



## Daily Compliance Activity Report

Trade Date: 05/07/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	B	150,000	14.24	20-Apr	4-May	6,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>180,000</b>	<b>14.34</b>	<b>20-Apr</b>	<b>4-May</b>	<b>7,200.00</b>	<b>4.0</b>
MTB INV ADV	034	AEO	B	38,252	13.77	20-Apr	4-May	1,912.60	5.0
CADIAN CAPITAL	067	ANF	B	25,000	26.50	16-Apr	4-May	1,000.00	4.0
BALYASNY ASSET MGMT	044	ARG	C	5,000	41.63	23-Mar	6-May	250.00	5.0
PILOT ROCK	028	ARO	SS	100,000	34.95	n/a	4-May	4,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	57,400	34.75	n/a	4-May	2,009.00	3.5
MAIRS AND POWER INV	030	BAX	B	7,700	48.78	n/a	22-Apr	385.00	5.0
THIRD COAST CAPITAL	035	BBY	S	4,000	39.71	n/a	27-Jul	200.00	5.0
DSG CAPITAL	225	BIG	SS	3,200	25.42	4-Mar	7-May	160.00	5.0
S.A.C. HEALTHCARE BOBBY	044	BMY	B	50,000	19.92	n/a	n/a	2,000.00	4.0
FIRST NEW YORK LEDDY	035	BRCD	B	20,000	5.68	n/a	n/a	1,200.00	6.0
NORTHPOINT	030	BUCY	S	6,300	24.92	n/a	24-Feb	252.00	4.0
MARINER/TRICADIA	041	BWA	B	40,000	31.19	1-May	1-May	2,000.00	5.0
TROUBH PART	067	CAT	B	10,000	37.38	n/a	22-Apr	500.00	5.0
SUN AMERICA ASSET MGMT	030	CB	B	50,000	40.86	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	CB	B	25,000	40.79	n/a	n/a	0.00	0.0
LISTED ERR	099	CB	S	25,000	40.51	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	CFL	S	25,500	28.54	n/a	n/a	1,020.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CMCSA	S	25,000	15.81	n/a	4-Jan	1,250.00	5.0
TROUBH PART	067	COF	B	25,000	26.64	n/a	7-May	1,250.00	5.0
BUCK CAPITAL MGMT	001	COH	S	80,000	25.77	9-Jan	22-Apr	3,200.00	4.0
RAINIER INV MGMT	035	CXO	B	43,140	29.99	n/a	n/a	2,157.00	5.0
BRANDWINE	028	DDS	B	81,317	8.02	n/a	n/a	3,252.68	4.0
DSG CAPITAL	225	DKS	SS	4,000	19.09	27-Apr	5-May	200.00	5.0
SUN AMERICA ASSET MGMT	030	EBS	S	65,300	9.62	n/a	n/a	2,612.00	4.0
PHILADELPHIA FINANCIAL	033	EVR	S	12,300	19.00	n/a	n/a	492.00	4.0
BARROW HANLEY MEWHINNEY	031	FDO	S	109,800	31.97	5-Mar	5-May	4,392.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	20,000	31.97	5-Mar	5-May	1,000.00	5.0
SUN AMERICA ASSET MGMT	030	FHN	S	128,100	12.42	n/a	n/a	5,124.00	4.0
ADAGE CAPITAL MGMT	030	FL	SS	250,000	11.53	27-Apr	5-May	10,000.00	4.0
DSG CAPITAL	225	FL	SS	7,000	11.49	27-Apr	5-May	350.00	5.0
BARROW HANLEY MEWHINNEY	031	GE	B	617,500	14.20	n/a	n/a	24,700.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	S	50,000	12.05	11-Dec	14-Apr	2,000.00	4.0
BUCK CAPITAL MGMT	001	GPS	S	50,000	16.94	n/a	30-Jan	2,000.00	4.0
NATIONAL BK OF CAN	031	GS	B	7,500	135.50	n/a	24-Apr	300.00	4.0
COUGAR TRADING	044	GYMB	S	5,000	34.86	7-May	7-May	250.00	5.0
