



Daily Compliance Activity Report

Trade Date: 07/08/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAYNE ANDERSON ADV	048	ABAX	B	6,265	19.20	n/a	n/a	250.60	4.0
AVESTA CAP	229	ADM	SS	100,000	26.40	1-Jun	1-Jun	4,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	AN	B	43,475	16.45	10-Jun	10-Jun	1,521.63	3.5
ROTHSCHILD ASSET	040	ARO	S	8,148	33.10	n/a	6-Jul	366.68	4.5
COUGAR TRADING	044	AXL	S	25,000	2.09	n/a	7-Jul	750.00	3.0
LAGRANGE CAP ADV	048	AXL	B	40,000	1.91	n/a	7-Jul	2,000.00	5.0
• Ted Wheeler		AXL	B	100787.5000		n/a	7-Jul	0.00	0.0
ROTHSCHILD ASSET	040	BCO	S	9,450	27.85	n/a	n/a	425.25	4.5
BUCK CAPITAL MGMT	001	BIG	B	20,000	20.43	28-May	6-Jul	800.00	4.0
FORD FDN.	032	BMV	B	45,000	19.69	n/a	n/a	2,250.00	5.0
RAMIUS CAP	040	CBT	B	50,000	12.43	n/a	22-Jun	2,000.00	4.0
RBC CAPITAL MARKETS	040	COST	B	30,000	45.30	n/a	27-Jul	1,200.00	4.0
KAYNE ANDERSON ADV	048	CRR	B	17,200	32.17	1-May	1-Jul	688.00	4.0
NEWCASTLE FUNDS	255	DAI	C	29,400	33.17	n/a	n/a	1,176.00	4.0
JMP ASSET MGMT	210	DAR	SS	10,000	6.30	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	DLM	B	16,770	9.27	n/a	n/a	754.65	4.5
DECADE CAPITAL PARTNERS	040	DPS	S	44,800	22.25	n/a	n/a	2,240.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.17	n/a	n/a	1,200.00	6.0
RBC CAPITAL MARKETS	040	FDO	S	30,000	30.91	n/a	8-Jul	1,200.00	4.0
MERRILL ASSET/BLACKROCK	214	FL	B	17,400	9.64	27-Apr	26-Jun	783.00	4.5
COUGAR TRADING	044	FOSL	S	15,000	21.56	n/a	30-Jan	750.00	5.0
FORD FDN.	032	GILD	B	55,000	45.18	n/a	n/a	2,750.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	13.84	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	HD	B	50,000	22.49	12-May	20-May	2,500.00	5.0
MILLENIUM PARTNERS	028	IP	B	50,000	14.18	23-Jun	23-Jun	2,000.00	4.0
UBS OCONNOR	031	IVZ	S	87,100	16.27	5-Jun	8-Jul	2,613.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	30,000	24.37	n/a	30-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	27.52	13-Apr	6-Jul	1,200.00	4.0
BALYASNY ASSET MGMT	044	JNS	B	50,000	9.87	5-May	8-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	S	20,000	9.55	n/a	30-Apr	600.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	40,000	43.10	8-May	6-Jul	1,600.00	4.0
COUGAR TRADING	044	KSS	S	5,000	42.72	8-May	6-Jul	250.00	5.0
PHILADELPHIA FINANCIAL	033	LAZ	SS	31,430	26.19	n/a	17-Jun	1,257.20	4.0
EPOCH INV MGMT	030	MA	B	1,700	163.11	n/a	8-Jul	68.00	4.0
KARSCH CAPITAL	034	MF	S	584,402	4.96	n/a	n/a	17,532.06	3.0
BUCK CAPITAL MGMT	001	PSS	S	30,000	12.91	n/a	n/a	1,200.00	4.0
FRONTPOINT/COPIA-ANDREW	031	PXP	B	34,400	24.07	n/a	n/a	1,376.00	4.0
FIRST NEW YORK NICK	029	Q	B	10,000	3.68	n/a	n/a	500.00	5.0
MELLON/BANK OF NEW YORK	046	SWN	S	60,304	34.99	27-Feb	1-Jul	3,015.20	5.0
DECADE CAPITAL PARTNERS	040	TAP	B	23,400	42.61	n/a	n/a	1,170.00	5.0
ROTHSCHILD ASSET	040	TDW	S	8,749	41.26	n/a	n/a	393.72	4.5
TRUST CO/COWEN/CALF.	040	THC	S	588,670	3.06	n/a	5-May	17,660.10	3.0
CIRCLE T/SES PART	035	TM	B	10,000	73.61	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	214	URBN	B	27,000	19.48	n/a	30-Jan	1,215.00	4.5
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	19.53	n/a	30-Jan	1,000.00	4.0
CONIFER/ISF	025	VMW	B	10,000	26.04	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAXON WOODS ADVISORS	038	WAG	B	10,000	29.50	n/a	n/a	400.00	4.0
PZENA INV ADV	044	WEC	B	4,500	41.49	n/a	n/a	157.50	3.5
MILLENIUM PARTNERS	028	XLE	B	25,000	44.29	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date) :								91,113.59	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/06	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	AEO	B	50,000	13.20	25-Jun	6-Jul	2500.00 5.0
AO,CRT	07/06	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	AEO	B	50,000	13.20	25-Jun	6-Jul	2000.00 4.0
AO,CXL	07/06	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	JCP	B	50,000	26.98	13-Apr	6-Jul	2500.00 5.0
AO,CRT	07/06	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	JCP	B	50,000	26.98	13-Apr	6-Jul	2000.00 4.0
AO,	07/07	KINGDON ASSET MGMT (KINDGSPB)	041	RIMM	SS	50,000	67.91	n/a	n/a	2000.00 4.0
AO,CXL	07/06	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	TGT	B	50,000	37.36	25-Feb	6-Jul	2500.00 5.0
AO,CRT	07/06	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	TGT	B	50,000	37.36	25-Feb	6-Jul	2000.00 4.0
AO,	07/07	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	WDR	SS	42,591	24.81	5-Jun	8-Jul	1703.64 4.0

TOTAL (AO, CXL, CRT) :	2,203.64
-------------------------------	-----------------

TOTAL (Trade Date) :	91,113.59
----------------------	-----------

TOTAL (AO, CXL, CRT) :	2,203.64
------------------------	----------

TOTAL (RUN DATE) / NFS :	93,317.23
---------------------------------	------------------

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