



Daily Compliance Activity Report

Trade Date: 06/11/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ADVS	S	31,900	31.00	n/a	n/a	1,435.50	4.5
BUCK CAPITAL MGMT	001	AEO	S	20,000	14.59	20-Apr	5-Jun	800.00	4.0
M&I FUNDS	256	AMG	B	4,531	57.50	5-Jun	11-Jun	181.24	4.0
BUCK CAPITAL MGMT	001	AN	B	50,000	18.10	10-Jun	10-Jun	2,000.00	4.0
CHARTER OAK	033	APC	S	100,000	49.69	3-Feb	1-Jun	5,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	35.23	n/a	5-Jun	400.00	4.0
ACK ASSET	028	ATAC	B	55,000	14.96	n/a	n/a	1,650.00	3.0
NEWCASTLE FUNDS	255	AXL	B	35,000	4.41	n/a	10-Jun	1,400.00	4.0
TRELLUS PARTNERS LP	028	AXL	B	102,500	4.34	n/a	10-Jun	3,075.00	3.0
BUCK CAPITAL MGMT	001	BWA	B	50,000	35.59	10-Jun	10-Jun	2,000.00	4.0
SCOPUS FUND	041	BWA	S	38,000	35.08	10-Jun	10-Jun	1,900.00	5.0
DIAMONDBACK CAP MGMT	232	CAT	C	15,000	38.04	n/a	10-Jun	750.00	5.0
PRINCIPLE CAPITAL	040	CCL	SS	71,600	23.92	n/a	26-Jan	2,148.00	3.0
GLOBAL 56 LLC	060	CHK	B	4,000	24.48	n/a	n/a	160.00	4.0
STRONG/MARK GRONET	030	CIM	B	26,870	3.27	n/a	n/a	806.10	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JMP ASSET MGMT	210	CNH	SS	4,618	17.31	n/a	n/a	230.90	5.0
NEWCASTLE FUNDS	255	CSX	B	25,000	35.10	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	DLLR	B	45,500	14.24	n/a	n/a	2,047.50	4.5
AELTUS/ING IVESTMENT MGT	215	DOV	B	57,200	36.45	n/a	n/a	2,002.00	3.5
COOPER CREEK PART	028	DSW	SS	10,000	10.59	28-May	28-May	400.00	4.0
MATRIX ASSET ADV.	036	DVN	S	2,000	66.21	6-May	1-Jun	80.00	4.0
BREEDEN CAP MGMT	080	EBAY	S	100,000	18.06	n/a	n/a	5,000.00	5.0
ROARING BLUE LION MGMT	012	FDO	B	11,700	29.80	5-Mar	9-Jun	468.00	4.0
CUMBERLAND	038	FDX	B	75,000	56.90	n/a	n/a	3,000.00	4.0
NEUBERGER BERMAN	036	GCA	B	75,000	6.98	n/a	n/a	2,250.00	3.0
BUCK CAPITAL MGMT	001	GES	B	30,000	26.10	n/a	n/a	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	25,000	35.00	21-May	5-Jun	1,000.00	4.0
BUCK CAPITAL MGMT	001	HGG	B	20,000	14.36	n/a	n/a	800.00	4.0
CASTLEROCK	040	HK	B	87,441	26.34	n/a	n/a	3,497.64	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	15.82	n/a	1-May	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOLARIS INV MGMT	029	IR	B	100,000	22.93	n/a	n/a	5,000.00	5.0
DIAMONDBACK CAP MGMT	232	IVZ	S	25,000	18.52	5-Jun	9-Jun	1,250.00	5.0
TYEE/TYGH	035	IVZ	B	28,200	18.19	5-Jun	9-Jun	1,128.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	25.82	n/a	30-Jan	800.00	4.0
MATRIX ASSET ADV.	036	JCI	S	4,000	21.75	2-Jun	2-Jun	160.00	4.0
EVERCORE WEALTH MGMT	012	JJC	B	2,000	34.13	n/a	n/a	100.00	5.0
EGS ASSOCIATES LP	091	JWN	SS	8,500	20.46	20-Feb	5-Jun	510.00	6.0
ROTHSCHILD ASSET	040	MKC	S	20,719	31.12	n/a	n/a	932.38	4.5
WAGONHOUND/NIC	048	MPEL	S	50,000	5.54	n/a	n/a	1,500.00	3.0
Steven Maguire		MS	S	5000	29.4900	11-May	2-Jun	0.00	0.0
ROTHSCHILD ASSET	040	MYE	B	16,310	9.77	n/a	n/a	733.95	4.5
ADAGE CAPITAL MGMT	030	M	SS	257,270	12.16	n/a	5-Jun	10,290.80	4.0
RAINIER INV MGMT	035	NTRS	B	55,820	55.80	22-Apr	19-May	2,791.00	5.0
M&I FUNDS	256	PBY	S	28,729	9.93	n/a	n/a	861.87	3.0
BUCK CAPITAL MGMT	001	PSS	B	40,000	14.10	n/a	n/a	1,600.00	4.0
FIRST NY SEC/CHRIS	041	RF	S	70,000	4.26	n/a	n/a	3,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARCHON CAPITAL	035	TCO	B	29,500	26.80	n/a	n/a	885.00	3.0
MILLENIUM PARTNERS	028	TIN	B	50,000	12.99	5-Jun	5-Jun	2,000.00	4.0
COUGAR TRADING	044	TJX	B	5,000	30.54	4-May	5-Jun	250.00	5.0
OSS CAPITAL/KEVIN DANN	067	TK	B	250,000	22.68	n/a	n/a	7,500.00	3.0
MATRIX ASSET ADV.	036	TYC	S	3,000	27.60	1-May	1-May	120.00	4.0
AVESTA CAP	229	WMT	SS	100,000	49.57	11-May	9-Jun	4,000.00	4.0
PRINCIPLE CAPITAL	040	WYNN	SS	22,700	37.04	n/a	n/a	681.00	3.0
M&I FUNDS	256	YHOO	S	61,500	16.28	n/a	n/a	2,460.00	4.0
TOTAL (Trade Date) :								96,485.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	ALV	S	22,860	31.52	10-Jun	10-Jun	1143.00 5.0
AO,CXL	06/10	HIGHBRIDGE CAPITAL (HIGBUBSNEW)	038	ALV	SS	7,140	31.60	10-Jun	10-Jun	357.00 5.0
AO,CRT	06/10	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ALV	S	22,860	31.52	10-Jun	10-Jun	914.40 4.0
