



Daily Compliance Activity Report

Trade Date: 05/08/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STELLIAM INV ADV	040	ABX	SS	15,000	32.99	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	40,000	13.74	20-Apr	8-May	1,600.00	4.0
COUGAR TRADING	044	AEO	SS	6,700	13.81	20-Apr	8-May	335.00	5.0
HARVEST MGMT	039	ARO	B	10,000	33.82	n/a	8-May	500.00	5.0
CADIAN CAPITAL	067	BBBY	B	53,123	28.69	n/a	n/a	2,124.92	4.0
LISTED ERR	099	BBY	B	10,668	38.13	n/a	27-Jul	0.00	0.0
LISTED ERR	099	BBY	S	10,668	38.14	n/a	27-Jul	0.00	0.0
FIRST NEW YORK LEDDY	035	BRCD	B	20,000	5.72	n/a	n/a	1,200.00	6.0
MILLRACE FUND LP	028	BWA	SS	6,000	31.08	1-May	1-May	240.00	4.0
TRELLUS PARTNERS LP	028	BWA	SS	5,300	31.22	1-May	1-May	265.00	5.0
MTB INV ADV	034	BWLD	S	16,500	34.93	n/a	n/a	825.00	5.0
BUCK CAPITAL MGMT	001	CAT	B	20,000	38.89	n/a	22-Apr	800.00	4.0
FRIESS MGMT	033	CCC	B	146,000	14.13	n/a	n/a	5,840.00	4.0
CATAPULT	040	CMTL	B	25,000	28.50	n/a	n/a	1,250.00	5.0
HARVEST MGMT	039	COST	SS	5,000	45.62	n/a	27-Jul	250.00	5.0
CATAPULT	040	CYT	B	25,000	24.10	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	DELL	B	10,000	10.43	n/a	n/a	500.00	5.0
NORTHPOINT	030	DENN	B	23,284	2.48	n/a	n/a	698.52	3.0
LATEFF MGMT	035	DVN	S	3,500	64.93	6-May	6-May	630.00	18.0
BUCK CAPITAL MGMT	001	FBN	B	41,000	3.89	n/a	n/a	820.00	2.0
OSS CAPITAL/KEVIN DANN	067	FIS	S	200,000	18.70	n/a	n/a	6,000.00	3.0
BUCK CAPITAL MGMT	001	GES	S	20,000	25.08	n/a	n/a	800.00	4.0
MTB INV ADV	034	GME	S	18,125	26.26	n/a	n/a	906.25	5.0
NATIONAL BK OF CAN	031	GS	S	7,500	136.66	n/a	8-May	300.00	4.0
MTB INV ADV	034	GYMB	S	4,350	33.68	7-May	8-May	217.50	5.0
JMP ASSET MGMT	210	JAS	B	7,500	20.47	n/a	n/a	375.00	5.0
TROUBH PART	067	JAVA	S	100,000	9.08	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	JNY	S	100,000	9.49	n/a	30-Apr	3,000.00	3.0
ROARING BLUE LION MGMT	012	KEG	S	27,000	6.00	n/a	3-Apr	1,080.00	4.0
NEWCASTLE FUNDS	255	LOW	B	40,000	19.82	31-Mar	5-May	1,600.00	4.0
PZENA INV ADV	044	LRCX	B	13,550	26.09	n/a	n/a	474.35	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	MCRS	B	3,560	22.96	n/a	n/a	142.40	4.0
CASTLE ARK	031	MS	B	265,210	25.50	18-Dec	8-May	15,912.60	6.0
NATIONAL BK OF CAN	031	MS	B	40,000	25.78	18-Dec	8-May	1,600.00	4.0
PROSPECTOR PARTNERS LLC	036	MWV	B	20,000	15.75	28-Jan	30-Apr	800.00	4.0
EGS ASSOCIATES LP	091	M	SS	3,000	13.09	n/a	8-May	180.00	6.0
STELLIAM INV ADV	040	NEM	SS	15,000	42.88	n/a	n/a	750.00	5.0
M&I FUNDS	256	NKE	S	21,120	53.81	n/a	n/a	844.80	4.0
DC CAPITAL	044	NWL	S	100,000	10.94	n/a	n/a	3,000.00	3.0
MTB INV ADV	034	NWY	S	76,300	5.03	n/a	30-Jan	2,289.00	3.0
DEFIANCE ASSET	028	OC	SS	18,000	15.96	n/a	n/a	720.00	4.0