WAGONHOUND/NIC	048	GYMB	S	3,764	35.01	7-May	7-May	150.56	4.0
MACKLOWE ASSET MGMT	041	HD	B	55,000	25.87	n/a	5-May	2,750.00	5.0
EVERCORE WEALTH MGMT	012	HES	B	2,000	60.95	n/a	n/a	100.00	5.0
TRUST CO/COWEN/CALF.	040	IRF	B	39,790	16.17	n/a	n/a	1,591.60	4.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	29.99	13-Apr	4-May	4,000.00	4.0
TPG-AXON	040	JPM	B	1,350,000	37.26	16-Jan	24-Apr	67,500.00	5.0
M&I FUNDS	256	KFT	B	37,385	25.21	n/a	n/a	1,495.40	4.0
BALYASNY ASSET MGMT	044	KMT	C	12,600	20.28	n/a	27-Apr	630.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	70,000	44.32	30-Mar	4-May	2,800.00	4.0
BALYASNY ASSET MGMT	044	LECO	C	5,000	43.99	n/a	n/a	250.00	5.0
DIAMONDBACK CAP MGMT	232	LM	SS	5,000	19.89	5-May	7-May	250.00	5.0
SENVEST PART	045	LM	S	25,000	19.44	5-May	7-May	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>500,000</b>	<b>12.25</b>	<b>8-Jan</b>	<b>30-Jan</b>	<b>20,000.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	LZ	C	5,000	44.00	n/a	n/a	250.00	5.0
COUGAR TRADING	044	MCD	B	5,000	53.35	n/a	6-May	250.00	5.0
STADIA CAPITAL	035	MF	B	11,300	5.80	n/a	n/a	452.00	4.0
TRELLUS PARTNERS LP	028	MGA	SS	10,000	40.01	n/a	n/a	500.00	5.0
NORTHPOINT	030	MRVL	S	12,920	10.87	n/a	n/a	516.80	4.0
NATIONAL BK OF CAN	031	MS	SS	40,000	26.69	18-Dec	24-Apr	1,600.00	4.0
PNC/MERCANTILE	028	NOC	S	40,005	48.72	n/a	n/a	1,600.20	4.0
DC CAPITAL	044	NWL	S	70,150	10.83	n/a	n/a	2,806.00	4.0
MACKLOWE ASSET MGMT	041	OEH	S	75,000	7.04	n/a	n/a	3,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OMX</b>	<b>S</b>	<b>330,000</b>	<b>7.72</b>	<b>n/a</b>	<b>15-Apr</b>	<b>9,900.00</b>	<b>3.0</b>
FIRST NY SEC/CHRIS	041	OMX	B	10,000	7.76	n/a	15-Apr	600.00	6.0
SUN AMERICA ASSET MGMT	030	ONNN	S	300,000	5.55	n/a	n/a	12,000.00	4.0
NORTHPOINT	030	PBI	S	4,100	22.47	n/a	n/a	164.00	4.0
EVERCORE WEALTH MGMT	012	PBR	B	2,000	38.49	n/a	n/a	100.00	5.0
TRELLUS PARTNERS LP	028	PCL	S	15,000	33.31	n/a	29-Apr	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>28.09</b>	<b>20-Apr</b>	<b>20-Apr</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	PVH	S	30,000	27.71	20-Apr	20-Apr	1,500.00	5.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.48	n/a	n/a	1,720.00	4.0
SUN AMERICA ASSET MGMT	030	SFY	S	29,800	16.00	n/a	n/a	1,192.00	4.0
SUN AMERICA ASSET MGMT	030	SKS	S	200,000	4.39	n/a	n/a	4,000.00	2.0
DELTEC ASSET MGMT.	040	SLM	B	20,000	6.15	23-Apr	6-May	800.00	4.0
HARVEST MGMT	039	SNCR	B	2,000	12.22	n/a	n/a	100.00	5.0
COUGAR TRADING	044	SUP	B	5,000	15.05	27-Feb	27-Feb	250.00	5.0
EVERCORE WEALTH MGMT	012	SU	B	2,000	30.44	n/a	n/a	100.00	5.0
