



Daily Compliance Activity Report

Trade Date: 07/16/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	ABT	B	80,730	44.83	n/a	22-Apr	3,229.20	4.0
THIRD COAST CAPITAL	035	AEO	B	17,000	13.82	25-Jun	10-Jul	850.00	5.0
ARMATURE CAPITAL	041	ATI	S	39,900	33.31	n/a	n/a	1,596.00	4.0
LAGRANGE CAP ADV	048	AXL	B	10,000	1.42	n/a	9-Jul	500.00	5.0
KARSCH CAPITAL	034	BAC	S	110,000	13.30	11-May	10-Jul	3,300.00	3.0
THIRD COAST CAPITAL	035	BWA	B	10,000	32.12	10-Jun	16-Jul	500.00	5.0
CHILTON CAPITAL MGMT.	036	CLF	B	450,000	24.84	n/a	n/a	13,500.00	3.0
MERRILL ASSET/BLACKROCK	214	CVG	S	5,000	9.09	n/a	n/a	225.00	4.5
CATAPULT	040	DCP	SS	35,000	19.67	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	DDS	SS	50,000	8.60	n/a	n/a	1,500.00	3.0
RAMIUS CAP	040	DIN	C	29,700	31.16	n/a	n/a	1,188.00	4.0
1798 CAPITAL MGMT	040	EBAY	B	40,000	18.72	n/a	n/a	2,000.00	5.0
CAVU CAP ADV	028	ETN	B	35,000	44.83	27-May	19-Jun	1,750.00	5.0
SACC-SCHWARTZ	044	FLR	SS	100,000	49.27	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	FRT	B	2,000	51.80	n/a	n/a	90.00	4.5
OZ MGMT	040	F	S	188,480	6.05	n/a	16-Jul	5,654.40	3.0
1798 CAPITAL MGMT	040	HLF	S	15,000	32.51	n/a	n/a	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	HLF	S	25,000	32.56	n/a	n/a	1,000.00	4.0
GCORE MANAGEMENT	252	HPQ	S	25,000	39.09	n/a	n/a	1,250.00	5.0
1798 CAPITAL MGMT	040	JCP	B	5,000	28.53	13-Apr	10-Jul	250.00	5.0
1798 CAPITAL MGMT	040	JCP	S	20,000	27.72	13-Apr	10-Jul	1,000.00	5.0
NEWCASTLE FUNDS	255	JCP	B	68,400	28.17	13-Apr	10-Jul	2,736.00	4.0
HUNTER GLOBAL INVESTOR	067	JKHY	SS	100,000	20.84	n/a	n/a	4,000.00	4.0
SCHOTTENFELD ASSOC	041	JNS	S	40,000	11.80	16-Jul	16-Jul	1,200.00	3.0
AVESTA CAP	229	MAR	B	50,000	20.41	n/a	n/a	2,000.00	4.0
JENNISON	032	MSFT	B	25,000	23.94	n/a	3-Apr	925.00	3.7
M&I FUNDS	256	MYL	B	13,093	12.45	n/a	16-Jul	523.72	4.0
CAPITAL GROWTH MGMT.	241	NKE	S	100,000	52.70	n/a	n/a	5,000.00	5.0
ROTHSCHILD ASSET	040	OMI	S	19,510	43.55	n/a	n/a	877.95	4.5
CLOVIS CAPITAL	012	PCAR	B	25,000	31.65	25-Mar	26-Jun	1,250.00	5.0
OZ MGMT	040	PKG	S	100,000	17.17	8-Apr	23-Jun	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	RCL	B	30,000	13.54	22-Apr	24-Apr	1,200.00	4.0
CASEY CAPITAL	067	RHI	B	7,000	22.16	n/a	n/a	350.00	5.0
PRINCIPLE CAPITAL	040	RHI	SS	53,100	22.05	n/a	n/a	1,593.00	3.0
BUCK CAPITAL MGMT	001	RL	S	15,000	53.55	25-Jun	25-Jun	600.00	4.0
CARDINAL CAPITAL	044	RX	S	7,500	13.16	n/a	n/a	375.00	5.0
PRINCIPLE CAPITAL	040	TEL	B	43,200	18.70	n/a	n/a	1,296.00	3.0
LISTED ERR	099	THS	S	1	29.08	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	TIN	B	50,000	13.64	9-Jul	9-Jul	2,500.00	5.0
ELM RIDGE ADVISORS	044	UFS	B	44,513	14.86	n/a	n/a	1,780.52	4.0
WHITE PINE CAPITAL	030	UNT	B	10,450	30.00	n/a	1-Jul	522.50	5.0
HIGHBRIDGE/MS OLDS	041	WFC	B	100,000	25.01	n/a	n/a	4,000.00	4.0
CASEY CAPITAL	067	WRC	S	10,000	34.24	13-May	13-May	500.00	5.0
COUGAR TRADING	044	WRC	S	5,000	34.83	13-May	13-May	250.00	5.0
TOTAL (Trade Date):								82,362.29	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	07/15	DSG CAPITAL (DSGCJEFF)	225	CAKE	B	16,000	17.24	29-May	15-Jul	800.00	5.0
AO,CRT	07/15	DSG CAPITAL (DSGCJEFF)	225	CAKE	B	16,000	17.24	29-May	15-Jul	640.00	4.0
AO,CRT	07/15	MILLENIU M PARTNERS (MILPINTREG)	028	IWM	SS	10,000	51.27	n/a	n/a	400.00	4.0
AO,CXL	07/15	MILLENIU M PARTNERS (MILPUSE)	028	IWM	SS	10,000	51.27	n/a	n/a	400.00	4.0
AO,CRT	07/15	MILLENIU M PARTNERS (MILPINTREG)	028	MHK	B	10,000	36.72	n/a	n/a	400.00	4.0
AO,CXL	07/15	MILLENIU M PARTNERS (MILPUSE)	028	MHK	B	10,000	36.72	n/a	n/a	400.00	4.0
AO,CRT	07/15	MILLENIU M PARTNERS (MILPINTREG)	028	SHW	B	20,000	54.75	17-Apr	9-Jul	800.00	4.0
AO,CXL	07/15	MILLENIU M PARTNERS (MILPUSE)	028	SHW	B	20,000	54.75	17-Apr	9-Jul	800.00	4.0
AO,	07/15	LISTED ERR (LISTED ERR)	099	THS	B	1	28.57	n/a	n/a	0.00	0.0
AO,CXL	07/15	MTB INV ADV (MTBIMAIN O)	034	THS	S	150	28.57	n/a	n/a	7.50	5.0
AO,CRT	07/15	MTB INV ADV (MTBIMAIN O)	034	THS	S	151	28.57	n/a	n/a	7.55	5.0
CRT	07/16	COUGAR TRADING (COUGPB MS)	044	WRC	S	5,000	34.83	13-May	13-May	250.00	5.0
TOTAL (AO, CXL, CRT) :										90.05	
TOTAL (Trade Date):										82,362.29	
TOTAL (AO, CXL, CRT):										90.05	
TOTAL (RUN DATE) / NFS:										82,452.34	

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