TRELLUS PARTNERS LP	028	PCL	S	7,500	34.07	n/a	29-Apr	375.00	5.0
JMP ASSET MGMT	210	PEET	SS	4,500	26.66	n/a	n/a	225.00	5.0
S.A.C. HEALTHCARE BOBBY	044	PFE	S	50,000	14.35	n/a	31-Mar	2,000.00	4.0
OSS CAPITAL/KEVIN DANN	067	PTEN	B	100,000	14.63	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	26.88	20-Apr	20-Apr	1,200.00	4.0
CADIAN CAPITAL	067	PVH	B	50,000	26.91	20-Apr	20-Apr	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.72	n/a	n/a	1,720.00	4.0
BELLMAN WALTERSS CAP	091	SLM	B	200,000	6.24	23-Apr	6-May	10,000.00	5.0
SUN AMERICA ASSET MGMT	030	SRCL	B	13,100	47.30	n/a	n/a	524.00	4.0
PROSPECTOR PARTNERS LLC	036	STFC	B	5,000	16.07	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	067	SVU	SS	50,000	16.46	n/a	n/a	2,000.00	4.0
MATRIX ASSET ADV.	036	TEL	S	16,000	17.95	n/a	n/a	480.00	3.0
BUCK CAPITAL MGMT	001	TJX	B	100,000	28.38	4-May	8-May	4,000.00	4.0
NORTHPOINT	030	WG	S	2,884	11.88	n/a	n/a	115.36	4.0
NORTHPOINT	030	WLT	B	2,120	32.00	n/a	n/a	84.80	4.0
BUCK CAPITAL MGMT	001	WRC	B	90,000	28.09	20-Apr	20-Apr	3,600.00	4.0
CADIAN CAPITAL	067	WSM	SS	75,000	12.68	n/a	n/a	3,000.00	4.0
PEQUOT CAPITAL MGMT	070	XLF	B	200,000	12.66	n/a	n/a	6,000.00	3.0
TOTAL (Trade Date):								106,394.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/07	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	CMCSA	S	25,000	15.81	n/a	4-Jan	1250.00 5.0
AO,CRT	05/07	SIGMA CAPITAL ASSOCIATES (SIGMGUSE)	041	CMCSA	S	25,000	15.81	n/a	4-Jan	1000.00 4.0
AO,CXL	05/07	BRANDWINE (BWAM2400)	028	DDS	B	1,317	8.02	n/a	n/a	52.68 4.0
AO,	05/07	BRANDWINE (BWAM2400)	028	DDS	B	1,717	8.02	n/a	n/a	68.68 4.0
AO,CXL	05/07	DC CAPITAL (DCCAGOLDMA)	044	NWL	S	70,150	10.83	n/a	n/a	2806.00 4.0
AO,CRT	05/07	DC CAPITAL (DCCAGOLDMA)	044	NWL	S	70,150	10.83	n/a	n/a	2104.50 3.0
AO,CXL	05/07	FIRST NY SEC/CHRIS (FNYCHRIS)	041	OMX	B	10,000	7.76	n/a	15-Apr	600.00 6.0
AO,CRT	05/07	FIRST NY SEC/CHRIS (FNYCHRIS)	041	OMX	B	10,000	7.76	n/a	15-Apr	500.00 5.0
AO,CXL	05/07	HARVEST MGMT (HARVGSCO)	039	SNCR	B	2,000	12.22	n/a	n/a	100.00 5.0
AO,CRT	05/07	JMP ASSET MGMT (JMPAGS)	210	SNCR	B	2,000	12.22	n/a	n/a	100.00 5.0
AO,	05/07	BARROW HANLEY MEWHINNEY (BARR1830E)	031	SYX	B	2,900	23.58	n/a	24-Apr	116.00 4.0
AO,CXL	05/07	BARROW HANLEY MEWHINNEY (&BARR1830f)	031	SYX	B	2,900	23.58	n/a	24-Apr	116.00 4.0
AO,CXL	05/07	HARVEST MGMT (HARVGSCO)	039	WEN	B	13,000	4.48	n/a	24-Apr	390.00 3.0
AO,CRT	05/07	JMP ASSET MGMT (JMPAGS)	210	WEN	B	13,000	4.48	n/a	24-Apr	390.00 3.0
TOTAL (AO, CXL, CRT) :										-1,035.50

TOTAL (Trade Date):	106,394.50
TOTAL (AO, CXL, CRT):	-1,035.50

TOTAL (RUN DATE) / NFS:

105,359.00

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