



## Daily Compliance Activity Report

Trade Date: 05/18/2009

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ACS	S	500	45.48	n/a	n/a	17.50	3.5
PZENA INV ADV	044	ALL	S	4,600	24.78	n/a	n/a	161.00	3.5
MILLRACE FUND LP	028	ALV	SS	3,826	25.01	12-Mar	22-Apr	153.04	4.0
COUGAR TRADING	044	ANF	SS	5,000	26.38	16-Apr	18-May	250.00	5.0
JP MORGAN VENTURES	046	ANF	SS	10,000	26.01	16-Apr	18-May	500.00	5.0
PZENA INV ADV	044	APA	S	1,050	79.11	3-Feb	7-May	36.75	3.5
MILLENIUM PARTNERS	028	BIG	B	23,630	24.33	4-Mar	7-May	945.20	4.0
DIAMONDBACK CAP MGMT	232	BLL	B	9,600	39.47	n/a	n/a	480.00	5.0
CHART WELL ADV	028	BWA	B	95,280	28.78	1-May	1-May	3,811.20	4.0
ROTHSCHILD ASSET	040	CEC	S	18,110	32.18	n/a	n/a	814.95	4.5
SIGMA CAPITAL ASSOCIATES	041	COST	B	25,000	45.68	n/a	27-Jul	1,000.00	4.0
NEUBERGER BERMAN	036	COV	B	35,675	36.24	n/a	n/a	1,605.41	4.5
TROUBH PART	067	CPRM	B	25,000	21.54	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.57	n/a	n/a	600.00	6.0
PHILADELPHIA FINANCIAL	033	EVR	S	15,000	17.01	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FDO	B	30,000	29.73	5-Mar	18-May	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	40,000	23.05	n/a	n/a	1,600.00	4.0
S.A.C. CAP/ORENSTEIN	044	GE	B	100,000	13.22	n/a	n/a	4,000.00	4.0
S.A.C. CAP/ORENSTEIN	044	GE	S	100,000	13.37	n/a	n/a	4,000.00	4.0
M&I FUNDS	256	GPS	B	10,270	15.80	n/a	30-Jan	410.80	4.0
TRUST CO/COWEN/CALF.	040	HRB	B	250,100	14.25	n/a	n/a	10,004.00	4.0
COBALT	041	IP	B	100,000	13.33	n/a	1-May	5,000.00	5.0
BUCK CAPITAL MGMT	001	JCG	SS	20,000	20.02	n/a	30-Jan	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	25,000	27.13	13-Apr	18-May	1,000.00	4.0
CLOVIS CAPITAL	012	KMB	B	100,000	51.15	23-Apr	27-Apr	5,000.00	5.0
TROUBH PART	067	LOW	SS	30,000	20.11	12-May	18-May	1,500.00	5.0
HIGHBRIDGE CAPITAL	038	MGM	S	250,000	8.22	n/a	6-May	7,500.00	3.0
BUCK CAPITAL MGMT	001	MHK	B	50,000	41.31	n/a	n/a	2,000.00	4.0
MATRIX ASSET ADV.	036	MSFT	S	3,000	20.43	n/a	3-Apr	120.00	4.0
MATRIX ASSET ADV.	036	NVLS	S	3,000	17.67	n/a	n/a	90.00	3.0
WHITE PINE CAPITAL	030	NWY	S	39,400	4.45	n/a	30-Jan	1,576.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	PAG	SS	10,000	11.81	n/a	6-May	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	9.23	n/a	13-Mar	900.00	3.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	27.91	4-May	8-May	800.00	4.0
TROUBH PART	067	UNP	B	25,000	47.59	n/a	n/a	1,250.00	5.0
MILLENIUM PARTNERS	028	WMT	SS	25,780	49.46	11-May	14-May	1,031.20	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	27.13	13-May	13-May	800.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>63,357.05</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/15	TRUST CO/COWEN/CALF. (TRCO3910)	040	CBS	B	2,150	6.96	n/a	n/a	86.00 4.0
AO,	05/15	TRUST CO/COWEN/CALF. (TRCO3911)	040	CBS	B	2,150	6.96	n/a	n/a	86.00 4.0
AO,CXL	05/15	MISSION GLOBAL LLC (MISGMLCOG)	041	EP	B	9,975	8.60	n/a	n/a	399.00 4.0
AO,CRT	05/15	MISSION GLOBAL LLC (MISGMLCOG)	041	EP	B	9,725	8.60	n/a	n/a	389.00 4.0
AO,CXL	05/15	MISSION GLOBAL LLC (MISGMSPB)	041	EP	B	14,375	8.60	n/a	n/a	575.00 4.0
AO,CRT	05/15	MISSION GLOBAL LLC (MISGMSPB)	041	EP	B	14,625	8.60	n/a	n/a	585.00 4.0
AO,CXL	05/14	SCOPUS FUND (SCOPBANC O)	041	IR	S	5,500	20.47	n/a	n/a	275.00 5.0
AO,CRT	05/14	SCOPUS FUND (SCOPBANC O)	041	IR	S	7,126	20.47	n/a	n/a	356.30 5.0
AO,CXL	05/14	SCOPUS FUND (SCOPUBS)	041	IR	S	19,500	20.47	n/a	n/a	975.00 5.0
AO,CRT	05/14	SCOPUS FUND (SCOPUBS)	041	IR	S	17,874	20.47	n/a	n/a	893.70 5.0
AO,CXL	05/15	MISSION GLOBAL LLC (MISGMLCOG)	041	SUG	SS	3,990	15.70	n/a	n/a	159.60 4.0
AO,CRT	05/15	MISSION GLOBAL LLC (MISGMLCOG)	041	SUG	SS	3,890	15.70	n/a	n/a	155.60 4.0
AO,CXL	05/15	MISSION GLOBAL LLC (MISGMSPB)	041	SUG	SS	5,750	15.70	n/a	n/a	230.00 4.0
AO,CRT	05/15	MISSION GLOBAL LLC (MISGMSPB)	041	SUG	SS	5,850	15.70	n/a	n/a	234.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	63,357.05
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>63,357.05</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