



Daily Compliance Activity Report

Trade Date: 04/09/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AEO	S	20,000	13.69	8-Apr	8-Apr	1,000.00	5.0
REINHART & MAHONEY	031	AFG	B	1,000	17.85	n/a	n/a	50.00	5.0
DSG CAPITAL	225	AKS	S	3,500	9.44	n/a	n/a	175.00	5.0
THE JAY GOLDMAN	034	ANF	B	25,000	23.39	n/a	6-Feb	1,000.00	4.0
SCOPUS FUND	041	ANN	S	55,000	6.35	n/a	30-Jan	2,750.00	5.0
CASTLE ARK	031	APC	B	85,210	42.82	3-Feb	3-Apr	5,112.60	6.0
BUCK CAPITAL MGMT	001	ARO	B	169,187	29.08	n/a	3-Apr	6,767.48	4.0
REINHART & MAHONEY	031	ATVI	B	500	10.69	n/a	n/a	25.00	5.0
AAD CAPITAL	048	BAC	S	25,000	9.15	2-Mar	8-Apr	500.00	2.0
SANDLER O'NEILL ASSET	031	BK	S	50,000	29.81	21-Jan	8-Apr	2,500.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	7,306	25.63	12-Mar	19-Mar	365.30	5.0
SLS CAPITAL LLC	224	CAT	SS	27,600	30.73	n/a	27-Jan	1,104.00	4.0
DECADE CAPITAL PARTNERS	040	CNW	SS	49,000	20.55	n/a	n/a	2,450.00	5.0
KEEFE BRUYETTE WOODS A	045	COF	SS	50,200	16.52	n/a	8-Apr	2,510.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	COF	S	75,000	17.26	n/a	8-Apr	3,750.00	5.0
REINHART & MAHONEY	031	CVS	B	300	30.11	n/a	n/a	15.00	5.0
SUN AMERICA ASSET MGMT	030	DVN	B	50,000	48.34	5-Feb	3-Apr	2,000.00	4.0
REINHART & MAHONEY	031	EQT	B	500	33.50	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	ETH	B	70,904	13.97	n/a	n/a	2,836.16	4.0
DECADE CAPITAL PARTNERS	040	EXPD	B	48,000	31.67	n/a	n/a	2,400.00	5.0
NORTHPOINT	030	FAST	S	11,770	38.32	n/a	n/a	470.80	4.0
REINHART & MAHONEY	031	FISV	B	1,000	36.26	n/a	n/a	50.00	5.0
SCOPUS FUND	041	FWRD	B	7,000	17.63	n/a	n/a	350.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	68,683	21.26	n/a	10-Jan	2,747.32	4.0
BUCK CAPITAL MGMT	001	GIL	S	50,000	9.50	11-Dec	12-Feb	1,500.00	3.0
EVERCORE WEALTH MGMT	012	GLD	B	1,800	86.56	n/a	n/a	90.00	5.0
THIRD COAST CAPITAL	035	GME	B	5,000	31.56	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GPS	B	50,000	14.57	n/a	30-Jan	2,000.00	4.0
CAXTON PART	040	GT	B	25,000	8.19	n/a	n/a	875.00	3.5
THOMSON HORSTMAN BRYANT	040	GYMB	S	43,300	26.91	9-Apr	9-Apr	2,165.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	HBC	B	50,000	34.36	n/a	n/a	2,500.00	5.0
11:11 CAPITAL CORP	046	HLS	B	12,400	8.82	n/a	n/a	620.00	5.0
THIRD COAST CAPITAL	035	HOTT	SS	20,000	11.14	n/a	30-Jan	1,000.00	5.0
KLEINHEINZ CAP PART	031	HRB	S	50,000	15.27	n/a	n/a	2,500.00	5.0
NEWCASTLE FUNDS	033	IBM	C	17,400	101.39	n/a	n/a	696.00	4.0
REINHART & MAHONEY	031	IBM	B	200	102.11	n/a	n/a	10.00	5.0
NEWCASTLE FUNDS	033	ITT	B	100,000	39.85	n/a	5-Feb	4,000.00	4.0
SOUTH POINT CAP	067	IYH	SS	43,300	49.28	n/a	n/a	2,165.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	20,000	21.09	20-Feb	3-Apr	800.00	4.0
COUGAR TRADING	044	KSS	S	5,000	45.25	30-Mar	3-Apr	250.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	10.24	8-Jan	30-Jan	1,500.00	3.0
EGS ASSOCIATES LP	091	LTD	SS	4,000	10.48	8-Jan	30-Jan	240.00	6.0
NEWCASTLE FUNDS	033	LTM	S	100,000	15.91	n/a	n/a	4,000.00	4.0
REINHART & MAHONEY	031	MAN	S	25,760	34.85	n/a	n/a	1,288.00	5.0