BARROW HANLEY MEWHINNEY	031	SYI	B	75,800	23.58	n/a	24-Apr	3,032.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>B</b>	<b>100,000</b>	<b>28.98</b>	<b>4-May</b>	<b>4-May</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	UA	B	5,000	22.85	29-Apr	29-Apr	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	VFC	S	47,000	59.30	n/a	n/a	1,645.00	3.5
NEUBERGER BERMAN	036	VNO	S	5,200	48.02	n/a	n/a	234.00	4.5
NEUBERGER BERMAN	036	VTR	S	19,400	27.80	n/a	n/a	873.00	4.5
GRANAHAN INV	039	WDR	B	15,300	23.46	n/a	7-May	612.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARVEST MGMT	039	WEN	B	13,000	4.48	n/a	24-Apr	390.00	3.0
THIRD COAST CAPITAL	035	WMT	S	3,000	50.64	n/a	5-May	150.00	5.0
PECONIC PARTNERS	036	YHOO	B	200,000	14.95	n/a	n/a	10,000.00	5.0
DC CAPITAL	044	ZLC	B	5,900	3.59	n/a	n/a	177.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>266,449.84</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/06	NEWCASTLE FUNDS (NEWCMLDC88)	255	CONN	S	100	14.25	n/a	n/a	4.00 4.0
AO,	05/06	NEWCASTLE FUNDS (NEWCGS888)	255	CONN	S	900	14.25	n/a	n/a	36.00 4.0
AO,	05/06	NEWCASTLE FUNDS (NEWCWI7231)	255	CONN	S	300	14.25	n/a	n/a	12.00 4.0
AO,	05/06	NEWCASTLE FUNDS (NEWCML7277)	255	CONN	S	100	14.25	n/a	n/a	4.00 4.0
AO,CXL	05/06	WHALE ROCK CAP (WHAL4CENTS)	030	HOG	B	4,000	21.16	n/a	n/a	160.00 4.0
AO,CRT	05/06	WILLOW CREEK (WILLMAIN4C)	033	HOG	B	4,000	21.16	n/a	n/a	160.00 4.0
AO,CXL	05/04	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	OMC	B	88,000	31.94	n/a	n/a	4400.00 5.0
AO,CRT	05/04	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	OMC	B	88,000	31.94	n/a	n/a	3520.00 4.0
AO,CXL	05/06	DELTEC ASSET MGMT. (DELTMAIN)	040	SLM	B	66,000	5.74	23-Apr	6-May	3300.00 5.0
AO,CRT	05/06	DELTEC ASSET MGMT. (DELTMAIN)	040	SLM	B	66,000	5.74	23-Apr	6-May	2640.00 4.0
AO,CXL	05/06	CR INTRINIC INVESTMENT (CRINGSPB)	044	SYK	B	20,000	40.39	n/a	n/a	1000.00 5.0
AO,CRT	05/06	CR INTRINIC INVESTMENT (CRINGSPB)	044	SYK	B	20,000	40.39	n/a	n/a	800.00 4.0
AO,CXL	05/06	WHALE ROCK CAP (WHAL4CENTS)	030	TLEO	S	5,000	13.83	n/a	n/a	200.00 4.0
AO,CRT	05/06	WILLOW CREEK (WILLMAIN4C)	033	TLEO	S	5,000	13.83	n/a	n/a	200.00 4.0
AO,CXL	05/06	WHALE ROCK CAP (WHAL4CENTS)	030	TXT	B	6,838	11.60	n/a	n/a	273.52 4.0
AO,CRT	05/06	WILLOW CREEK (WILLMAIN4C)	033	TXT	B	6,838	11.60	n/a	n/a	273.52 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,684.00</b>

TOTAL (Trade Date):	266,449.84
TOTAL (AO, CXL, CRT):	-1,684.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>264,765.84</b>
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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