AO,CRT	06/10	HIGHBRIDGE/MS OLDS (HIBCCSFB)	041	ALV	SS	7,140	31.60	10-Jun	10-Jun	285.60 4.0
AO,CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	AXL	B	5,300	3.85	n/a	10-Jun	159.00 3.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	AXL	B	5,300	3.85	n/a	10-Jun	265.00 5.0
AO,CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	AXL	S	5,300	4.20	n/a	10-Jun	159.00 3.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	AXL	S	5,300	4.20	n/a	10-Jun	265.00 5.0
AO,CXL	06/10	TRELLUS PARTNERS LP (TRELMAIN)	028	AXL	B	69,000	3.99	n/a	10-Jun	690.00 1.0
AO,	06/10	TRELLUS PARTNERS LP (TRELMAIN)	028	AXL	B	69,000	3.99	n/a	10-Jun	2070.00 3.0
AO,CXL	06/10	DC CAPITAL (DCCAGOLDMA)	044	CBS	B	200,000	8.33	n/a	n/a	10000.00 5.0
AO,CRT	06/10	DC CAPITAL (DCCAGOLDMA)	044	CBS	B	200,000	8.33	n/a	n/a	6000.00 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB152870)	070	EAT	B	11,600	17.34	n/a	24-Apr	348.00 3.0
AO,CXL	06/10	FIRST NEW YORK LEDDY (FNYS)	035	ETFC	B	20,000	1.60	n/a	n/a	800.00 4.0
AO,	06/10	FIRST NEW YORK LEDDY (FNYS)	035	ETFC	B	20,000	1.60	n/a	n/a	1200.00 6.0
AO,CRT	06/10	STANDARD PACIFIC CAPITAL (SPACJPMORG)	040	GIL	SS	70,000	16.69	n/a	14-May	3500.00 5.0
AO,CXL	06/10	STANDARD PACIFIC CAPITAL (SPACMLAK)	040	GIL	SS	70,000	16.69	n/a	14-May	3500.00 5.0
AO,CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	GLW	B	10,000	16.20	28-May	28-May	500.00 5.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	GLW	B	10,000	16.20	28-May	28-May	500.00 5.0
AO,CRT	06/10	DSG CAPITAL (DSGCJEFF)	225	HAR	B	2,500	21.03	10-Jun	10-Jun	125.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	HAR	B	2,500	21.03	10-Jun	10-Jun	125.00 5.0
AO,	06/10	DSG CAPITAL (DSGCJEFF)	225	HAR	S	2,500	21.82	10-Jun	10-Jun	125.00 5.0
AO,CXL	06/10	DSG CAPITAL (DSGCBANK O)	225	HAR	S	2,500	21.82	10-Jun	10-Jun	125.00 5.0
AO,CXL	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IWM	B	2,000	51.86	n/a	n/a	100.00 5.0
AO,	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IWM	B	2,000	51.86	n/a	n/a	60.00 3.0
AO,CXL	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IYR	B	4,000	33.82	n/a	n/a	200.00 5.0
AO,	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	IYR	B	4,000	33.82	n/a	n/a	120.00 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB256600)	070	KO	B	469	48.89	n/a	n/a	14.07 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB159532)	070	KO	B	10,643	48.89	n/a	n/a	319.29 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB252552)	070	KO	B	2,129	48.89	n/a	n/a	63.87 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB260070)	070	KO	B	15,293	48.89	n/a	n/a	458.79 3.0
AO,CXL	06/10	SCHOTTENFELD ASSOC (&SCHOASSO)	041	TLB	S	50,000	4.90	n/a	30-Jan	2500.00 5.0
AO,CRT	06/10	SCHOTTENFELD ASSOC (SCHOASSOC)	041	TLB	S	50,000	4.90	n/a	30-Jan	2500.00 5.0
AO,CXL	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	TLT	B	3,000	88.38	n/a	n/a	150.00 5.0
AO,	06/10	JP MORGAN VENTURES (&JPMVJPM)	046	TLT	B	3,000	88.38	n/a	n/a	90.00 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB126872)	070	WMT	B	1,570	50.31	11-May	9-Jun	47.10 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB130212)	070	WMT	B	260	50.31	11-May	9-Jun	7.80 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB167020)	070	WMT	B	510	50.31	11-May	9-Jun	15.30 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB168880)	070	WMT	B	330	50.31	11-May	9-Jun	9.90 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB169412)	070	WMT	B	110	50.31	11-May	9-Jun	3.30 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB160949)	070	WMT	B	4,900	50.31	11-May	9-Jun	147.00 3.0
AO,	06/10	MORGAN BANK /JPM (JPMB142460)	070	WMT	B	20,500	50.31	11-May	9-Jun	615.00 3.0
TOTAL (AO, CXL, CRT) :										-862.58

TOTAL (Trade Date):	96,485.88
TOTAL (AO, CXL, CRT):	-862.58

TOTAL (RUN DATE) / NFS:	95,623.30
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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