n/a	8-May	960.00	4.0
EPOCH INV MGMT	030	ATK	B	1,850	83.96	n/a	n/a	74.00	4.0
CAXTON PART	040	BAC	B	28,970	11.25	11-May	11-May	1,013.97	3.5
EPOCH INV MGMT	030	BA	B	3,400	43.88	n/a	n/a	136.00	4.0
EPOCH INV MGMT	030	BEN	B	2,150	60.83	11-May	12-May	86.00	4.0
EPOCH INV MGMT	030	BK	B	5,550	27.91	11-May	12-May	222.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CAP/ROSEN FOR BOBBY	044	BOKF	SS	4,000	38.29	n/a	n/a	160.00	4.0
EPOCH INV MGMT	030	BSX	B	10,600	8.89	n/a	22-Apr	424.00	4.0
EPOCH INV MGMT	030	BTU	B	1,400	29.58	n/a	n/a	56.00	4.0
TRUST CO/COWEN/CALF.	040	CBS	B	86,900	6.96	n/a	n/a	3,476.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	CFR	SS	2,700	48.31	n/a	n/a	108.00	4.0
PENNANT CAP MGMT	029	CF	S	206,491	79.47	n/a	n/a	6,194.73	3.0
EPOCH INV MGMT	030	CL	B	1,200	63.87	16-Mar	14-May	48.00	4.0
EPOCH INV MGMT	030	CMCSK	B	10,450	13.90	n/a	n/a	418.00	4.0
EPOCH INV MGMT	030	COP	B	2,250	44.60	n/a	n/a	90.00	4.0
NEUBERGER BERMAN	036	COV	B	400,415	36.35	n/a	n/a	18,018.68	4.5
SONTERRA CAP	041	CVX	SS	30,000	66.35	n/a	n/a	1,200.00	4.0
M&I FUNDS	256	CYH	B	35,346	24.01	13-May	13-May	1,413.84	4.0
LEVIN CAPITAL STRATEGIES	012	EMC	B	200,000	12.00	n/a	n/a	8,000.00	4.0
MISSION GLOBAL LLC	041	EP	B	24,350	8.60	n/a	n/a	974.00	4.0
&MIS	041	EP	B	650	8.60	n/a	n/a	26.00	4.0
ROSEDALE CAPITAL	046	FRX	B	10,000	23.13	22-Apr	14-May	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	S	40,000	15.33	n/a	30-Jan	1,600.00	4.0
LEVIN CAPITAL STRATEGIES	012	HLF	S	20,000	25.82	n/a	n/a	800.00	4.0
WASHINGTON ASSET	048	HRS	B	5,000	29.60	6-May	12-May	250.00	5.0
CAXTON PART	040	IBM	B	5,903	102.86	n/a	n/a	206.62	3.5
THE JAY GOLDMAN	034	IP	S	10,000	12.90	n/a	1-May	400.00	4.0
CASEY CAPITAL	067	JCP	B	5,000	26.55	13-Apr	8-May	250.00	5.0
THE JAY GOLDMAN	034	JCP	SS	20,000	26.67	13-Apr	8-May	800.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	41.86	8-May	15-May	800.00	4.0
CADIAN CAPITAL	067	KSS	SS	50,000	41.41	8-May	15-May	2,000.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	27.07	n/a	28-Apr	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	LM	SS	5,000	18.52	5-May	11-May	250.00	5.0
ROTHSCHILD ASSET	040	MLI	B	63,630	22.03	n/a	22-Apr	2,863.35	4.5
THE JAY GOLDMAN	034	M	B	50,000	11.55	n/a	14-May	2,000.00	4.0
ROTHSCHILD ASSET	040	NEU	S	5,600	66.58	n/a	n/a	252.00	4.5
WHITE PINE CAPITAL	030	NWY	S	25,000	4.37	n/a	30-Jan	1,000.00	4.0
BUCK CAPITAL MGMT	001	PAG	S	148,600	10.97	n/a	6-May	5,944.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MARINER/TRICADIA	041	RDNT	B	86,500	2.06	n/a	n/a	2,595.00	3.0
TRUST CO/COWEN/CALF.	040	RSG	S	75,557	22.15	n/a	n/a	3,022.28	4.0
SAC CAP/ROSEN FOR BOBBY	044	SIVB	SS	13,200	25.71	n/a	n/a	528.00	4.0
WAGONHOUND/NIC	048	SLM	B	4,763	5.72	23-Apr	11-May	142.89	3.0
PROSPECTOR PARTNERS LLC	036	STFC	S	10,000	15.16	n/a	n/a	400.00	4.0
MISSION GLOBAL LLC	041	SUG	SS	9,740	15.70	n/a	n/a	389.60	4.0
&MIS	041	SUG	SS	260	15.70	n/a	n/a	10.40	4.0
BUCK CAPITAL MGMT	001	TIF	SS	20,000	26.08	n/a	30-Jan	800.00	4.0
BMO NESBITT BURNS	041	TIN	SS	50,000	11.07	n/a	22-Apr	2,500.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	40,000	21.80	29-Apr	29-Apr	1,600.00	4.0
OMEGA ADVISORS	041	WFC	S	200,000	24.82	n/a	n/a	8,000.00	4.0
SLS CAPITAL LLC	224	WMT	S	127,400	48.60	11-May	14-May	5,096.00	4.0
CUMBERLAND	038	YRCW	SS	18,339	3.09	n/a	n/a	550.17	3.0
TOTAL (Trade Date) :								132,234.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/15	PENNANT CAP MGMT (PENAMSPB)	029	CF	S	206,491	79.47	n/a	n/a	6194.73 3.0
AO,	05/14	BALYASNY ASSET MGMT (BALYGS)	044	PBY	B	40,000	6.11	n/a	n/a	1600.00 4.0
AO,CXL	05/13	AVESTA CAP (AVESDEUTS)	229	TYC	B	50,000	25.20	1-May	1-May	2000.00 4.0
AO,CRT	05/13	AVESTA CAP (AVESGSUSE)	229	TYC	B	50,000	25.20	1-May	1-May	2000.00 4.0
AO,CXL	05/14	CUMBERLAND (CUMBMS04)	038	YRCW	SS	67,661	3.28	n/a	n/a	2706.44 4.0
AO,CRT	05/14	CUMBERLAND (CUMBMS04)	038	YRCW	SS	67,661	3.28	n/a	n/a	2029.83 3.0

TOTAL (AO, CXL, CRT) :**7,118.12**

TOTAL (Trade Date) :

132,234.15

TOTAL (AO, CXL, CRT) :

7,118.12

TOTAL (RUN DATE) / NFS :**139,352.27**

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