NEWCASTLE FUNDS	033	MCD	S	20,000	56.62	n/a	3-Apr	800.00	4.0
REINHART & MAHONEY	031	MMC	B	525	19.91	n/a	n/a	26.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	MSFT	B	500	19.60	n/a	3-Apr	25.00	5.0
SUN AMERICA ASSET MGMT	030	MSFT	S	50,000	19.43	n/a	3-Apr	2,000.00	4.0
FEDERATED INV/KAUFMAN	029	MU	S	200,000	4.55	n/a	n/a	11,000.00	5.5
COUGAR TRADING	044	M	B	15,000	11.31	n/a	3-Apr	750.00	5.0
EGS ASSOCIATES LP	091	M	SS	4,000	11.74	n/a	3-Apr	240.00	6.0
REINHART & MAHONEY	031	NBL	S	7,200	60.59	n/a	n/a	360.00	5.0
RDK CAPITAL MGMT	034	NKE	SS	5,000	53.06	n/a	n/a	200.00	4.0
REINHART & MAHONEY	031	NU	B	1,000	21.46	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT	001	OMX	B	100,000	3.97	n/a	15-Apr	2,000.00	2.0
TRELLUS PARTNERS LP	028	PCAR	SS	5,000	31.56	25-Mar	25-Mar	250.00	5.0
REINHART & MAHONEY	031	PG	B	270	49.21	12-Mar	20-Mar	13.50	5.0
TRELLUS PARTNERS LP	028	PH	SS	10,000	39.06	n/a	5-Mar	500.00	5.0
CUMBERLAND	038	PLCE	B	15,000	23.74	19-Mar	9-Apr	600.00	4.0
GALT INVESTMENT	041	PLCE	B	25,000	23.74	19-Mar	9-Apr	1,250.00	5.0
THIRD COAST CAPITAL	035	PLCE	B	9,000	23.85	19-Mar	9-Apr	450.00	5.0
REINHART & MAHONEY	031	PPDI	B	500	23.75	n/a	n/a	25.00	5.0
REINHART & MAHONEY	031	RGA	B	500	34.15	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	10,000	47.91	n/a	5-Feb	400.00	4.0
REINHART & MAHONEY	031	RSG	B	775	19.41	n/a	n/a	38.75	5.0
STRAUSS ASSET MGMT	040	SPWRA	B	3,500	25.36	n/a	n/a	140.00	4.0
SOUTH POINT CAP	067	SPY	B	25,000	85.12	n/a	n/a	1,250.00	5.0
REINHART & MAHONEY	031	TEVA	B	180	46.48	18-Feb	7-Apr	9.00	5.0
TRELLUS PARTNERS LP	028	TIN	S	100,000	5.92	5-Dec	8-Apr	3,000.00	3.0
BUCK CAPITAL MGMT	001	TJX	B	250,000	27.42	n/a	3-Apr	5,000.00	2.0
DECADE CAPITAL PARTNERS	040	TRN	SS	44,000	11.28	n/a	n/a	1,320.00	3.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	50,000	16.95	n/a	30-Jan	2,500.00	5.0
REINHART & MAHONEY	031	WEC	B	440	40.50	n/a	n/a	22.00	5.0
SCOPUS FUND	041	WERN	SS	25,000	16.28	n/a	n/a	1,250.00	5.0
REINHART & MAHONEY	031	WFT	B	37,800	12.77	n/a	n/a	1,890.00	5.0
PRINCIPLE CAPITAL	040	WHR	B	49,300	34.92	n/a	n/a	1,972.00	4.0
COLUMBUS CIRCLE	036	WMT	S	755,000	50.44	n/a	9-Apr	30,200.00	4.0
NEWCASTLE FUNDS	033	YUM	S	20,000	30.21	n/a	3-Apr	800.00	4.0

TOTAL (Trade Date):

139,759.16

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/08	SCOPUS FUND (SCOPBANC O)	041	MW	B	6,670	17.22	n/a	n/a	333.50 5.0
AO,CRT	04/08	SCOPUS FUND (SCOPBANC O)	041	MW	B	7,975	17.22	n/a	n/a	398.75 5.0
AO,CXL	04/08	SCOPUS FUND (SCOPUBS)	041	MW	B	22,330	17.22	n/a	n/a	1116.50 5.0
AO,CRT	04/08	SCOPUS FUND (SCOPUBS)	041	MW	B	21,025	17.22	n/a	n/a	1051.25 5.0
AO,CXL	04/08	CUMBERLAND (CUMBMS04)	038	SPY	SS	5,000	82.07	n/a	n/a	200.00 4.0
AO,CRT	04/08	CUMBERLAND (CUMBMS04)	038	SPY	SS	5,000	82.07	n/a	n/a	150.00 3.0

TOTAL (AO, CXL, CRT) :	-50.00
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TOTAL (Trade Date) :	139,759.16
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TOTAL (RUN DATE) / NFS :	139,709.16
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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